

CHAPTER: 500

Personnel/Human Resources

DEPARTMENT ORDER:

524 – Employee Assignments and Staffing

**OFFICE OF PRIMARY
RESPONSIBILITY:**

OPS

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ACCESS

Contains Restricted Section(s)

**Arizona
Department
of
Corrections
Rehabilitation
and Reentry**



Department Order Manual

A handwritten signature in black ink, appearing to be "David Shinn", written over a horizontal line.

David Shinn, Director

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EXPECTED PRACTICES

American Correctional Association (ACA) Expected Practices: 5-ACI-1C-04, 5-ACI-1C-05, 5-ACI-3A-07, 5-ACI-4A-13, 5-ACI-4A-16, 5-ACI-4A-24, 5-ACI-4B-16, 5-ACI-4B-24, 5-ACI-7B-01, 5-ACI-7D-01, 5-ACI-7D-16, and 5-ACI-7F-05

PURPOSE

This Department Order establishes the requirements and procedures for scheduling assignments, tracking and reporting employee work assignments, and staffing management.

APPLICABILITY

This Department Order applies to Department employees assigned to state facilities. The scheduling, assigning, tracking, and reporting of employee assignments in private prison facilities are governed by corporate policy and pursuant to contractual requirements. For further information regarding “seniority” refer to Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

PROCEDURES

1.0 SCHEDULING, REPORTING HOURS WORKED, COMPENSATION

- 1.1 Supervisors at all levels, including Assistant Directors, Regional Operations Directors, Wardens, Deputy Wardens and Administrators shall:
 - 1.1.1 Approve, report and monitor subordinates' work schedules, absences and overtime.
 - 1.1.2 Ensure employees under their supervision:
 - 1.1.2.1 Are compensated in accordance with this Department Order, Arizona Department of Administration (ADOA) Personnel Rules, Arizona Administrative Codes (A.A.C.), Arizona Revised Statutes (A.R.S.), and the Fair Labor Standards Act (FLSA) laws.
 - 1.1.2.2 Work assigned schedules and designated hours only, unless a revised schedule is pre-approved by their supervisor.
 - 1.1.2.3 Obtain, in writing, their supervisor's prior approval for changes to their regular work schedules.
 - 1.1.2.4 Record the actual time worked and leave taken on the attendance records in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.
- 1.2 An employee may apply for and be authorized to work an alternative schedule in accordance with Department Order #520, Employee Travel Reduction.

2.0 CORRECTIONAL OFFICER SERIES STAFFING PROCEDURES

- 2.1 The Assistant Director for Prison Operations shall:
 - 2.1.1 Establish and standardize staffing patterns and security posts for all institutions.

- 2.1.2 Forward approved Post Charts to the respective Regional Operations Director, to the Wardens and Deputy Wardens for co-signature.
 - 2.1.3 Ensure standardized staffing patterns are maintained except as adjustments are needed to accommodate differences in physical plant, unique mission, specialized programs or situationally for emergency response.
 - 2.1.4 Ensure Post Charts are reconciled with the number of full-time employees (FTE) authorized by applicable budget authorization documents, and reflect the FTE needed to meet the specified relief factors. {5-ACI-1C-04}
- 2.2 The Regional Operations Directors shall:
- 2.2.1 Ensure Post Charts are maintained for each institution.
 - 2.2.2 Review and submit all requests for FTE modifications to the Assistant Director and Deputy Director for approval and consistency statewide.
 - 2.2.3 Ensure the Roster Management application is maintained within their region.
- 2.3 Wardens shall:
- 2.3.1 In coordination with the Assistant Director for Prison Operations and Regional Operations Directors:
 - 2.3.1.1 Ensure Post Charts are maintained for each unit within the institution.
 - 2.3.1.2 Review each unit Post Chart to ensure that adequate staffing patterns are allocated based on the operational needs of the institution.
 - 2.3.2 Ensure the web-based Roster Management application is utilized at their respective institution
 - 2.3.3 Review complex and unit staffing projections daily, adjust to and address deficits and/or employ mitigation measures or reduce activities accordingly.
 - 2.3.4 Document the overall vacancy rate among the staff positions authorized for working directly with inmates does not exceed 10 percent for any 18-month period. {5-ACI-1C-05}
 - 2.3.5 Review and address irregularities in staffing patterns with unit Deputy Wardens.
- 2.4 Deputy Wardens shall:
- 2.4.1 Ensure the web-based Roster Management application is utilized at their respective unit.
 - 2.4.2 Ensure staffing projections are completed in a timely manner to allow staff the opportunity to pre-schedule voluntary shift coverage.
 - 2.4.3 Review unit staffing projections and address staffing deficits.
 - 2.4.4 Review and address irregularities in staffing patterns with the Chief of Security and the specific corresponding Shift Lieutenant.

- 2.5 Majors shall:
 - 2.5.1 Be responsible for direct oversight of institutional staffing for the entire complex.
 - 2.5.2 Communicate with the unit Deputy Wardens and unit Chief of Security to address staffing projections, patterns or irregularities.
 - 2.5.3 Review each unit Master Staffing Roster to ensure balance and report any discrepancies with recommended adjustments to the Complex Warden and unit Deputy Warden.
- 2.6 The unit Chief of Security shall:
 - 2.6.1 Ensure Shift Lieutenants maintain and prepare two-week staffing projections for each shift.
 - 2.6.2 Review all staff unplanned absences with Shift Lieutenants to address patterns of abuse or irregularities.
 - 2.6.3 Review, adjust and balance staff regular days off (RDOs) on each shift as needed to ensure adequate staffing is scheduled in relation to the unit's operational vacancy rate.
 - 2.6.4 Ensure standardized staffing patterns are maintained except as adjustments are needed to accommodate differences in physical plant, unique mission, specialized programs or situationally for emergency response.
- 2.7 The Shift Lieutenants shall:
 - 2.7.1 Schedule and maintain adequate staffing for their assigned shift by:
 - 2.7.1.1 Accurately reporting projected staffing in two-week increments.
 - 2.7.1.2 Updating changes to staffing projections as they become aware.
 - 2.7.1.3 Conducting continual follow up and review is conducted on factors that impact staffing such as RDO balancing, leave and unplanned absence.
 - 2.7.1.4 Ensuring when both male and females are housed in the same unit, at least one male and one female Correctional Officer II are on duty at all times.
{5-ACI-3A-07}
 - 2.7.2 Formulate and adjust a mitigation plan with the unit Chief of Security and Deputy Warden to address irregularities in staffing patterns.
 - 2.7.3 Accurately complete and maintain staffing projections for assigned shift.
 - 2.7.4 Actively address irregularities in staffing patterns caused by leave usage, operational vacancies, unplanned absences, unbalanced RDOs and staff reporting to shift late.
- 2.8 Modification of Staffing Patterns – The Assistant Director for Prison Operations shall pre-approve all movement of FTE's between institutions.

- 2.8.1 Wardens shall request a modification to their Authorized Post Charts through their respective Regional Operations Director. Each request shall contain the appropriate justification and a copy of the latest Authorized Post Chart corrected to reflect the proposed changes.
- 2.8.2 The 12-hour shift staffing model may be utilized to respond to critical staffing shortages during peak vacancy periods while maintaining required security functions.
- 2.8.3 The respective Regional Operations Director shall:
 - 2.8.3.1 Jointly ensure a consistent statewide approach and application is maintained.
 - 2.8.3.2 Confer with the affected Wardens, whenever the 12-hour staffing model is being considered to ensure that implementation plans are developed; ensuring 12-hour shift payroll training is completed before the implementation date.
 - 2.8.3.3 Instruct Wardens to conduct a survey of all staff utilizing the 12-Hour Shift Questionnaire, Form 524-4, to determine those staff interested in working a 12-hour schedule.
 - 2.8.3.4 Analyze the 12-hour Shift Questionnaire results and then determine the amount of staff wishing to participate in working a 12-hour schedule.
 - 2.8.3.5 Submit a justification request to the Assistant Director for Prison Operations. Modifications shall be identified in bold or highlighted in the document.
 - 2.8.3.5.1 The Assistant Director for Prison Operations shall approve exceptions, after consultation with the Regional Operations Director, by submitting the written justification and issuing a new Authorized Post Chart for confirmatory signatures.

2.9 12-Hour Shifts

- 2.9.1 Only Correctional Officer IIs, Corporals, Correctional Sergeants and Correctional Lieutenants shall be considered for 12-hour shift assignments. All posts within a unit except Kitchen and Visitation shall operate on a 12-hour shift schedule.
 - 2.9.1.1 Employees who are electing the 12-hour shift schedule shall be required to remain on the schedule and may opt out with approval of the Warden through a formal memorandum request.
 - 2.9.1.1.1 At the discretion of the Warden, exceptions may be approved for staff wishing to opt out of the 12-hour shift schedule when deemed appropriate.
 - 2.9.1.2 Wardens shall maintain discretion in the reassignment of employees from 12-hour shift schedules to 8-hour units with an appropriate two-week notification.

2.9.1.3 Wardens, in consultation with their respective Regional Operations Director, may exclude those posts at satellite units that may not be operationally capable of supporting a 12-hour shift (i.e., Transportation, Work Crew Checker and Canine).

2.9.2 Notification and Acceptance

2.9.2.1 New Correctional Officers entering the Correctional Officer Training Academy (COTA) shall be informed during their orientation of the units or complexes that are operating on 12-hour shifts or utilizing the Post Bidding process.

2.9.2.2 Employees assigned to a complex that is utilizing 12-hour shifts shall be provided written notice that they may be assigned to a 12-hour unit.

2.9.2.2.1 The 12-Hour Shift Schedule/Correctional Officer Series Memorandum and Agreement of Overtime Election, Form 524-5, shall be completed upon arrival at the institution.

2.9.2.3 Employees who reinstate, transfer, promote or otherwise move to a 12-hour location shall be assigned to a 12-hour schedule unless otherwise directed by the Warden.

2.9.2.4 Wardens shall retain authority over the placement of newly hired, transferred or promoted employees into either 12-hour or 8-hour units.

2.9.2.5 Before formally accepting a position at a 12-hour unit, the employee shall be informed of the 12-hour assignment requirement and complete the 12-Hour Shift Schedule/Correctional Officer Series Memorandum and Agreement of Overtime Election form.

2.9.2.5.1 Institutional Human Resource Liaisons shall ensure the form is utilized and accurately completed by the employee.

2.9.3 Approved Schedules

2.9.3.1 Unless modified by the Assistant Director for Prison Operations, the approved schedule for 12-hour shifts shall consist of a Wednesday swing day that encompasses two 40-hour work weeks. The following schedule may be utilized for all institutions/facilities incorporating a 12-hour schedule.

2.9.3.2 Wardens, in consultation with their respective Regional Operations Director, may elect to vary shift hours based on the needs of the institution/facility.

Shift	Regular Days Off (RDO) with Potential Hours
AM Front*	RDOs Sunday, Monday, Tuesday and every other Wednesday <i>Shift Hours Example: 0600-1800 or 0700-1900</i>

AM Back**	RDOs Thursday, Friday, Saturday and every other (opposite) Wednesday <i>Shift Hours Example: 0600-1800 or 0700-1900</i>
PM Front	RDOs Sunday, Monday, Tuesday and every other Wednesday <i>Shift Hours Example: 1800-0600 or 1900-0700</i>
PM Back	RDOs Thursday, Friday, Saturday and every other (opposite) Wednesday <i>Shift Hours Example: 1800-0600 or 1900-0700</i>
<p>*Majority of RDOs at the beginning of the week. **Majority of RDOs at the end of the week.</p> <p><i>Note: Shift times may vary by location based on institutional need.</i></p>	

2.9.4 Overtime Reporting Requirements

- 2.9.4.1 The work week for 12-hour shift participants shall conform to the FLSA and A.R.S. § 23-392, stipulating overtime occurs after hours worked in an established work week exceed 40 hours.
- 2.9.4.2 The established work week for the 12-hour schedule is based on a 40-hour week beginning at 6:00 a.m. or 7:00 a.m. Saturday, and ending at 5:59 a.m. or 6:59 a.m. on the following Saturday.
- 2.9.4.3 Time worked shall be recorded accurately in conjunction with the work week, since the 48-hour week incurs eight hours of overtime one week per pay period.
- 2.9.4.4 Employees working a 12-hour shift assignment are required to charge four hours of Compensatory, Holiday, or Annual Leave on the Wednesday of the employee’s short week to complete the 40-hour work week to ensure full Correctional Officer Retirement Plan (CORP) time considerations are met.
 - 2.9.4.4.1 An accounting template for overtime shall be used in ETE when employees use Compensatory leave.
- 2.9.4.5 Employees shall accurately report hours worked on the Electronic Time Entry (ETE). Overtime resulting from a 12-hour shift assignment shall be accounted for on the Wednesday of the employee’s long week.
 - 2.9.4.5.1 An accounting template for overtime shall be used in ETE. Overtime earned shall be scheduled adjusted for leave taken during the work week.

- 2.9.4.6 Overtime compensation for 12-hour shift schedules is either:
 - 2.9.4.6.1 Compensatory Leave Only – Reimbursed as Compensatory Leave at the rate of one and one-half hours for each hour worked in excess of 40 hours per work week.
 - 2.9.4.6.2 Compensatory Leave/Cash – Overtime for Compensatory Leave/Cash is reimbursed at the rate of three hours of Compensatory Leave at time and one-half (totaling 4.5 hours) providing Compensatory Leave for reporting in the 36 hour week. All other overtime hours worked shall be compensated by cash at the time and one-half rate after 40 hours are physically worked during the week.
 - 2.9.4.6.3 Cash Only – Cash payment is received at the rate of one and one-half times the regular rate of pay for each hour worked in excess of 40 hours per work week. This election will affect the ability to work overtime if and when the Department does not have the funds available to pay cash for overtime. Employees shall draw from an accumulated balance of Annual Leave, Holiday Leave or Compensatory Leave to fully account for 40-hours during the short week.
 - 2.9.4.7 Wardens and Deputy Wardens shall ensure employees do not exceed 16 hours of work within a single 24-hour period.
 - 2.9.4.8 During the 40-hour work week, employees shall not work more than 24 additional hours of overtime.
 - 2.9.4.8.1 Employees may work a maximum of two 12-hour overtime shifts in a single 40-hour work week; not worked back to back, or;
 - 2.9.4.8.2 Three 8-hour overtime shifts in a single 40-hour work week.
 - 2.9.4.9 The 8-hour built-in overtime accrued during the long week is exempt from inclusion when working overtime during the long 12-hour schedule work week.
 - 2.9.4.10 Employees shall have at least one RDO (one 24-hour regular day off) during the work week.
 - 2.9.4.11 Overtime worked at other institutions shall be paid at the prevailing practice of the institution where overtime occurs.
 - 2.9.4.12 This schedule does not preclude management from requiring additional hours of work.
- 2.9.5 Current Employees Election Not to Participate In 12-Hour Shifts
- 2.9.5.1 Wardens, in consultation with their respective Regional Operations Director, shall identify a unit or area (e.g., Complex Operations) that is suitable to continue unit operations at a traditional 8-hour schedule.

- 2.9.5.2 Traditional 8-hour schedule use shall be all-inclusive. With the exception of Visitation and Kitchen (4-day 10-hour posts), the remaining shifts shall remain 8-hour shifts.
- 2.9.5.3 Current employees electing not to participate in 12-hour units shall be transferred at the discretion of the Warden to 8-hour schedule units.
 - 2.9.5.3.1 To the extent possible, shift and RDO assignments shall be maintained.
- 2.9.6 Return From 12-Hour to 8-Hour Schedules
 - 2.9.6.1 If it is determined that 12-hour shifts are no longer operationally needed, the Assistant Director for Prison Operations shall authorize the restoration of 8-hour traditional schedules.
 - 2.9.6.2 The Wardens shall ensure all written and electronic records related to 8-hour shift operations inclusive of current requests for shift change and RDO assignments are preserved, secured, and utilized as reference documents when reverting back to 8-hour shift operations.
 - 2.9.6.3 All change requests pertaining to 12-hour shift operations, including shift and RDO assignments, shall be suspended while the unit operates under 8-hour operations.
 - 2.9.6.4 Once the unit is restored back to 8-hour shift operations, Wardens shall retrieve records previously preserved documenting prior shift and RDO placement.
 - 2.9.6.5 Wardens shall ensure employees are given a two-week notice before returning to 8-hour schedules.
 - 2.9.6.6 Those employees previously assigned to swing or graveyard shift will have the option to return to their most recently assigned shift.
 - 2.9.6.7 Each employee shall be asked to submit his/her first and second preference for shift assignments and RDOs. Preferred shift assignments shall be honored by seniority whenever feasible. RDO requests shall be assigned as closely as possible to their previous RDO 8-hour assignment.
 - 2.9.6.8 Employees who were not previously assigned to an 8-hour assignment shall be matched as closely as possible to the current 12-hour assignment.
 - 2.9.6.9 Once the unit is reverted back to an 8-hour shift schedule, employees shall complete a new overtime election form. The completed form shall be submitted to the Human Resource Liaison and become effective upon the date of transition to an 8-hour shift schedule.
 - 2.9.6.10 Annual Leave requests approved at units under the 12-hour shift schedule shall remain approved and shall be considered upon restoration of 8-hour shift schedules within the same unit.

- 2.9.6.11 To the extent possible, management shall include adjacent RDOs to pre-approved leave for 12-hour schedules.
- 2.9.6.12 Employees assigned to 12-hour shifts may be temporarily reverted back to a 5-day 8-hour schedule under the following circumstances or in accordance with the need of the institution:
 - 2.9.6.12.1 Military Leave for 40 or more hours
 - 2.9.6.12.2 Long term leave such as extended sick leave or FMLA
 - 2.9.6.12.3 Temporary work assignments (TWA)
 - 2.9.6.12.4 Suspension without pay
 - 2.9.6.12.5 Bereavement Leave (BL) - Under a 12-hour schedule, the employee may elect to take the 24-hour for in-state or the additional 16-hour for out-of-state death in 12-hour blocks or revert to an 8-hour schedule.
 - 2.9.6.12.6 Training (e.g., In Service, Weapons, Tactical Support Unit)
 - 2.9.6.12.7 Leave use for Civic Duty - Used in 8 hour or less blocks only.

2.10 Security Post Relief

- 2.10.1 Staff assigned to a security post shall remain on post until properly relieved or released by the shift supervisor. There shall be no exceptions to this requirement.
- 2.10.2 An officer who refuses to remain on the security post until properly relieved may be subject to disciplinary action for abandonment of a security post in accordance with Department Order #601, Administrative Investigations and Employee Discipline.

2.11 Staffing Levels/Activities – Required staffing is the level of staffing necessary to safely conduct normal activity within an institution. Activities are required to meet Constitutional requirements. Federal and state statutes and Department mandates are listed to provide guidance during flexible scheduling and institutional/unit lockdowns caused by situational issues and staffing deficits. Required activities include:

- 2.11.1 Food Service – Meals may be served in cell(s) or dining area(s) during staffing deficits or institutional lockdown.
- 2.11.2 Inmates on lockdown status shall be provided a minimum of one hour of exercise on five different days of each week and three showers per week. {5-ACI-4A-16} {5-ACI-4A-24} {5-ACI-4B-16} {5-ACI-4B-24}
- 2.11.3 Emergency, essential medical services and additional medical services to include at a minimum:
 - 2.11.3.1 Medication delivery.
 - 2.11.3.2 Insulin injections.
 - 2.11.3.3 Outside consultations when warranted.

- 2.11.3.4 Medical and dental appointments.
- 2.11.4 Mental/behavioral health programs, which may include:
 - 2.11.4.1 Substance abuse treatment.
 - 2.11.4.2 Mental Health Programs and Services.
 - 2.11.4.3 Sex Offender Treatment Programs.
- 2.11.5 Mail, which shall be delivered as outlined in Department Order #914, Inmate Mail. {5-ACI-7D-01}
- 2.11.6 Education programs, which include: {5-ACI-7B-01}
 - 2.11.6.1 Adult Basic Education.
 - 2.11.6.2 High School Diploma and High School Equivalency Preparation programs.
 - 2.11.6.3 Career and Technical Education.
- 2.11.7 Inmate Work Programs – Off-site work crews may be cancelled in the following order:
 - 2.11.7.1 Arizona Correctional Industries (ACI) Owned and Operated
 - 2.11.7.2 Intra-Governmental Agreements (IGA), with the exception of Arizona Department of Transportation (ADOT) and Wildland Fire Crew - The ADOT and the Wildland Fire Crews shall not be cancelled.
 - 2.11.7.3 ACI Private Partners
- 2.11.8 Waste Management (sanitation)
 - 2.11.8.1 Basic sanitation practices shall occur during staffing deficits or institutional lockdown.
 - 2.11.8.2 Disposal of trash from unit operation areas such as kitchens, staff members work areas and inmate living areas by escorted inmates.
- 2.11.9 Religious Activities – Department chaplains shall administer religious activities when security staffing deficits occur. Volunteers shall be immediately notified in the event of cancelled services to reduce unnecessary travel. {5-ACI-7F-05}
 - 2.11.9.1 Religious programs shall be reviewed by the unit Deputy Warden in consultation with the unit chaplain for possible cancellation and/or rescheduling in the event of staffing deficits or institutional lockdown.
- 2.11.10 Inmate Visitation – Visitation shall be reviewed by the unit Deputy Warden, in consultation with the Warden, to determine if cancellation is necessary. {5-ACI-7D-16}
- 2.12 Pre-Planning Projections – Managers and supervisors shall continually and diligently review the roster to address unexpected staffing deficits and subsequent schedule adjustments.

- 2.12.1 The unit Deputy Warden and Chief of Security (Associate Deputy Warden and Correctional Officer IV, as appropriate) shall:
 - 2.12.1.1 Develop staffing projections for all shifts within their unit.
 - 2.12.1.2 Identify and address staffing deficits to ensure the appropriate number of staff is scheduled to achieve daily required staffing.
 - 2.12.1.3 Conduct random checks on each shift to ensure physical staff attendance and assignments are reported accurately.
 - 2.12.1.4 As staffing deficits are identified, develop an action plan to achieve the appropriate levels within the unit. The action plan may include, but is not limited to:
 - 2.12.1.4.1 A system which establishes priority posting in conjunction with reviewing and modifying activity levels within the unit.
 - 2.12.1.4.2 Making schedule adjustments, such as, temporary RDO adjustments or flexing the schedules of support services and shift security staff. This may include allowing staff to trade schedules or RDOs as approved by both respective staff supervisors.
- 2.12.2 The unit Chief of Security shall:
 - 2.12.2.1 Ensure unit rosters are maintained and consistent with Authorized Post Charts.
 - 2.12.2.2 Ensure shifts and RDO allocations are appropriately balanced.
 - 2.12.2.3 Ensure staffing projections are developed for all shifts.
 - 2.12.2.4 Ensure daily rosters are developed a minimum of two-weeks in advance.
 - 2.12.2.5 Identify and address staffing deficits to ensure the appropriate numbers of employees are scheduled to achieve required level staffing.
 - 2.12.2.6 As staffing deficits are identified, develop an action plan to achieve the appropriate levels within the unit. The action plan may include but is not limited to consulting with the Deputy Warden for further action plan development if the deficits appear long term, reoccurring or consistent with other extending factors.
- 2.12.3 The unit Shift Commanders shall:
 - 2.12.3.1 Ensure an accurate copy of the daily shift roster is available to successive shifts 24 hours in advance for the purpose of emailing in staffing numbers for cross-leveling.
 - 2.12.3.2 Report preliminary on-coming shift numbers to the Complex Shift Commander a minimum of two hours prior to the beginning of shift.

- 2.12.3.3 Immediately notify the Complex Shift Commander of any unexpected schedule changes, i.e., unplanned absences due to illness, injury, or other emergency situations.
- 2.12.3.4 Review daily staffing to identify irregularities with regard to unplanned absences, leave usage and additional shift coverage requirements.
- 2.12.4 Line staff shall comply with call in procedures as outlined in Department Order #525, Employee Attendance.
- 2.13 Balancing Rosters {5-ACI-1C-04}
 - 2.13.1 Unit Deputy Wardens and Chiefs of Security shall ensure staffing rosters remain balanced with respect to:
 - 2.13.1.1 The number of staff assigned to a shift.
 - 2.13.1.2 The number of staff on RDOs.
 - 2.13.1.3 The shift's ability to achieve required level staffing. In most cases, the number of staff on RDOs should not fluctuate by more than one on any given day. In some cases, it is necessary to have fewer staff on RDOs, that encompass or adjacent to the weekend. RDO assignments shall be based on the needs of the institution.
 - 2.13.2 To attain required level staffing, RDO assignments (i.e., the number of staff assigned to a shift) shall be determined by identifying the minimum number of staff required on Day-shift, Swing-shift and Graveyard-shift posts.
 - 2.13.3 A balance in RDOs shall be achieved by determining the appropriate number of RDO slots for a particular shift using the following formula:
 - 2.13.3.1 5/8 Schedule – Divide the number of staff assigned by 7. Multiply the quotient by 2.
 - 2.13.3.1.1 Example: 20 staff assigned, divided by 7 days in a week = 2.9 or 3.
 - 2.13.3.1.2 The formula in this case would be $20 \div 7 = 3, 3 \times 2 = 6$.
 - 2.13.3.1.3 Thus, 6 staff would be on RDOs and 14 staff would be available to post.
- 2.14 In Preparation of Daily Cross-Leveling – Development of accurate daily rosters and timely reporting of staffing numbers prior to the start of shift is vitally important to the cross-leveling process.
 - 2.14.1 Unit Shift Commanders shall:
 - 2.14.1.1 Provide an accurate copy of the upcoming daily roster to successive Shifts Commanders at their unit.

2.14.1.2 Report preliminary on-coming shift numbers to the Complex Shift Commander a minimum of two hours prior to the beginning of shift.

2.14.1.3 Immediately notify the Complex Shift Commander of any unexpected schedule changes, i.e., unplanned absences due to illness, injury, or other emergency situations.

2.14.2 Oncoming unit Shift Commanders shall:

2.14.2.1 Immediately notify the Complex Shift Commander when staffing totals change and document the reason for the change. Then forward a copy through the chain of command to the Warden.

2.14.2.2 Follow the Complex Shift Commander directions for cross leveling.

2.14.2.3 Ensure staff cross-leveled to other units proceed to the unit immediately.

2.15 Cross-Leveling Process – The reassigning of staff from complex or a unit having a staffing level greater than the required level of staffing, to a unit where the operational level has fallen below required levels. Complex Shift Commanders shall:

2.15.1 Receive and document institutional staffing levels two hours prior to the oncoming shift.

2.15.2 Reconcile the institution staffing levels and begin cross leveling immediately after the beginning of a shift.

2.16 Compensation Requirements

2.16.1 To adjust staffing levels, supervisors may use a schedule adjustment to temporarily change an employee's RDO to achieve the required staffing for the week.

2.16.2 Covered/Non-exempt employees shall receive hour-for-hour compensation if the total of regular (scheduled) hours worked and unscheduled hours worked in one work week does not exceed 40 hours.

2.17 Preparation of Documents, Post Charts and Shift Rosters – The following standard relief factors, as provided for in budget authorization documents shall be applied:

2.17.1 Five-day, 8-hour posts (no relief): No relief

2.17.2 Five-day, 8-hour selected posts: (1.28)

2.17.3 Seven-day, 24-hour posts: (1.80)

2.17.4 Seven-day (12-hour), 24-hour posts: (1.26)

3.0 CORRECTIONAL OFFICER SERIES TRANSFER/CHANGE REQUESTS – This process is not applicable if a complex is utilizing the Post Bidding model.

3.1 Whenever 12-hour shifts are implemented at any unit, Wardens shall ensure all written and electronic records related to 8-hour shift operations inclusive of current requests for shift change and RDO assignments are secured from loss and tampering.

- 3.1.1 All change requests pertaining to 8-hour shift operations including shift and RDO assignments shall be suspended while the unit operates under 12-hour operations.
- 3.2 Unit Changes – An employee seeking transfer to or from a 12-hour unit shall submit a written request in a memo format to the Warden. The memo shall include the employee’s name and rank, the current unit and requested unit, signature and date.
 - 3.2.1 The Warden shall:
 - 3.2.1.1 Date stamp the request and ensure the employee receives a copy of the memo.
 - 3.2.1.2 Ensure all requests for unit changes are approved by the date the request was received.
 - 3.2.1.3 Ensure all requests are maintained in a file by the date of request.
 - 3.2.1.4 If two employees submit requests on the same day, file the requests in order of seniority in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.
 - 3.2.1.5 Ensure the file remains current and is maintained in a secured location.
 - 3.2.2 Transfers between units shall be approved at the Warden’s discretion as outlined in Department Order #504, Recruitment and Hiring.
- 3.3 Shift Changes – An employee seeking consideration for shift change from AM to PM shall submit a written request in a memo to the unit Chief of Security. The memo shall include the employee’s name and rank, the current shift and requested shift, and signature and date.
 - 3.3.1 The Chief of Security shall:
 - 3.3.1.1 Date stamp the request and ensure that the employee receives a copy of the request.
 - 3.3.1.2 Ensure all requests for shift change are approved by the date the request was received, when an opening becomes available on the requested shift.
 - 3.3.1.3 Ensure all requests are filed and maintained as outlined in 3.2.1.3 through 3.2.1.5.
 - 3.3.2 If an employee elects to rescind/cancel a request for a shift change, the employee shall submit a written notification to the Chief of Security requesting to cancel the request. The Chief of Security shall maintain the original request to cancel the shift change and provide a copy to the employee.
- 3.4 Changes in RDO – An employee seeking consideration for a change in RDO shall submit a written request in a memo to his/her Shift Lieutenant. The memo shall include the employee’s name and rank, the current RDO and requested RDO, and signature and date.
 - 3.4.1 The Shift Lieutenant shall:
 - 3.4.1.1 Ensure all requests to change RDO are approved by the date the request was received, when the requested RDO become available.

- 3.4.1.2 File and maintain requests as outlined in this section.
- 3.4.2 Changes in RDO assignments outside the parameters of the approved 12-hour schedule shall be denied.
- 3.4.3 If an employee decides to rescind/cancel a request for an RDO change, the employee shall submit a written notification to the Shift Lieutenant requesting to cancel the request. The Shift Lieutenant shall maintain the original request to cancel the RDO change and provide a copy to the employee.
- 3.5 Management Responsibilities – Wardens and Deputy Wardens shall ensure:
 - 3.5.1 Each employee is treated in a fair and consistent manner.
 - 3.5.2 Files remain current and maintained in a secured location.
 - 3.5.3 Every supervisor knows and understands seniority, as outlined in Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

4.0 POST ASSIGNMENTS AND UNIT ROTATION

- 4.1 Wardens and Deputy Wardens shall ensure:
 - 4.1.1 Institutions/units comply with the Department’s standardized shifts.
 - 4.1.2 Employees are assigned to each post that serves as an entry/exit point for the secure perimeter of a unit.
 - 4.1.2.1 The staff assigned to the unit entry/exit points shall:
 - 4.1.2.1.1 Maintain an Institutional Sign-in Log, Form 524-2, of every person entering/exiting the secure perimeter of the unit.
 - 4.1.2.1.2 Complete the Institutional Sign-In Log form. There shall be no exceptions unless extraordinary physical plant considerations dictate otherwise and the respective Regional Operations Director provides written approval.
 - 4.1.2.1.3 Ensure the Institutional Sign-In Log form includes the name of the individual, time of the individual’s entry/exit, as well as a signature/initial of the staff that verified identification and authorized entry/exit of the individual, which is necessary to ensure authenticity of the entry/exit process.
 - 4.1.2.1.4 Verify the identity of individual(s) seeking entry/exit to/from a secure unit with at least one form of picture identification issued by a governmental entity (i.e., driver’s license, passport, state identification card, employer identification cards, etc.).
 - 4.1.2.1.5 Verify the identity of the employee seeking entry/exit by physically receiving the staff identification card.

- 4.1.2.1.6 Return the staff identification card to the employee who shall maintain possession and display the identification.
 - 4.1.2.1.7 Maintain the identification card of individuals other than Department employees at the entry/exit point.
 - 4.1.2.1.8 Issue a temporary visitor identification card and instruct the individual to display the identification card at all times while behind a secure unit perimeter.
 - 4.1.2.2 Security staff shall not be required to display their identification cards; however, they shall maintain possession of their cards while behind the secure perimeter of a unit.
- 4.2 Correctional Officer Workday – The workday for a Correctional Officer shall begin when the officer is at the duty post.
- 4.2.1 Correctional Officers who are called upon for a work emergency before or after their shift shall be compensated for this time as overtime or extra hours in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.
- 4.3 Rotation of Correctional Officer Assignments – Correctional Officers shall be rotated and cross-trained to be able to perform all Correctional Officer functions, duties and assignments.
- 4.4 Changes in Shifts or Assignment
- 4.4.1 Wardens and Deputy Wardens shall ensure Correctional Officer staff members are given written notice a minimum of two-weeks prior to the effective date of unit or shift assignment changes unless the complex is utilizing the Post Bidding process.
 - 4.4.2 Work assignments and shifts may be changed without advanced notice to address staffing deficiencies.
 - 4.4.3 Correctional Officer assignments shall be regularly rotated between posts to provide officers with the experience necessary to avoid serious harm, disruption of the safe and secure operation of the institution, to provide greater flexibility in the management and assignment of staff when normal operations are disrupted.
 - 4.4.4 Supervisors shall ensure all Correctional Officers, both male and female, have experience working in all posts at their location and on their shifts. Gender shall only be considered when specific, documented, bona fide, job-related criteria restrict an assignment to a male or a female officer.
- 4.5 Post Rotation of Correctional Officer II Assignments (Non-Post Bid Facilities) – Each unit Deputy Warden shall develop and implement a post rotation plan that allows staff to work all available posts while incorporating a team approach. The rotation plan shall be organized to the extent possible that creates teams that work in designated areas. Each team shall work an area for 90 calendar days before being assigned to a new area in the post rotation plan.
- 4.5.1 Correctional Officer IIs shall be assigned to a post/team for 90 calendar days to maximize the opportunities for them to know the inmates in their area while becoming proficient in the safety and security procedures of that post/team.

- 4.5.1.1 Staff assigned to the Restricted Status Housing Program, Mental Health and High Custody Restrictive Housing areas, and kitchen security shall be exempt from the 90-calendar day post rotation plan.
 - 4.5.2 Unit post rotation schedules shall be available for staff to review with their Shift Commanders.
- 4.6 Unit Rotation - Wardens may assign employees to another unit at any time based on operational needs to include administrative transfers. The reason for the move shall be communicated to the employee.
 - 4.6.1 If the reassignment is due to performance that is detrimental to the safety, security or operation of the unit or complex, RDO and shift assignments shall be made in accordance with operational needs and "extent possible" does not apply.
- 4.7 Support Services Positions - The reassignment of a staff member from a support services position to another unit shall not result in the reassignment to another support services position. Staff shall revert to their shift and RDOs assigned prior to the support services assignment.
 - 4.7.1 A staff member's prior shift and RDOs shall be determined by review of historical data on the Department's Security Staffing System.
- 4.8 Automated Shift/RDO Change Tracking Log
 - 4.8.1 The automated Shift/RDO Change Tracking Log shall be maintained, updated and posted monthly by the unit Chief of Security in the briefing book for staff review. Staff may request to see the automated Shift/RDO Change Tracking Log.
 - 4.8.1.1 Shift supervisors shall not make RDO adjustments without the approval of the unit Chief of Security.
 - 4.8.2 The unit's Chief of Security shall ensure staffing levels are balanced across all shifts and RDOs. Shift and RDO assignments are made based on the needs of the institution utilizing the guidelines of this policy.
 - 4.8.3 The automated Shift/RDO Change Tracking Log shall rank staff by priority based on their type of RDO or Shift Change Request in the following order:
 - 4.8.3.1 Temporary Duty (TDY)
 - 4.8.3.2 Voluntary Memorandum
 - 4.8.4 TDY Category – Staff displaced for operational needs shall have priority over all other types of RDO and shift requests.
 - 4.8.4.1 TDYs shall be listed in order by the date they were displaced from their shift and/or RDOs.
 - 4.8.4.2 If there is a tie between two or more TDY staff, seniority shall be the tiebreaker. Based upon seniority, supervisors shall determine which staff member should be restored first.

- 4.8.4.3 Should a staff member who is TDY to another shift/RDO not return to his/her original shift and/or RDOs before rotating, he/she shall be eligible to maintain the original date of displacement from his/her shift and/or RDO at his/her new unit for placement on the automated Shift/RDO Change Tracking Log.
- 4.8.5 Voluntary Memorandum Request Category – Staff voluntarily requesting an RDO or shift change at their currently assigned unit.
 - 4.8.5.1 Shift/RDO change requests shall be listed in the order they are received by the Shift Commander.
 - 4.8.5.2 If there is a tie between two or more memorandum requests, seniority shall be the tiebreaker. Supervisors shall, based upon seniority, determine which staff member should be first.
- 4.8.6 Should a staff member be rotated before receiving a requested shift or RDO change, he/she shall be eligible to maintain the original date of request for placement on the automated Shift/RDO Change Tracking Log at his/her new assignment.
- 4.9 RDO and Shift Change Request Notifications
 - 4.9.1 All staff requesting a TDY, Voluntary Memorandum Request placement on the automated Shift/RDO Change Tracking Log shall submit a memorandum, within 14 calendar days of assignment to a unit, to the receiving unit Chief of Security through their Shift Commander.
 - 4.9.1.1 Eligible staff shall be responsible to request that placement and provide documentation as required. Placement is not automatic and shall be the requesting staff member’s responsibility.
 - 4.9.2 Shift staff requesting a new RDO or shift change may do so at any time and be placed on the automated Shift/RDO Change Tracking Log based on the date of the Shift Commander’s receipt of the memorandum. Upon receipt of a shift or RDO request memorandum, the Shift Commander shall:
 - 4.9.2.1 Sign and date the request.
 - 4.9.2.2 Make a copy and deliver to the Chief of Security within three workdays for logging into the automated Shift/RDO Change Tracking Log.
 - 4.9.2.3 Return the original to the employee for his/her records.
 - 4.9.2.4 Compare the request with the posted automated Shift/RDO Change Tracking Log to ensure accuracy and for resubmission to the receiving Chief of Security, if rotated to maintain the original date of submission placement on the automated Shift/RDO Change Tracking Log.
- 4.10 Review Process – Employees may not grieve unit or work assignments. In the event an employee disagrees with his/her unit assignment as a result of the process, the employee shall meet with the Warden in an attempt to resolve the issue.
 - 4.10.1 The Warden shall:

- 4.10.1.1 Personally meet with the employee within five workdays of the requested appointment. A Warden’s designee shall only be assigned in the event the Warden is away from the complex.
- 4.10.1.2 Review the policy with the employee and ensure the employee has full understanding of the policy and the process involved. The Warden shall ensure the intent of the policy was met and all efforts were made to assign the Correctional Officer to his/her regular shift and RDOs to the extent possible.
- 4.10.2 In the event the policy was not followed the Warden shall take immediate action to rectify the situation and assign the Correctional Officer accordingly.
- 4.10.3 If the Warden determines there were no errors in the process and the intent of the policy was met the assignment will stand.
- 4.10.4 If the Correctional Officer is not satisfied with the outcome of the meeting, the employee may elevate the issue to the respective Regional Operations Director.
 - 4.10.4.1 The Regional Operations Director shall review all corresponding information and discuss the information with the respective Warden. The decision of the Regional Operations Director is final.

5.0 POST BIDDING PROCESS – Institutions with the Post Bidding process for preferred unit, shift assignment, and RDOs shall operate as follows:

- 5.1 Staff shall be afforded the opportunity bid for their preferred unit, shift assignment, and RDOs for a four month period.
- 5.2 Biddable posts shall be identified by the Complex Major and will be open for bidding.
 - 5.2.1 Seniority shall be the primary determining factor in awarding the preferred shift, RDO, or unit assignment.
 - 5.2.1.1 If two or more staff members have the same bid preference, prior years in State service shall be utilized to determine the winning bid preference award. If the bid preference conflict continues, the staff last name, first name and middle initial shall be utilized to resolve the bid preference awarding.
 - 5.2.2 Staff can bid on up to 12 preferences on the “Preferred Unit, Shift, RDO and Post Request Memorandum”.
 - 5.2.2.1 Staff shall write the exact name of the post they are bidding for to ensure they are considered for the correct post.
 - 5.2.2.2 If any one of the four choices on an individual line cannot be granted, that preference will be denied.
- 5.3 Any staff member who bids for and is awarded a post:
 - 5.3.1 That is currently collapsed or vacant of inmates shall be assigned any post and duties by the Shift Commander to provide for the safe and orderly operations of the unit and shift.

- 5.3.2 May be cross leveled or utilized in other areas:
 - 5.3.2.1 If staffing levels require it.
 - 5.3.2.2 To ensure the safety and security of the public, staff and inmates.
 - 5.3.2.3 In all emergency situations, as directed by the Complex Administration.
- 5.4 Any staff member who is not granted a preferred bid choice for the assigned bid period shall be assigned as a Reserve staff member.
 - 5.4.1 The Reserve staff member shall be assigned the same shift for the bidding period to the greatest extent possible.
 - 5.4.1.1 This is not a guarantee; Reserve staff can be scheduled to work different shifts during the post bid period.
 - 5.4.1.2 The Reserve staff members:
 - 5.4.1.2.1 Are subject to changing RDOs sets as they will be covering any post vacancy and staff absences on all units.
 - 5.4.1.2.2 Can and will be moved to different shifts at the needs of the unit and institution.
 - 5.4.1.2.3 Shall receive an updated schedule in the event there is a change to shift or RDOs.
 - 5.4.1.3 If any change is made that does not allow for a two week notice, the unassigned staff member shall receive a “Change Sheet” from the Complex Major.
- 5.5 Preferred Unit, Shift, RDO and Post Bidding Eligibility
 - 5.5.1 Security staff working the designated posts shall participate in the preferred shift, RDO and post bidding process.
 - 5.5.2 Correctional Lieutenants, Sergeants, Corporals, Programs staff and Correctional Officer Trainees (COT) are not eligible to participate in the post bidding preference process.
 - 5.5.3 At this time, designated support positions are not participating in the bidding process.
 - 5.5.4 Staff on TWA or with duty limitations shall not participate in the bid preference process until such time they are returned to full-duty.
 - 5.5.4.1 Returning TWA staff shall be assigned as a Relief officer on their previous assigned shift and unit until the new bid period begins.
- 5.6 Lateral and Administrative Staff Assignments
 - 5.6.1 If a staff member requests a lateral transfer to a new unit, he/she will be assigned as a Reserve staff by the Complex Major until the new Post Bidding period begins.
 - 5.6.2 Administrative transfers shall be assigned a shift by the Complex Warden, Major and Unit Administrators.

5.6.2.1 RDOs and post shall be assigned by the Complex Major.

5.7 Staff on TDY such as Florence Eyman Support Teams (FEST) or Special Projects

5.7.1 TDY staff shall not complete a preferred bid memorandum.

5.7.2 The TDY staff member shall not be allowed to request a shift or RDOs in the event the TDY assignment is terminated or completed.

5.7.2.1 The TDY staff member shall be assigned as a Reserve position until the new bid period begins.

5.7.2.1.1 This assignment shall be made by the Complex Major.

5.8 Preferred Shift, RDO and Post Bidding Procedures

5.8.1 The Complex Major shall assign each post, to include relief posts a set of RDOs that will be posted for all staff to review prior to bidding process.

5.8.2 The unit Shift Commander shall distribute a “fill-in the blank” memorandum to all eligible staff.

5.8.3 The solicitation shall remain open for a period of two weeks.

5.8.4 Memorandums shall be completed with the full name, Employee Identification Number (EIN) and current assignment of each staff member.

5.8.5 All dates of hire shall be verified by unit Chief of Security using the list provided by the Human Resources Manager.

5.8.6 Staff may select a preferred unit, shift, RDO and post choice for all 12 preferences.

5.8.7 Staff shall complete and submit a bid memorandum whether or not they choose to provide a preference for the bidding process.

5.8.7.1 If staff members have no preference of a preferred unit, shift, RDO or post, they shall enter “Any” in the assigned block on the “Preferred Unit, Shift, RDO and Post Request Memorandum”.

5.8.7.2 If for any reason a staff member does not submit a bidding memorandum, he/she will be placed at the bottom of the seniority list.

5.8.7.2.1 Any memorandum that is placed at the bottom of the seniority list will be assigned a shift RDOs and post by the Complex Major.

5.8.8 The unit Chief of Security shall track and ensure all memorandums are collected and forwarded to the Complex Major by the designated due date.

5.8.9 The Complex Major shall have a one week period to complete the staffing roster based on the preferred unit, shift, RDO and post memorandums completed by staff.

5.8.10 Any staff member that is not able to complete the required post duties at the expected performance level may be removed from their preferred bidding choice at any time by the unit Chief of Security.

- 5.8.10.1 The Complex Major shall then assign the removed staff member as a Reserve staff member until the next bidding period.
- 5.8.11 The Complex Major shall fill all vacated preferred posts.
- 5.8.12 Any post vacated, no matter the reason, shall be filled with the most senior Reserve staff member assigned to that unit for the remainder of that bid cycle.
- 5.9 The Complex Major shall:
 - 5.9.1 Review all bid request memorandums and place them in order of seniority (most recent hire date with the Department).
 - 5.9.2 Ensure all eligible staff has submitted a bid memorandum; assigning any missing staff a seniority number at the bottom of the list.
 - 5.9.3 Award all posts by seniority, preference of unit, shift, RDO and post and place their name in the unit post chart.
 - 5.9.4 In the event the first preferred unit, shift, RDO or post choice cannot be approved, move to the second choice of that staff member.
 - 5.9.4.1 This process shall be continued until all unit posts are filled and bid memorandums have been approved or denied for each staff member.
 - 5.9.4.2 Staff members who are not awarded their preferred unit, shift, RDO or post choices shall be assigned as a Reserve staff by the Complex Major.
 - 5.9.5 Post the results of the bidding memorandums in roster form five weeks prior to the start date.
- 5.10 All employee requests for leave shall be submitted in accordance with this Department Order and Department Order #512, Employee Pay, Work Hours, Compensation and Leave, to the Complex Major to include but not limited to:
 - 5.10.1 Annual leave
 - 5.10.2 Pre-scheduled sick leave
 - 5.10.3 Military leave orders
 - 5.10.4 Yearly Vacation Requests (Dream Sheets)
- 5.11 With the exception of Yearly Vacation Requests, all leave requests shall be processed by date they were received by the Complex Major.
 - 5.11.1 Leave requests shall be date stamped when received.
- 5.12 Unit Shift Commanders shall:
 - 5.12.1 Verify the current leave balance for each leave request submitted and annotate it on the request.
 - 5.12.2 Ensure the leave is submitted at a minimum of 30 days prior to the date of the requested leave.

5.12.2.1 If any requested leave cannot be covered by available leave balances the leave will be denied.

5.12.2.2 Any leave request that cannot be approved in its entirety will be denied.

5.13 The completed bidding rosters shall be posted and are final; no change shall be made without the Complex Major's approval.

5.13.1 The Complex Major shall require a written request for any such change.

5.13.2 The written documentation shall be reviewed, in consultation with the Complex Warden, and a final decision will be made.

5.13.3 The staff member shall be notified in writing once the decision is made.

5.14 Emergency leave requests shall be turned into the Complex Major, in consultation with the assigned unit's Chief of Security, and a decision will be made.

5.14.1 Adjustments to the staffing roster shall be made and the affected relief and or Reserve staff will be notified.

5.15 Support Position and Non-Biddable Posts

5.15.1 Any staff member who is currently in a support or non-biddable post who wishes to participate in the Post Bidding process must complete a memorandum to his/her assigned unit Chief of Security requesting the move.

5.15.1.1 The unit Chief of Security shall forward this memorandum to the Complex Major.

5.15.2 The staff member will be added to the complex seniority list.

5.15.3 The staff member shall submit the bid request memorandum and submit it by the due date.

5.15.4 The unit Chief of Security shall choose a replacement for the vacated non-biddable post.

5.15.4.1 The staff member who is chosen to fill the vacated position shall not bid for a biddable post.

5.15.5 All moves into and out of the non-biddable or support post shall take place on the first day of the new bid cycle.

6.0 HIGH RISK ASSIGNMENT PAY – High Risk Assignment Pay (HRAP) is intended for employees whose duties are extraordinarily demanding due to exposure to dangerous inmates and/or dangerous situations. Supervisors shall ensure notification, via memorandum, to the Institution Human Resources Office is processed within two weeks of the effective date of the assignment so a Personnel Action Transmittal, Form 504-5, is completed in a timely manner.

6.1 Captains, Lieutenants, Sergeants, Correctional Officers, Correctional Officer IIs, IIIs and IVs who are primarily assigned to the following units or tasks shall receive HRAP.

6.1.1 Maximum Security Units

- 6.1.1.1 Eyman - SMU I and Browning Unit.
- 6.1.1.2 ASPC-Phoenix – Alhambra, Baker Ward and Flamenco.
- 6.1.1.3 ASPC-Lewis – Rast Unit
- 6.1.1.4 Detention Units – Limited to employees primarily assigned to and whose post assignment is restricted to a Detention Unit. Detention Units include special-use areas designed for disciplinary isolation, investigative detention, Mental Health Observation, or pending placement into a Maximum Custody Unit.
 - 6.1.1.4.1 All staff members assigned to Detention Units is subject to on-the-job evaluations. Staff members assigned to Detention Units should have completed their probationary period. {5-ACI-4A-13}
- 6.1.2 Other Units/Assignments
 - 6.1.2.1 Based upon the function of these units and as long as these functions do not change:
 - 6.1.2.1.1 ASPC-Tucson - Rincon Unit *[Revision – December 27, 2022]*
 - 6.1.2.1.2 ASPC-Perryville – Santa Maria Unit and Complex Ward
 - 6.1.2.2 Duty assignments where the employee is primarily assigned to the Offender Services, Special Services Unit and transports inmates to and from other states or where the employee is assigned to an institution Transportation Unit and transports Maximum Custody inmates.
 - 6.1.2.3 Service Dog Handlers
- 6.2 Qualified employees permanently transferring or promoting into one of these units/assignments shall receive HRAP effective on the first day of the assignment.
- 6.3 Other employees (e.g., Education staff) who are assigned, in excess of 80 hours in a calendar month, to work in one of the units listed above may apply for consideration to receive HRAP.
 - 6.3.1 The requesting employee shall complete and submit a High-Risk Assignment - Threat Assessment Worksheet, Form 524-1, to the Deputy Warden.
 - 6.3.1.1 Employees assigned to Complex Security shall submit the worksheet to the Warden, who shall evaluate and score the worksheet, and then approve or deny the HRAP.
 - 6.3.2 Within five workdays, the Deputy Warden shall review, evaluate and score the worksheet indicating agreement/disagreement with the information and forward the worksheet, to include a recommendation, to the Warden.
 - 6.3.3 Within five workdays, the Warden shall review the form and then approve or deny HRAP for the employee. The High-Risk Assignment - Threat Assessment Worksheet shall be returned to the employee indicating the results of the assessment.

- 6.3.4 For Inmate Programs and Reentry Division employees, the Bureau Administrator shall review the Worksheet, consult with the appropriate Warden regarding its accuracy and approve or deny HRAP within five workdays. The High-Risk Assignment – Threat Assessment Worksheet shall be returned to the employee indicating the results of the assessment.
- 6.3.5 Staff positions certified in accordance with the worksheet by the Warden or Deputy Warden to have 15 points or higher shall receive HRAP upon final approval by the Warden.
 - 6.3.5.1 If an employee is determined ineligible and not approved for HRAP, the employee may request a review by submitting a memorandum that specifically outlines the reason(s) for disagreement and the High Risk Assignment - Threat Assessment Worksheet indicating disapproval by the Warden, to the appropriate Regional Operations Director within five workdays of receiving the results.
 - 6.3.5.2 The appropriate Regional Operations Director shall review the information and make a final determination as to whether the employee is certified to receive HRAP.
- 6.3.6 The Warden or Deputy Warden shall ensure supervisors initiate or cancel an employee's HRAP by forwarding a Personnel Action form containing the authorization, and the effective date of the action, to the Human Resources Liaison, with a copy to the employee. The Central Office Human Resources Operations' personnel shall enter the information required to implement the action into the Human Resource Information System (HRIS).
- 6.4 Employees approved to receive HRAP shall receive additional compensation of \$0.9375 per hour (x 2080 hours = \$1,950 annually) to be paid on all hours worked, including overtime.
 - 6.4.1 Personnel Administrative Services Unit shall ensure HRAP is:
 - 6.4.1.1 Included in the employee's regular paycheck.
 - 6.4.1.2 Removed from the employee's paycheck when the employee is no longer eligible.
 - 6.4.2 HRAP Stipend Requirements
 - 6.4.2.1 HRAP stipend shall be paid on hours over the 40 regular hours worked.
 - 6.4.2.2 Amounts paid for HRAP shall be included in the Regular Rate for calculation of FLSA overtime.
 - 6.4.2.3 Pursuant to A.R.S. §38-881 definition of "Wages" the HRAP stipend may or may not be included as wages in calculating retirement contributions.
 - 6.4.2.4 If HRAP stipend is paid and the assignment for the employee was not in a high risk unit, amounts received will have to be repaid to the Department. This may be done by remitting a personal payment or authorizing deduction through payroll. Amounts overpaid must be repaid within 30 days of discovery.

- 6.5 A temporary assignment to a unit listed in 6.1.1 through 6.1.2.2 of this section for fewer than 80 hours in a calendar month shall exclude an employee from receiving HRAP. Periods in unpaid status which result in an employee working fewer than 80 hours in a calendar month shall exclude an employee from receiving HRAP.
- 6.6 Wardens, Deputy Wardens and Administrators are not eligible for HRAP unless authorized by the Director.
- 6.7 The Director, with sole discretion, may designate staff positions, posts or assignments not listed in 6.1 through 6.1.2.2 of this section as eligible for HRAP.
 - 6.7.1 In such cases, supervisors may initiate or cancel an employee's HRAP by forwarding a Personnel Action form containing the authorization, a copy of the Director's approval and the effective date of the action, to the appropriate Human Resources Liaison, with a copy to the employee.
 - 6.7.2 The Personnel Liaison or Central Office personnel shall enter the information required to implement the action into the HRIS.
 - 6.7.3 Based upon budgetary constraints, the Director may suspend payment of all HRAP.

7.0 CORRECTIONAL OFFICER/INDUSTRY PROGRAM SPECIALIST RESOURCES FOR ACI OPERATIONS

- 7.1 ACI Owned and Operated Activities including ACI Agricultural Operations – The ACI Business Development Administrator shall ensure all new Correctional Officer/Industry Program Specialist resource requirements for ACI operations are submitted for approval through the appropriate Regional Operations Director to the Assistant Director for Prison Operations and in consultation with the Assistant Director for ACI.
 - 7.1.1 ACI shall pay all associated costs for Correctional Officers/Industry Program Specialists to supervise these ACI operations. When available, Industry Program Specialists shall be the primary source of security for ACI operations.
- 7.2 Full-Time, Year-Round ACI/Private Sector (ACI/PS) Work Programs – Security requirements for work programs in this category shall be developed and submitted for approval, as a recommendation by the Assistant Director for ACI to the Assistant Director for Prison Operations.
 - 7.2.1 Industry Program Specialists shall be hired by ACI to provide security for these work programs.
 - 7.2.2 When necessary, Correctional Officers assigned to provide security for these work programs shall be drawn from the host institution.
 - 7.2.3 ACI shall invoice, by contract, the private sector partner for all personal services expenses for Correctional Officers (including salary, uniform allowance, employee-related expenses and an appropriate relief factor) and shall subsequently reimburse Prison Operations.
- 7.3 Seasonal and/or Sporadic ACI/Private Sector Work Programs – Security requirements for work programs in this category shall be developed and submitted for approval, as a joint recommendation, by the Assistant Director for ACI and the appropriate Warden to the appropriate Regional Operations Director.

- 7.3.1 The duty-status of Correctional Officers, if assigned to these work programs shall be determined on a case-by-case basis by the appropriate Regional Operations Director.
- 7.3.2 ACI shall invoice, by contract, the private sector partner for all personal services expenses for Correctional Officers (including salary, uniform allowance, employee-related expenses and an appropriate relief factor) and shall subsequently reimburse the host institution.
- 7.4 The Assistant Director for ACI shall ensure all new Correctional Officer resource requirements for ACI operations are submitted for approval through the appropriate Regional Operations Director to the Assistant Director for Prison Operations.
- 7.5 Wardens shall ensure only experienced Correctional Officers are assigned to ACI operations, when appropriate.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- Correctional Officer Staffing Levels
- Excellent Attendance
- Extent Possible
- Industry Program Specialist
- Post Rotation
- Relief Factor
- Security Staff
- Seniority
- Shift and RDO Assignments
- Shift/RDO Tracking Tool
- Temporary Duty (TDY)
- Uncovered Employees

ATTACHMENT

Attachment A – Example - Shift/RDO Change Tracking Log

FORMS LIST

- 524-1, High Risk Assignment - Threat Assessment Work Sheet
524-2, Institutional Sign-In Log
524-4, 12-Hour Shift Questionnaire
524-5, 12-Hour Shift Schedule/Correctional Officer Series Memorandum and Agreement of Overtime Election

AUTHORITY

- A.R.S. §13-2311, Fraudulent Schemes and Practices; Willful Concealment; Classification
A.R.S. §13-2407, Tampering with a Public Record; Classification
A.R.S. §23-392, Overtime Compensation for Certain Law Enforcement or Probation Officer Activities; Option; Definitions
A.R.S. §38-881, Definitions

A.R.S. §41-741, Definitions

A.R.S. §41-742, State Personnel System; Covered and Uncovered Employees; Application; Exemptions

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A.A.C. R2-5A-404, Overtime

A.A.C. R2-5A-501, Standards of Conduct

A.A.C. R2-5A-502, Hours of Work

A.A.C. R2-5A-B607, Compensatory Leave

A.A.C. R2-5B-205, Changes From Covered to Uncovered Service

A.A.C. R2-5B-303, Suspension

A.A.C. R2-5B-305, Dismissal

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