

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 500</p> <p>ADMINISTRATIVE/HUMAN SERVICES</p>	<p>OPR:</p> <p>SS AS OPS</p>
	<p>DEPARTMENT ORDER: 524</p> <p><i>EMPLOYEE ASSIGNMENTS AND STAFFING</i></p>	<p>SUPERSEDES:</p> <p>SEE ATTACHMENT A</p>
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## 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 Contract Bed facilities are governed by corporate policy, and pursuant to contractual requirements.

## PROCEDURES

### 524.01 SCHEDULING, REPORTING HOURS WORKED, COMPENSATION

- 1.1 Supervisors at all levels, including Division 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 that employees under their supervision:
    - 1.1.2.1 Are compensated in accordance with this Department Order, Department of Administration (ADOA) Personnel Rules (Arizona Administrative Codes), Arizona Revised Statutes, and 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 the supervisor.
    - 1.1.2.3 Obtain, in writing, their supervisor's prior approval for changes to their regular work schedules.
    - 1.1.2.4 List the actual time worked and leave taken on the Positive Attendance Report (PAR).
    - 1.1.2.5 Verify their Employee Identification Number (EIN) and the spelling of their names on the PAR.
- 1.2 An employee may apply for and be authorized to work an alternative schedule in accordance with Department Order #520, Employee Travel Reduction.

### 524.02 CORRECTIONAL OFFICER STAFFING PROCEDURES

- 1.1 The Division Director for Offender Operations shall:
  - 1.1.1 Establish, standardize and maintain institutional staffing patterns and security posts for all institutions.
  - 1.1.2 After signing approval of Post Charts, forward them, via the Regional Operations Directors, to the Wardens and Deputy Wardens for co-signature.

- 1.1.3 Establish and/or modify staffing patterns and security posts with the Authorized Post Charts for each unit.
  - 1.1.4 Ensure standardized staffing patterns are maintained except as adjustments are needed to accommodate differences in physical plant, mission, specialized programs or situational for time definite issues, such as disturbances.
  - 1.1.5 Ensure Post Charts reflect the number of full time employees (FTE) authorized by applicable budget authorization documents, and reflect the FTE needed to meet the specified relief factors.
- 1.2 The Regional Operation Directors shall:
- 1.2.1 Ensure post charts are established for each institution.
  - 1.2.2 Review and submit all requests for FTE modifications to ensure a consistent statewide approach is applied.
  - 1.2.3 Ensure the application of Roster Management is maintained within their region.
- 1.3 Wardens shall:
- 1.3.1 Ensure the application of Roster Management is maintained at their respective institution.
  - 1.3.2 Review Complex and unit staffing projections and address deficits.
  - 1.3.3 Review and address irregularities in staffing patterns with unit Deputy Wardens.
- 1.4 Deputy Wardens shall:
- 1.4.1 Ensure the application of Roster Management is maintained at their respective unit.
  - 1.4.2 Ensure staffing projections are completed in a timely manner to allow staff the opportunity to pre-schedule voluntary shift coverage.
  - 1.4.3 Review unit staffing projections and address deficits.
  - 1.4.4 Review and address irregularities in staffing patterns with the Chief of Security and specific Shift Lieutenant.
- 1.5 Majors shall:
- 1.5.1 Be responsible for direct oversight of institutional staffing.
  - 1.5.2 Contact unit Deputy Wardens and unit Chief of Security to address staffing projections, patterns or irregularities.
- 1.6 The unit Chief of Security shall:
- 1.6.1 Ensure Shift Lieutenants maintain and complete two-week staffing projections.

- 1.6.2 Review unplanned absences with Shift Lieutenants to address patterns or irregularities.
- 1.6.3 Review and adjust 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.
- 1.7 The Shift Lieutenants shall:
  - 1.7.1 Schedule and maintain adequate staffing for their assigned shift by:
    - 1.7.1.1 Accurately reporting projected staffing in two-week increments.
    - 1.7.1.2 Updating changes to staffing projections as quickly as possible.
    - 1.7.1.3 Ensuring continual follow up and review is conducted on factors that impact staffing such as RDO balancing, leave and unplanned absence.
  - 1.7.2 Formulate an action plan with the unit Chief of Security and Deputy Warden to address irregularities in staffing patterns.
  - 1.7.3 Accurately complete and maintain staffing projections for assigned shift.
  - 1.7.4 Review and address irregularities in staffing patterns caused by leave usage, operational vacancies, unplanned absences, unbalanced RDOs and staff reporting to shift late.
  - 1.7.5 Ensure standardized staffing patterns are maintained at like units except, as adjustments are needed to accommodate differences in physical plant, mission, specialized programs or situational, time definite issues (i.e. disturbances).
- 1.8 The Wardens, in coordination with the Division Director for Offender Operations and Regional Operations Directors, shall:
  - 1.8.1 Ensure that Post Charts are established and maintained for each unit within the institution.
  - 1.8.2 Establish Post Charts that provide adequate staffing patterns based on the needs of the Institution.
- 1.9 Modification of Staffing Patterns - The Division Director for Offender Operations shall pre-approve all movement of FTEs between institutions.
  - 1.9.1 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.
    - 1.9.1.1 The Regional Operations Director shall confer and jointly ensure a consistent statewide approach and application is maintained.

- 1.9.1.2 The respective Regional Operations Director shall then submit a justification request to the Division Director. Modifications shall be identified in bold or highlighted in the document.
  - 1.9.1.3 The Division Director shall approve exceptions after consultation with the Regional Operations Director submitting the written justification and issue a new Authorized Post Chart for confirmatory signatures.
- 1.10 Security Post Relief
- 1.10.1 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.
  - 1.10.2 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.
- 1.11 Staffing Levels/Activities - Required staffing is the level of staffing necessary to safely conduct normal activity within an institution. Activities that 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:
- 1.11.1 Food service. Meals may be served in cell (or dining area) during staffing deficits or institutional lockdown.
  - 1.11.2 Inmates on lockdown status shall be provided a minimum of two consecutive hours of exercise on three different days of each week and three showers per week.
  - 1.11.3 Emergency, essential medical services and additional medical services to include at a minimum:
    - 1.11.3.1 Medication delivery.
    - 1.11.3.2 Insulin injections.
    - 1.11.3.3 Outside consultations when warranted.
    - 1.11.3.4 Medical and Dental appointments.
  - 1.11.4 Mental/behavioral health programs, which may include:
    - 1.11.4.1 Substance Abuse Treatment.
    - 1.11.4.2 Mental Health Programs and Services, including Sex Offender Treatment Programs.
  - 1.11.5 Mail, which shall be delivered as outlined in Department Order #914, Inmate Mail.

- 1.11.6 Education programs, which include:
  - 1.11.6.1 Adult Basic Education.
  - 1.11.6.2 GED preparation.
  - 1.11.6.3 Work Based Education.
- 1.11.7 Inmate Work Programs
  - 1.11.7.1 Off-site Work Crews may be cancelled in the following order:
    - 1.11.7.1.1 ACI Owned & Operated.
    - 1.11.7.1.2 IGA (except ADOT and Wild Land Fire Crews).
    - 1.11.7.1.3 ACI Private Partners.
  - 1.11.7.2 The ADOT and the Wild Land Fire Crews shall not be cancelled.
- 1.11.8 Waste Management (sanitation)
  - 1.11.8.1 Basic sanitation practices shall occur during staffing deficits or institutional lockdown.
  - 1.11.8.2 Disposal of trash from unit operation areas such as kitchens, staff work areas and inmate living areas by escorted inmates.
- 1.11.9 Religious activities
  - 1.11.9.1 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.
  - 1.11.9.2 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.
- 1.11.10 Inmate Visitation - Visitation shall be reviewed by the unit Deputy Warden in consultation with the Warden to determine if cancellation is necessary.
- 1.12 Pre-Planning Projections - Managers and supervisors shall continually and diligently review the roster to address unexpected staffing deficits and subsequent schedule adjustments.
  - 1.12.1 The unit Deputy Warden and Chief of Security shall:
    - 1.12.1.1 Develop staffing projections for all shifts within their unit.
    - 1.12.1.2 Identify and address staffing deficits to ensure the appropriate numbers of staff is scheduled to achieve daily required staffing.

- 1.12.1.3 Conduct random checks on each shift to ensure that physical staff attendance and assignments are reported accurately.
- 1.12.1.4 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:
  - 1.12.1.4.1 In conjunction with the Deputy Warden, reviewing pull posts and modifying activity levels within the unit.
  - 1.12.1.4.2 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.
- 1.12.2 The unit Chief of Security shall:
  - 1.12.2.1 Ensure unit rosters are maintained and consistent with Authorized Post Charts.
  - 1.12.2.2 Ensure shifts and RDO allocations are appropriately balanced.
  - 1.12.2.3 Ensure staffing projections are developed for all shifts.
  - 1.12.2.4 Ensure daily rosters are developed a minimum of two weeks in advance.
  - 1.12.2.5 Identify and address staffing deficits to ensure the appropriate numbers of staff is scheduled to achieve Required Level Staffing.
  - 1.12.2.6 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:
    - 1.12.2.6.1 The steps outlined in 1.13.5.1 through 1.13.5.2 of this section.
    - 1.12.2.6.2 Consulting with the Deputy Warden for further action plan development if the deficits appear long term, reoccurring or consistent with other extending factors.
- 1.12.3 The unit Shift Commanders shall:
  - 1.12.3.1 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.

- 1.12.3.2 Report preliminary on-coming shift numbers to the Complex Shift Commander a minimum of two hours prior to the beginning of shift.
- 1.12.3.3 Immediately notify the Complex Shift Commander of any unexpected schedule changes, i.e., unplanned absences due to illness, injury, or other emergency situations.
- 1.12.3.4 Review daily staffing to identify irregularities with regard to unplanned absences, leave usage and additional shift coverage requirements.
- 1.12.4 Line Staff shall comply with call in procedures as outlined in Department Order #525, Chronic Absence Classification.
- 1.13 Balancing Rosters
  - 1.13.1 Unit Deputy Wardens and Chiefs of Security shall ensure that staffing rosters remain balanced with respect to:
    - 1.13.1.1 The number of staff assigned to a shift.
    - 1.13.1.2 The number of staff on RDOs.
    - 1.13.1.3 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.
  - 1.13.2 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 to attain Required Level Staffing.
  - 1.13.3 A balance in RDOs shall be achieved by determining the appropriate number of RDO slots for a particular shift using the following formula:
    - 1.13.3.1 5/8 Schedule - Divide the number of staff assigned by 7. Multiply the quotient by 2.
      - 1.13.3.1.1 Example: 20 staff assigned, divided by 7 days in a week = 2.9 or 3.
      - 1.13.3.1.2 The formula in this case would be 20 divided by 7 = 3, 3x2 = 6.
      - 1.13.3.1.3 Thus 6 staff would be on RDOs and 14 staff would be available to post.
- 1.14 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.

- 1.14.1 Unit Shift Commanders shall:
  - 1.14.1.1 Provide an accurate copy of the upcoming daily roster to successive Shifts Commanders at their unit.
  - 1.14.1.2 Report preliminary on-coming shift numbers to the Complex Shift Commander a minimum of two hours prior to the beginning of shift.
  - 1.14.1.3 Immediately notify the Complex Shift Commander of any unexpected schedule changes, i.e., unplanned absences due to illness, injury, or other emergency situations.
- 1.14.2 Oncoming unit Shift Commanders shall:
  - 1.14.2.1 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 Complex Warden.
  - 1.14.2.2 Follow the Complex Shift Commander directions for cross leveling.
  - 1.14.2.3 Ensure staff cross-leveled to other units proceed to that unit immediately.
- 1.15 Cross-Leveling Process - The reassigning of staff from Complex or a unit having a staffing level greater than Required Level Staffing to a unit where the operational level has fallen below Required Levels.
  - 1.15.1 Complex Shift Commanders shall:
    - 1.15.1.1 Receive and document institutional staffing levels two hours prior to the oncoming shift using the prescribed form.
    - 1.15.1.2 Reconcile the institution staffing levels and begin cross leveling immediately after the beginning of a shift.
- 1.16 Compensation Requirements
  - 1.16.1 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.
  - 1.16.2 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.
- 1.17 Preparation of Documents, Post Charts and Shift Rosters
  - 1.17.1 Relief Factors - The following standard relief factors, as provided for in budget authorization documents, shall be applied:

- 1.17.1.1 Five-day, 8-hour posts (no relief): No relief.
- 1.17.1.2 Five-day, 8-hour selected posts: (1.28).
- 1.17.1.3 Seven-day, 24-hour posts: (1.80).

## **524.03 CORRECTIONAL OFFICER TRANSFER/CHANGE REQUESTS**

- 1.1 Unit Changes – An employee seeking transfer to another unit shall submit a written request in a memo format to the Complex Warden. The memo shall include the employee’s name and rank, the current unit and requested unit, signature and date.
  - 1.1.1 The Complex Warden shall:
    - 1.1.1.1 Date stamp the request and ensure that the employee receives a copy of the memo.
    - 1.1.1.2 Ensure all requests are maintained in a file by the date of request.
    - 1.1.1.3 Ensure all requests for unit changes are approved by the date the request was received.
    - 1.1.1.4 In the event that two employees submit requests on the same day, file the requests in order of seniority, as outlined in Department Order #512, Employee Pay, Work Hours, Compensation and Leave.
    - 1.1.1.5 Ensure the file remains current and is maintained in a secured location.
  - 1.1.2 Transfers between units shall be approved at the Warden’s discretion as outlined in Department Order #504, Recruitment and Hiring.
- 1.2 Shift Changes – An employee seeking consideration for shift change 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.
  - 1.2.1 The Chief of Security shall:
    - 1.2.1.1 Date stamp the request and ensure that the employee receives a copy of the request.
    - 1.2.1.2 Ensure all requests are maintained in a file by the date of request.
    - 1.2.1.3 Ensure all requests for shift change are approved by the date the request was received when an opening becomes available on the requested shift.
    - 1.2.1.4 In the event two employees submit requests on the same day, file the requests in order of seniority, as outlined in Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

- 1.2.1.5 Ensure the file remains current and is maintained in a secure location.
- 1.2.2 If an employee decides to rescind/cancel a request for a shift change, that 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.
- 1.3 Changes in RDO – An employee seeking consideration for a change in RDO shall submit a written request in a memo to their Shift Lieutenant. The memo shall include the employee's name and rank, the current RDO and requested RDO, and signature and date.
  - 1.3.1 The Shift Lieutenant shall:
    - 1.3.1.1 Date stamp the request and ensure that the employee receives a copy of the request.
    - 1.3.1.2 Ensure all requests are maintained in a file by the date of request.
    - 1.3.1.3 Ensure all requests to change RDO are approved by the date the request was received when the requested RDO become available.
    - 1.3.1.4 In the event two employees submit requests on the same day, file the requests in order of seniority, as outlined in Department Order #512, Employee Pay, Work Hours, Compensation and Leave.
    - 1.3.1.5 Ensure the file remains current and is maintained in a secure location.
  - 1.3.2 If an employee decides to rescind/cancel a request for an RDO change, that 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.
- 1.4 Management Responsibilities
  - 1.4.1 Wardens and Deputy Wardens shall:
    - 1.4.1.1 Ensure that each employee is treated in a fair and consistent manner.
    - 1.4.1.2 Ensure that files remain current and maintained in a secured location.
    - 1.4.1.3 Ensure that every supervisor knows and understands seniority, as outlined Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

#### **524.04 POST ASSIGNMENTS AND UNIT ROTATION**

- 1.1 The Wardens and Deputy Wardens shall ensure:

- 1.1.1 Institutions/units comply with the Department's standardized shift and briefing times.
- 1.1.2 Staff is assigned to each post that serves as an entry/exit point for the secure perimeter of a unit.
  - 1.1.2.1 The staff assigned to the unit entry/exit points shall:
    - 1.1.2.1.1 Maintain an Institutional Sign-in/Sign-Out Log, Form 524-2, of every person entering/exiting the secure perimeter of the unit.
    - 1.1.2.1.2 Complete the Institutional Sign-In/Sign-Out Log. There shall be no exceptions unless extraordinary physical plant considerations dictate otherwise and the respective Regional Operations Director provides written approval.
    - 1.1.2.1.3 Ensure the Institutional Sign-In/Sign-Out Log 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.
    - 1.1.2.1.4 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., drivers license, passport, state identification card, employer identification cards, etc.
    - 1.1.2.1.5 Verify the identity of the employee seeking entry/exit by physically receiving the staff identification card.
    - 1.1.2.1.6 Return the staff identification card to the employee who shall maintain possession and display the identification.
    - 1.1.2.1.7 Maintain the identification card of individuals other than Department employees at the entry/exit point.
    - 1.1.2.1.8 Issue a temporary visitor identification card and instruct the individual to display the identification card at all times while behind a secure unit perimeter.
  - 1.1.2.2 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.
- 1.2 Correctional Officer Workday - The workday for a Correctional Officer shall begin when the officer is at the duty post.

- 1.2.1 Time required for clearing the metal detector or other time spent getting to the assigned unit, post or assignment shall not be considered on-duty time.
  - 1.2.2 Supervisors shall not assign Correctional Officers mandatory duties either prior to or after the end of their shift. For example; picking up mail or waiting for paperwork to be approved.
  - 1.2.3 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.
- 1.3 Changes in Shifts or Assignments
- 1.3.1 Wardens and Deputy Wardens shall ensure that Correctional Officer staff is given written notice a minimum of two weeks prior to the effective date of unit or shift assignment changes. This allows employees to make necessary personal arrangements to conform to changes, such as child care and car pool arrangements.
  - 1.3.2 Work assignments and shifts may be changed without notice, in emergency situations only.
- 1.4 Rotation of Correctional Officer Assignments - Correctional Officers shall be able to perform all Correctional Officer functions, duties and assignments.
- 1.4.1 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.
  - 1.4.2 Supervisors shall ensure that 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.
- 1.5 Unit Rotation - All Correctional Officer series employees (i.e., Captain, COIV, Lieutenant, Sergeant, CO III and COII) assigned to a prison unit, complex security or Correctional Officer Training Academy (COTA), shall be rotated from unit to unit at three year intervals. Specialty posts will be rotated in five year intervals. See section 1.5.1.1 for clarification of specialty posts. Wardens or the Approving Authority shall maintain the right to determine assignments based on operational needs.
- 1.5.1 Correctional Officers shall not be assigned to a specialty post for more than five years. The following are defined as specialty posts:
    - 1.5.1.1 Specialty Posts - Assignments that require staff with specialized training, licensing, certification, and/or special weapons qualifications. Those posts are defined as service dog handlers, fire crew supervisors, armorers, Special Security Unit (SSU), and transportation staff.

- 1.5.2 Wardens shall ensure unit rotation occurs at a rate of 20 percent of eligible staff per quarter. The distribution as re-assignments will be progressive throughout the quarter.
- 1.5.3 ASPC Florence Globe and ASPC Winslow Apache units shall be exempt from unit to unit rotation.
- 1.5.4 Approving authorities for non-uniformed staff shall develop and implement action plans to achieve staff rotation in areas with limited staff resources.
- 1.5.5 Wardens may assign an employee to another unit at any time based on an assessment of the employee's performance. The reason for the move shall be communicated to the employee.
  - 1.5.5.1 Wardens, Deputy Wardens and other approving authorities shall maintain a tracking document to ensure that rotation of employees is conducted in an equitable and systematic manner. This document shall be maintained and monitored at both the complex and unit level. The rotation requirements shall be an ongoing practice.
- 1.5.6 Employees shall not be eligible for a lateral transfer to the unit previously assigned for a period of one year following rotation.
- 1.5.7 To the extent possible, employees shall be rotated to a unit of a different custody level in order to broaden the employee's experience and aid in professional development.
- 1.5.8 Employees assigned to Temporary Work Assignments or Temporary Duty Assignments shall continue to remain eligible for unit rotation.
- 1.5.9 To the extent possible, employees shall retain their shift and regular days off (RDO).
  - 1.5.9.1 In the event a shift or RDO assignment is not available, the employee shall submit a memorandum to the receiving unit Chief of Security. Shift assignments and RDO's shall be assigned based on seniority as defined in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.
  - 1.5.9.2 Upon rotation, individual memoranda from previous units will be null and void.
  - 1.5.9.3 A written request for specific RDO's or shift assignment will be accepted after rotation and placed in order of seniority at the receiving unit.
  - 1.5.9.4 Rotation from a support services position to a new unit shall not result in the re-assignment to another support service position. Staff shall return to shift. (Example: mail and property, visitation, etc).
- 1.5.10 For the purpose of Unit Rotation, ASPC Florence and ASPC Eyman shall be considered one complex. Staff working at one complex may be rotated to the other complex.

**524.05 HIGH RISK ASSIGNMENT AND 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 that the Personnel Action Transmittal, Form 504-5, is submitted to institution Personnel Offices in a timely manner to initiate personnel action(s).

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

1.1.1 Maximum Security Units:

1.1.1.1 ASPC-Florence – Kasson Unit and Central Unit.

1.1.1.2 ASPC-Eyman - SMU I and Browning Unit.

1.1.1.3 ASPC-Perryville – B30 - Special Management Area.

1.1.1.4 ASPC-Phoenix - Alhambra Unit-Reception Area, Baker Ward and Flamenco.

1.1.1.5 Detention Units - Limited to employees primarily assigned to and whose post assignment is restricted to a Detention Unit. Detention Units include special-use areas of segregated housing units or cells designed or designated to be used for disciplinary isolation, investigative detention, mental health observation, or pending placement into a maximum security unit.

1.1.2 Other Units/Assignments:

1.1.2.1 Based upon the function of these units and as long as these functions do not change, ASPC-Tucson, Rincon IPC / Housing Unit 9, BHU / Housing Units 7 and 8, Mental Health Watch, IPC and Transitory Run, Minors Unit; ASPC-Perryville, San Pedro Minors.

1.1.2.2 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.

1.1.3 Duty assignments where an employee is primarily assigned to:

1.1.3.1 The Offender Services, Special Services Unit and the transporting of inmates to/from other states.

1.1.3.2 An institution Transportation Unit and the transporting of maximum security inmates.

1.2 Qualified employees permanently transferring or promoting into one of these units/assignments shall receive HRAP effective on the first day of the assignment.

1.3 Other employees 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.

- 1.3.1 The requesting employee shall complete and submit a High Risk Assignment - Threat Assessment Worksheet, Form 524-1, to the Deputy Warden.
  - 1.3.1.1 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.
  - 1.3.1.2 Inmate health service employees shall submit the worksheet to the Facility Health Administrator (FHA).
- 1.3.2 The Deputy Warden or FHA shall, within five work days, review, evaluate and score the worksheet indicating agreement/disagreement with the information and forward the worksheet, to include a recommendation, to the Warden.
- 1.3.3 The Warden shall, within five workdays, 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.
- 1.3.4 Staff positions certified in accordance with the worksheet by the Warden, Deputy Warden or FHA to have 15 points or higher shall receive HRAP upon final approval by the Warden.
  - 1.3.4.1 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 work days of receiving the results.
  - 1.3.4.2 The appropriate Regional Operations Director shall review the information and make a final determination as to whether the employee is certified to receive HRAP.
- 1.3.5 The Warden, Deputy Warden or FHA shall ensure that 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 Personnel Liaison, with a copy to the employee. The Personnel Liaison or Central Office personnel shall enter the information required to implement the action into the Human Resource Information System (HRIS).
- 1.4 Employees approved to receive HRAP shall receive additional compensation of \$720 per year. The Personnel Administrative Services Unit shall ensure that HRAP:
  - 1.4.1 Is included in the employee's regular paycheck.
  - 1.4.2 Is removed from the employee's paycheck when the employee is no longer eligible.
- 1.5 Periods of interrupted service, or temporary assignment to a unit listed in 1.1.1 through 1.1.2 of this section, resulting in less than eighty hours worked in a calendar month shall exclude an employee from receiving HRAP.

- 1.6 Warden, Deputy Warden and Administrators are not eligible for HRAP unless authorized by the Director.
- 1.7 The Director, with sole discretion, may designate staff positions, posts or assignments not listed in 1.1 through 1.3 of this section, as eligible for HRAP.
  - 1.7.1 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 Personnel Liaison, with a copy to the employee.
  - 1.7.2 The Personnel Liaison or Central Office personnel shall enter the information required to implement the action into the HRIS.
  - 1.7.3 Based upon budgetary constraints, the Director may suspend payment of all HRAP.

**524.06 CORRECTIONAL OFFICER/INDUSTRY PROGRAM SPECIALIST RESOURCES FOR ACI OPERATIONS**

- 1.1 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 Division Director for Offender Operations and in consultation with the Division Director for Support Services. ACI shall pay all associated costs for Correctional Officers/ Industry Program Specialist to supervise these ACI operations. When available, Industry Program Specialists shall be the primary source of security for ACI operations.
- 1.2 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 Division Director for Support Services to the Division Director for Offender Operations.
  - 1.2.1 Industry Program Specialist shall be hired by ACI to provide security for these work programs.
  - 1.2.2 When necessary, Correctional Officers assigned to provide security for these work programs shall be drawn from the host institution.
  - 1.2.3 ACI shall invoice, by contact, 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 Offender Operations.
- 1.3 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 ACI Operations Director and the appropriate Warden to the appropriate Regional Operations Director.
  - 1.3.1 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.

- 1.3.2 ACI shall invoice, by contact, 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.
- 1.4 The ACI Operations Director shall ensure all new Correctional Officer resource requirements for ACI operations are submitted for approval through the appropriate Regional Operations Director to the Division Director for Offender Operations.
- 1.5 Wardens shall ensure that only experienced Correctional Officers are assigned to ACI operations, when appropriate.

## IMPLEMENTATION

The Division Director for Administrative Services shall maintain a Technical Manual on the PAR, which addresses, at a minimum, the following requirements for Timekeepers and Payroll Unit staff:

- Entry of data into PAR and HRIS.
- Monitoring and verification requirements.
- Corrections to information recorded.
- Deadlines.
- Periodic audits.

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## DEFINITIONS

**CORRECTIONAL OFFICER STAFFING LEVELS** - Shall be identified in a manner consistent with protecting the public, maintaining staff safety, providing for the health and welfare needs of inmates, and in meeting statutory/constitutional requirements.

**COVERED EMPLOYEES** - Employees who are covered by the ADOA Personnel Rules. The Class Code for a covered position is a five digit number that does not begin with zero, e.g., Correctional Officer, 39002. Covered positions include:

- **Covered Excluded FLSA-Exempt Positions** - Managerial positions designated by the ADOA Personnel Rules (such as Administrators) and Professional positions, (such as Physicians and Attorneys). The HRIS position number for these positions ends in the letter "O."
- **Covered FLSA-Exempt Positions:** Positions designated by the ADOA Personnel Rules in which compensation for overtime is not required by FLSA guidelines, but employees receive hour for hour overtime compensation. The HRIS Position Number for these positions ends in the letter "E."
- **Covered FLSA-Nonexempt Positions:** Positions designated by the ADOA Personnel Rules in which compensation for overtime is required by FLSA guidelines and in which employees elect whether to receive compensatory leave or cash payment. The HRIS Position Number for these positions ends in the letter N.

(Note: An employee may be covered by the ADOA Personnel Rules but assigned to a non-covered position or vice versa. The position number may not be an accurate indication of employee status.)

**EXCELLENT ATTENDANCE** - To achieve excellent attendance the employee must be in pay status (not on LWOP), with no unscheduled absence occurrences or unscheduled early departures from work, except those defined as a policy exception.

**INDUSTRY PROGRAM SPECIALIST** - ACI employees hired as security staff for ACI Owned/Operated programs and labor contracts. These staff are required to have a background in security operations, such as retired Correctional Officers, County Detention Officers and Military Police/Detention.

**POST ROTATION** - Rotation of staff within any shift to any given position to ensure staff is trained in all positions on that shift.

**RELIEF FACTOR** - The percentage of a full-time employee position which is required to provide coverage for a post while the full-time employee normally assigned to that position is absent due to training, annual leave, sick leave and regular days off.

**SECURITY STAFF** - For the purpose of compensation time accrual, include Correctional Officers II, III and IV, Sergeants, Lieutenants, Captains, Majors, Parole Officers and Parole Supervisors.

**UNCOVERED EMPLOYEES** - Employees that are not subject to the ADOA Personnel Rules, in accordance with A.R.S. 41-762. The Class Code for an uncovered position is a five-digit number beginning with zero. Uncovered positions include:

- Uncovered Excluded FLSA-Exempt Positions: Appointed positions (such as Deputy Director, Division Director, Regional Operations Directors, Warden, Deputy Warden and some Administrator positions). The HRIS Position Number for these positions ends in the letter "O."
- Uncovered FLSA-Nonexempt Positions: Appointed positions, such as some Executive Staff support positions. The HRIS Position Number for these positions ends in the letter "N."

(Note: An employee may be covered by the ADOA Personnel Rules but assigned to a non-covered position or vice versa. The position number may not be an accurate indication of employee status.)

{Original Signature on File}

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Charles L. Ryan  
Director

## ATTACHMENTS

Attachment A - Supersedes

## FORMS

524-1, High Risk Assignment - Threat Assessment Work Sheet

524-2, Institutional Sign-In Log

## AUTHORITY

A.R.S. 13-2311, Fraudulent Schemes and Practices; Willful Concealment

A.R.S. 13-2407, Tampering with a Public Record

A.R.S. 39-161, Presentment of False Instrument for Filing

A.R.S. 41-762, Definitions

A.R.S. 41-770, Cause for Discipline or Dismissal from state service

A.R.S. 41-783, ADOA Personnel Rules

A.R.S. 41-1492 et seq, Arizonans With Disabilities Act of 1992

A.A.C. R2-5-208, Changes in Assignment

A.A.C. R2-5-305, Overtime Pay and Compensatory Leave

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

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

A.A.C. R2-5-701, Grievance System

A.A.C. R2-5-702, Grievance Procedures

A.A.C. R2-5-801, Suspension

A.A.C. R2-5-803, Dismissal

29 U.S.C. Section 201, Fair Labor Standards Act

Americans With Disabilities Act of 1990, Titles I-V

Family and Medical Leave Act of 1993

U.S. Civil Rights Act of 1964

Attorney General's Opinion I97-003

**ATTACHMENT A  
DEPARTMENT ORDER 524**

**SUPERSEDES**

*Department Order 524, Employee Assignments and Staffing, supersedes the following:*

Department Order 512, Employee Assignments, Work Hours, Compensation and Leave (09/01/96)

DI 159, Modifies DO 512, Employee Assignments, Work Hours, Compensation and Leave (10/02/00)

DI 225, Institution/Unit Sign-In/Sign-Out Logbooks (12/17/04)

DI 230, Staffing Procedures/Roster Management (7/18/05)

DI 250, Seniority (10/4/06)