

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 500</p> <p>ADMINISTRATIVE/HUMAN SERVICES</p>	<p>OPR:</p> <p>OPS</p>
	<p>DEPARTMENT ORDER: 524</p> <p><i>EMPLOYEE ASSIGNMENTS AND STAFFING</i></p>	<p>SUPERSEDES:</p> <p>DO 524 (11/24/09) DI 286 (10/01/14) DI 306 (08/12/11)</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 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

524.01 SCHEDULING, REPORTING HOURS WORKED, COMPENSATION

- 1.1 Supervisors at all levels, including Division Directors, Assistant Director, 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 List 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.

524.02 CORRECTIONAL OFFICER SERIES 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 respective Regional Operations Director, 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 In coordination with the Division Director for Offender Operations and Regional Operations Directors:
 - 1.3.1.1 Ensure Post Charts are established and maintained for each unit within the institution.
 - 1.3.1.2 Establish Post Charts that provide adequate staffing patterns based on the needs of the institution.
 - 1.3.2 Ensure the application of Roster Management is maintained at their respective institution.
 - 1.3.3 Review complex and unit staffing projections and address deficits.
 - 1.3.4 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 Modification of Staffing Patterns - The Division Director for Offender Operations shall pre-approve all movement of FTE's between institutions.
 - 1.8.1 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.
 - 1.8.2 The respective Regional Operations Director shall:
 - 1.8.2.1 Confer and jointly ensure a consistent statewide approach and application is maintained.
 - 1.8.2.2 Submit a justification request to the Division Director for Offender Operations. Modifications shall be identified in bold or highlighted in the document.

- 1.8.3 The Division Director for Offender 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.
- 1.9 Security Post Relief
 - 1.9.1 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.
 - 1.9.2 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.
- 1.10 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:
 - 1.10.1 Food service - Meals may be served in cell(s) or dining area(s) during staffing deficits or institutional lockdown.
 - 1.10.2 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.
 - 1.10.3 Emergency, essential medical services and additional medical services to include at a minimum:
 - 1.10.3.1 Medication delivery.
 - 1.10.3.2 Insulin injections.
 - 1.10.3.3 Outside consultations when warranted.
 - 1.10.3.4 Medical and dental appointments.
 - 1.10.4 Mental/behavioral health programs, which may include:
 - 1.10.4.1 Substance abuse treatment.
 - 1.10.4.2 Mental Health Programs and Services.
 - 1.10.4.3 Sex Offender Treatment Programs.
 - 1.10.5 Mail, which shall be delivered as outlined in Department Order #914, Inmate Mail.
 - 1.10.6 Education programs, which include:
 - 1.10.6.1 Adult Basic Education.
 - 1.10.6.2 High School Diploma and High School Equivalency Preparation programs.

- 1.10.6.3 Career and Technical Education.
- 1.10.7 Inmate Work Programs - Off-site work crews may be cancelled in the following order:
 - 1.10.7.1 Arizona Correctional Industries (ACI) Owned and Operated.
 - 1.10.7.2 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.
 - 1.10.7.3 ACI Private Partners.
- 1.10.8 Waste Management (sanitation)
 - 1.10.8.1 Basic sanitation practices shall occur during staffing deficits or institutional lockdown.
 - 1.10.8.2 Disposal of trash from unit operation areas such as kitchens, staff work areas and inmate living areas by escorted inmates.
- 1.10.9 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.
 - 1.10.9.1 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.
- 1.10.10 Inmate Visitation - Visitation shall be reviewed by the unit Deputy Warden, in consultation with the Warden, to determine if cancellation is necessary.
- 1.11 Pre-Planning Projections - Managers and supervisors shall continually and diligently review the roster to address unexpected staffing deficits and subsequent schedule adjustments.
 - 1.11.1 The unit Deputy Warden and Chief of Security (Associate Deputy Warden and Correctional Officer IV, as appropriate) shall:
 - 1.11.1.1 Develop staffing projections for all shifts within their unit.
 - 1.11.1.2 Identify and address staffing deficits to ensure the appropriate number of staff is scheduled to achieve daily required staffing.
 - 1.11.1.3 Conduct random checks on each shift to ensure physical staff attendance and assignments are reported accurately.
 - 1.11.1.4 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:
 - 1.11.1.4.1 A system which establishes priority posting, in conjunction with, reviewing and modifying activity levels within the unit.

1.11.1.4.2 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.

1.11.2 The unit Chief of Security shall:

1.11.2.1 Ensure unit rosters are maintained and consistent with Authorized Post Charts.

1.11.2.2 Ensure shifts and RDO allocations are appropriately balanced.

1.11.2.3 Ensure staffing projections are developed for all shifts.

1.11.2.4 Ensure daily rosters are developed a minimum of two weeks in advance.

1.11.2.5 Identify and address staffing deficits to ensure the appropriate numbers of staff are scheduled to achieve required level staffing.

1.11.2.6 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.

1.11.3 The unit Shift Commanders shall:

1.11.3.1 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.

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

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

1.11.3.4 Review daily staffing to identify irregularities with regard to unplanned absences, leave usage and additional shift coverage requirements.

1.11.4 Line staff shall comply with call in procedures as outlined in Department Order #525, Employee Attendance.

1.12 Balancing Rosters

1.12.1 Unit Deputy Wardens and Chiefs of Security shall ensure staffing rosters remain balanced with respect to:

1.12.1.1 The number of staff assigned to a shift.

- 1.12.1.2 The number of staff on RDOs.
- 1.12.1.3 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.
- 1.12.2 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.
- 1.12.3 A balance in RDOs shall be achieved by determining the appropriate number of RDO slots for a particular shift using the following formula:
 - 1.12.3.1 5/8 Schedule - Divide the number of staff assigned by 7. Multiply the quotient by 2.
 - 1.12.3.1.1 Example: 20 staff assigned, divided by 7 days in a week = 2.9 or 3.
 - 1.12.3.1.2 The formula in this case would be 20 divided by 7 = 3, 3x2 = 6.
 - 1.12.3.1.3 Thus, 6 staff would be on RDOs and 14 staff would be available to post.
- 1.13 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.
 - 1.13.1 Unit Shift Commanders shall:
 - 1.13.1.1 Provide an accurate copy of the upcoming daily roster to successive Shifts Commanders at their unit.
 - 1.13.1.2 Report preliminary on-coming shift numbers to the Complex Shift Commander a minimum of two hours prior to the beginning of shift.
 - 1.13.1.3 Immediately notify the Complex Shift Commander of any unexpected schedule changes, i.e., unplanned absences due to illness, injury, or other emergency situations.
 - 1.13.2 Oncoming unit Shift Commanders shall:
 - 1.13.2.1 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.
 - 1.13.2.2 Follow the Complex Shift Commander directions for cross leveling.
 - 1.13.2.3 Ensure staff cross-leveled to other units proceed to the unit immediately.

- 1.14 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:
 - 1.14.1 Receive and document institutional staffing levels two hours prior to the oncoming shift.
 - 1.14.2 Reconcile the institution staffing levels and begin cross leveling immediately after the beginning of a shift.
- 1.15 Compensation Requirements
 - 1.15.1 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.
 - 1.15.2 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.
- 1.16 Preparation of Documents, Post Charts and Shift Rosters - The following standard relief factors, as provided for in budget authorization documents shall be applied:
 - 1.16.1 Five-day, 8-hour posts (no relief): No relief
 - 1.16.2 Five-day, 8-hour selected posts: (1.28)
 - 1.16.3 Seven-day, 24-hour posts: (1.80)

524.03 CORRECTIONAL OFFICER SERIES 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 Warden. The memo shall include the employee’s name and rank, the current unit and requested unit, signature and date.
 - 1.1.1 The Warden shall:
 - 1.1.1.1 Date stamp the request and ensure 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 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.
 - 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.

- 1.2 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.
- 1.3 Management Responsibilities - Wardens and Deputy Wardens shall:
 - 1.3.1 Ensure each employee is treated in a fair and consistent manner.
 - 1.3.2 Ensure files remain current and maintained in a secured location.
 - 1.3.3 Ensure every supervisor knows and understands seniority, as outlined in Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

524.04 POST ASSIGNMENTS AND UNIT ROTATION

- 1.1 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 are 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 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 Log form. 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 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.
 - 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., driver's 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 Work Hours For Correctional Officer IVs and Captains
- 1.2.1 To ensure supervisory coverage from 0730 to 1730 hours at all units, unit Deputy Wardens shall determine the work schedules for Correctional Officer IVs and Captains from one of the following approved work schedules:
 - 1.2.1.1 0730 – 1630 hours
 - 1.2.1.2 0800 – 1700 hours
 - 1.2.1.3 0830 – 1730 hours
 - 1.2.2 Correctional Officers IVs and Captains are required to take a one hour lunch break during their work schedule. Correctional Officer IVs and Captains shall not be in possession of a radio and/or unit keys during their one hour lunch break, nor shall the lunch break be taken at their work desk/office.
 - 1.2.2.1 Correctional Officer IVs and Captains shall immediately notify their supervisor if there is an emergent reason as to why they are unable to take their scheduled one hour lunch break. Upon the supervisor approval, the employee's scheduled lunch hour shall be adjusted or he/she shall be compensated for the time which cannot be flexed through schedule adjustment.
 - 1.2.3 Correctional Officer IVs, Captains and Deputy Wardens are required to sign the Correctional Officer IV and Captains Work Schedule Acknowledgment, Form 524-3.
- 1.3 Employees who have a designated unpaid lunch period may remain at their workstation but shall not be permitted to work.
- 1.4 Correctional Officer Workday - The workday for a Correctional Officer shall begin when the officer is at the duty post.
- 1.5 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.
- 1.6 Supervisors shall not assign Correctional Officers mandatory duties either prior to or after the end of their shift (e.g., picking up mail or waiting for paperwork to be approved).
- 1.6.1 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.

- 1.7 Rotation of Correctional Officer Assignments - Correctional Officers shall be able to perform all Correctional Officer functions, duties and assignments.
- 1.8 Changes in Shifts or Assignment
 - 1.8.1 Wardens and Deputy Wardens shall ensure Correctional Officer staff are 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.
 - 1.8.2 Work assignments and shifts may be changed without notice, in emergency situations only.
 - 1.8.3 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.
 - 1.8.4 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.
- 1.9 Post Rotation of Correctional Officer II Assignments - 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.
 - 1.9.1 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.
 - 1.9.1.1 Staff assigned to the Restricted Status Housing Program, Mental Health and Close Custody Restrictive Housing areas, and kitchen security shall be exempt from the 90 calendar day post rotation plan.
 - 1.9.2 Unit post rotation schedules shall be available for staff to review with their Shift Commanders.
- 1.10 Unit Rotation – All Correctional Officer IIs assigned to a prison unit, complex security or Correctional Officer Training Academy (COTA) shall be rotated from unit to unit at five year intervals. Wardens or the approving authority shall maintain the right to determine assignments based on operational needs to include administrative transfers.
 - 1.10.1 To the “extent possible,” Correctional Officer IIs shall retain their shift and RDO. (see DEFINITIONS)
 - 1.10.2 All other Correctional Officer Series staff (non-Correctional Officer II) are subject to rotation; may be rotated prior to the five year interval in accordance with operational needs; and are exempt from the “extent possible” definition.

- 1.10.3 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.
 - 1.10.3.1 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.
 - 1.10.4 Wardens and other approving authorities shall maintain documentation to ensure rotation of employees is conducted in an equitable and systematic manner. This documentation shall be maintained and monitored at both the complex and unit level. The rotation requirements shall be an ongoing practice.
 - 1.10.5 Employees shall not be eligible for a lateral transfer to the unit previously assigned for a period of one year following rotation.
 - 1.10.6 To the extent possible, employees shall be rotated to a unit of a different custody level in order to broaden and aid in professional development.
 - 1.10.7 Employees assigned to Temporary Work Assignments or Temporary Duty Assignments (TDY) shall continue to remain eligible for unit rotation.
 - 1.10.8 Rotating staff shall not displace staff currently assigned to a specific shift or RDO at the receiving unit.
 - 1.10.9 Arizona State Prison Complex (ASPC) - Florence Globe, ASPC-Winslow Apache Units, and ASPC-Safford Fort Grant shall be exempt from unit to unit rotation.
 - 1.10.10 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.
- 1.11 Support Services Positions
- 1.11.1 Rotation from a support services position to a new unit shall not result in the reassignment to another support services position. Staff shall return to their shift and RDOs assigned prior to the support services assignment.
 - 1.11.1.1 An individual's prior shift and RDOs shall be determined by review of historical data on the Department's Security Staffing System.
 - 1.11.2 Staff rotated from a support services position may not apply for another support services position until six months after the effective date of the rotation.
 - 1.11.3 Accepting a support services position within the staff member's current unit does not reset rotation eligibility. Rotation time is the cumulative time assigned to a unit regardless of assignment.
 - 1.11.4 When accepting a support services position, an individual's Voluntary and/or Shift Change Request Memorandum shall be maintained on the automated Shift/RDO Change Tracking Log by the date submitted, unless the employee submits a memorandum to the Chief of Security rescinding the request.

1.11.4.1 Voluntary and/or Shift Change Request Memorandums submitted by staff assigned to a support services position shall remain active and visible on the automated Shift/RDO Change Tracking Log; however, any offer of a change in shift assignment shall not be made until the staff member returns to his/her previous shift/RDO assignment.

1.11.4.2 Shift and RDO change offers shall only be made to staff currently assigned to shift.

1.12 Automated Shift/RDO Change Tracking Log

1.12.1 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.

1.12.1.1 Shift supervisors shall not make RDO adjustments without the approval of the unit Chief of Security.

1.12.2 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.

1.12.3 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:

1.12.3.1 Temporary Duty (TDY)

1.12.3.2 Rotation

1.12.3.3 Voluntary Memorandum

1.12.4 TDY Category - Staff displaced for operational needs shall have priority over all other types of RDO and shift requests.

1.12.4.1 TDYs shall be listed in order by the date they were displaced from their shift and/or RDOs.

1.12.4.2 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.

1.12.4.3 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.

1.12.5 Rotation Category - Staff displaced due to their current shift and RDOs being unavailable at the receiving unit after rotation. Rotation staff shall have priority over Voluntary Memorandums requesting a shift or RDO change.

- 1.12.5.1 Rotation priority is ranked by a staff member's seniority. The date of rotation does not impact the priority ranking for rotation and is maintained only for informational purposes to track when a staff member rotated.
- 1.12.5.2 If there is a tie in seniority based upon the most recent date of hire/promotion supervisors shall, based upon seniority, determine which staff member should be restored first.
- 1.12.6 Voluntary Memorandum Request Category: Staff voluntarily requesting an RDO or shift change at their currently assigned unit.
 - 1.12.6.1 Shift/RDO change requests shall be listed in the order they are received by the Shift Commander.
 - 1.12.6.2 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.
- 1.12.7 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.
- 1.13 RDO and Shift Change Request Notifications
 - 1.13.1 All staff requesting a TDY, rotation or existing Voluntary Memorandum Request placement on the automated Shift/RDO Change Tracking Log shall submit a memorandum, within 14 calendar days of assignment to a new unit, to the receiving unit Chief of Security through their Shift Commander.
 - 1.13.1.1 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.
 - 1.13.2 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:
 - 1.13.2.1 Sign and date the request.
 - 1.13.2.2 Make a copy and deliver to the Chief of Security within three workdays for logging into the automated Shift/RDO Change Tracking Log.
 - 1.13.2.3 Return the original to the employee for his/her records.
 - 1.13.2.4 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.

- 1.14 Review Process - Employees may not grieve rotation or work assignments. In the event an employee disagrees with his/her rotation assignment as a result of the process, the employee shall meet with the Warden in an attempt to resolve the issue.
 - 1.14.1 The Warden shall:
 - 1.14.1.1 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.
 - 1.14.1.2 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.
 - 1.14.2 In the event the policy was not followed the Warden shall take immediate action to rectify the situation and assign the Correctional Officer accordingly.
 - 1.14.3 If the Warden determines there were no errors in the process and the intent of the policy was met the assignment will stand.
 - 1.14.4 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.
 - 1.14.4.1 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.

524.05 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 the Personnel Action Transmittal, Form 504-5, is processed 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.
 - 1.1.1.2 Eyman - SMU I and Browning Unit.
 - 1.1.1.3 ASPC-Phoenix – Alhambra, Baker Ward and Flamenco.
 - 1.1.1.4 ASPC-Lewis – Rast Unit, Maximum Custody.
 - 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 Inpatient Care (IPC)/Housing Unit 9, BHU/Housing Units 7 and 8, Mental Health Watch, and IPC and Transitory Run.

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.

1.1.2.3 Service Dog Handlers.

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 (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.

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.

1.3.2 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.

1.3.3 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.

1.3.4 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.

1.3.5 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.

1.3.5.1 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.

- 1.3.5.2 The appropriate Regional Operations Director shall review the information and make a final determination as to whether the employee is certified to receive HRAP.
- 1.3.6 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 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 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 fewer than 80 hours worked in a calendar month shall exclude an employee from receiving HRAP.
- 1.6 Wardens, Deputy Wardens 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 1.1.3.2 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 Inmate Programs and Reentry.
 - 1.1.1 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.

- 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 Inmate Programs and Reentry to the Division Director for Offender Operations.
 - 1.2.1 Industry Program Specialists 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 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 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 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.
- 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 only experienced Correctional Officers are assigned to ACI operations, when appropriate.

DEFINITIONS

CORRECTIONAL OFFICER (CO) 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 – An employee who:

- Before September 29, 2012, was in the state service, was not uncovered pursuant to section A.R.S. § 41-742, subsection A, and has remained in covered status without a break in service since that date.
- Before September 29, 2012, was in the state service, was employed as a Correctional Officer I, Correctional Officer II, Correctional Officer III or Community Corrections Officer and has remained in covered status without a break in state service since that date.

- Before September 29, 2012, was in the state service, was a full authority Peace Officer as certified by the Arizona Peace Officer Standards and Training Board, and has remained in that status without a break in state service since that date.
- On or after September 29, 2012, is a CO I, CO II, CO III or Community Corrections Officer and is appointed to a position in the covered service, but does not include a position in any other class in the Correctional Officer series class or the Community Corrections Officer series class or in any other correctional series class.
- On or after September 29, 2012, is a full authority Peace Officer as certified by Arizona Peace Officer Standards and Training Board, and is appointed to a position that requires such a certification in the covered service pursuant to A.R.S. § 41-741(5).
- Covered Exempt FLSA-Exempt Positions – Managerial positions designated by the ADOA Personnel Rules (such as Administrators) and Professional positions (such as Physicians and Attorneys).
- 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.

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.

EXTENT POSSIBLE – Rotation assignments shall be made by aligning Correctional Officers with their current shift and/or RDO assignments to the degree that they are able to be maintained. All efforts shall be made to preserve the officer's shift and RDO assignment; however, shift and RDO balances must be maintained and may limit the quantity of available positions of the desired shift and/or RDOs. Assignments shall be based on reasonable availability.

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

POST ROTATION - A plan that specifies the division of unit posts into designated areas in which a post assignment team is assigned for 90 calendar days. Team members are assigned to the area and may work in all posts in that area.

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 the 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, and Community Corrections Officers and Supervisors.

SENIORITY - Seniority is based upon the employee's most recent date of hire or date of promotion to determine their uninterrupted time in rank. A staff member's adjusted date of hire, should they have one, shall not be used. The effective date of the promotion should be used if the employee was promoted to his/her current position. Otherwise, the most recent date of hire should be used. Seniority is determined by the following criteria (listed in order of priority):

- Uninterrupted time in service in the current classification (rank)
- Uninterrupted time in service in the Department

- Uninterrupted time in Arizona state service
- Alphabetically, by last name

SHIFT AND RDO ASSIGNMENTS – Rotation assignment to another unit is based on the time in a unit as outlined in this Department Order. To the extent possible shift and RDO assignments shall be honored for Correctional Officer IIs. If a Correctional Officer II is displaced from his/her shift and/or RDO as a result of rotation, the Correctional Officer shall submit a memorandum requesting his/her shift and/or RDOs be restored. The unit Chief of Security shall enter the appropriate information into the automated Shift/RDO Change Tracking Log.

SHIFT/RDO TRACKING TOOL - The tracking tool is designed to differentiate between displaced staff and those staff whom have voluntarily requested an RDO or shift change. It automatically prioritizes all staff shift and RDO requests in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave and this Department Order.

TEMPORARY DUTY (TDY) - Those staff that remain in the same unit, but are temporarily required to change their shift and/or RDOs based on the unit's need to maintain a balanced roster.

UNCOVERED EMPLOYEES – Employees in uncovered at will service. Uncovered positions include:

- Uncovered Exempt FLSA-Exempt Positions: Appointed positions such as Deputy Director, Division Director/Assistant Director, Regional Operations Directors, Warden, Deputy Warden and some Administrator positions.
- Uncovered FLSA-Nonexempt Positions: Appointed positions, such as some Executive Staff support positions.

{Original Signature on File}

Charles L. Ryan
Director

ATTACHMENTS

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

524-3, Correctional Officer IV and Captain Work Schedule Acknowledgement

CROSS-REFERENCE INDEX

Department Order #106, Contract Beds

Department Order #201, Legal Services – Records Release

Department Order #504, Recruitment and Hiring

Department Order #509, Employee Training and Education

Department Order #512, Employee Pay, Work Hours, Compensation and Leave

Department Order #518, Personnel Rules – Delegated Authority

Department Order #519, Employee Health – FMLA, ADA, Industrial Injury/Illness, FFD and Alternate Assignment

Department Order #520, Employee Travel Reduction

Department Order #525, Employee Attendance
Department Order #601, Administrative Investigations and Employee Discipline
Department Order #914, Inmate Mail

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. § 41-741, Definitions
A.R.S. § 41-742, State Personnel system; Covered and Uncovered Employees; Application Exemptions
A.R.S. § 41-783, Appeals to the State Personnel Board for Covered Employees; Notice of Charges; Hearings
A.R.S. § 41-1492 et seq, Arizonans With Disabilities Act of 1992
A.A.C. R2-5A-404, Overtime Pay
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 in Assignment
A.A.C. R2-5B-303, Suspension
A.A.C. R2-5B-305, Dismissal
A.A.C. R2-5B-402, Grievance System
A.A.C. R2-5B-403, Grievance Procedures
29 U.S.C. sections 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

