CHAPTER: 500

Personnel/Human Resources

DEPARTMENT ORDER:

524 – Employee Assignments and Staffing

OFFICE OF PRIMARY RESPONSIBILITY:

OPS

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Arizona Department of Corrections Rehabilitation and Reentry

Department Order Manual

FOR

David Shinn, Director

TABLE OF CONTENTS

STANDARDS 1
PURPOSE 1
APPLICABILITY 1
PROCEDURES 1
1.0 SCHEDULING, REPORTING HOURS WORKED, COMPENSATION 1
2.0 CORRECTIONAL OFFICER SERIES STAFFING PROCEDURES 1
3.0 CORRECTIONAL OFFICER SERIES TRANSFER/CHANGE REQUESTS 13
4.0 POST ASSIGNMENTS AND UNIT ROTATION 15
5.0 HIGH RISK ASSIGNMENT PAY 20
6.0 CORRECTIONAL OFFICER/INDUSTRY PROGRAM SPECIALIST RESOURCES 23
DEFINITIONS/GLOSSARY 24
ATTACHMENT 24
FORMS LIST 24
AUTHORITY 24

STANDARDS

American Correctional Association (ACA) Standards: 5-ACI-1C-04, 5-ACI-1C-05, 5-ACI-3A-07, and 5-ACI-4A-13

PURPOSE

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

APPLICABILITY

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

PROCEDURES

1.0 SCHEDULING, REPORTING HOURS WORKED, COMPENSATION

1.1 Supervisors at all levels, including Assistant Directors, Regional Operations Directors, Wardens, Deputy Wardens and Administrators shall:

1.1.1 Approve, report and monitor subordinates' work schedules, absences and overtime.

1.1.2 Ensure employees under their supervision:

1.1.2.1 Are compensated in accordance with this Department Order, Arizona Department of Administration (ADOA) Personnel Rules, Arizona Administrative Codes (A.A.C.), Arizona Revised Statutes (A.R.S.), and the Fair Labor Standards Act (FLSA) laws.

1.1.2.2 Work assigned schedules and designated hours only, unless a revised schedule is pre-approved by their supervisor.

1.1.2.3 Obtain, in writing, their supervisor's prior approval for changes to their regular work schedules.

1.1.2.4 **Record** the actual time worked and leave taken on the attendance records in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

1.2 An employee may apply for and be authorized to work an alternative schedule in accordance with Department Order #520, Employee Travel Reduction.

2.0 CORRECTIONAL OFFICER SERIES STAFFING PROCEDURES

2.1 The **Assistant** Director for Prison Operations shall:

2.1.1 Establish, standardize and maintain institutional staffing patterns and security posts for all institutions.

2.1.2 After signing approval of Post Charts, forward them, via the respective Regional Operations Director, to the Wardens and Deputy Wardens for co-signature.

2.1.3 Establish and/or modify staffing patterns and security posts with the Authorized Post Charts for each unit.

2.1.4 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.

2.1.5 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. **{5-ACI-1C-04}**

2.2 The Regional Operation Directors shall:

2.2.1 Ensure Post Charts are established for each institution.

2.2.2 Review and submit all requests for FTE modifications to ensure a consistent statewide approach is applied.

2.2.3 Ensure the Roster Management application is maintained within their region.

2.3 Wardens shall:

2.3.1 In coordination with the **Assistant** Director for Prison Operations and Regional Operations Directors:

2.3.1.1 Ensure Post Charts are established and maintained for each unit within the institution.

2.3.1.2 Establish Post Charts that provide adequate staffing patterns based on the needs of the institution.

2.3.2 Ensure the Roster Management application is maintained at their respective institution.

2.3.3 Review complex and unit staffing projections and address deficits.

2.3.4 **Document the overall vacancy rate among the staff positions authorized for working directly with inmates does not exceed 10 percent for any 18-month period. {5-ACI-1C-05}**

2.3.5 Review and address irregularities in staffing patterns with unit Deputy Wardens.

2.4 Deputy Wardens shall:

2.4.1 Ensure the Roster Management application is maintained at their respective unit.

2.4.2 Ensure staffing projections are completed in a timely manner to allow staff the opportunity to pre-schedule voluntary shift coverage.

2.4.3 Review unit staffing projections and address deficits.

2.4.4 Review and address irregularities in staffing patterns with the Chief of Security and specific Shift Lieutenant.

2.5 Majors shall:

2.5.1 Be responsible for direct oversight of institutional staffing.

2.5.2 Contact unit Deputy Wardens and unit Chief of Security to address staffing projections, patterns or irregularities.

2.6 The unit Chief of Security shall:

2.6.1 Ensure Shift Lieutenants maintain and **prepare** two-week staffing projections.

2.6.2 Review unplanned absences with Shift Lieutenants to address patterns or irregularities.

2.6.3 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.

2.7 The Shift Lieutenants shall:

2.7.1 Schedule and maintain adequate staffing for their assigned shift by:

2.7.1.1 Accurately reporting projected staffing in two-week increments.

2.7.1.2 Updating changes to staffing projections as quickly as possible.

2.7.1.3 Ensuring continual follow up and review is conducted on factors that impact staffing such as RDO balancing, leave and unplanned absence.

2.7.1.4 **Ensuring when both male and females are housed in the same unit, at least one male and one female Correctional Officer II are on duty at all times. {5-ACI-3A-07}**

2.7.2 Formulate an action plan with the unit Chief of Security and Deputy Warden to address irregularities in staffing patterns.

2.7.3 Accurately complete and maintain staffing projections for assigned shift.

2.7.4 Review and address irregularities in staffing patterns caused by leave usage, operational vacancies, unplanned absences, unbalanced RDOs and staff reporting to shift late.

2.7.5 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).

2.8 Modification of Staffing Patterns – The **Assistant** Director for Prison Operations shall pre-approve all movement of FTE's between institutions.

2.8.1 Wardens shall request a modification to their Authorized Post Charts through their respective Regional Operations Director. Each request shall contain the appropriate justification and a copy of the latest Authorized Post Chart corrected to reflect the proposed changes.

2.8.2 **The 12-hour shift staffing model may be utilized to respond to critical staffing shortages during peak vacancy periods while maintaining required security functions within prison units to mitigate the impact of staff morale.**

2.8.3 The respective Regional Operations Director shall:

2.8.3.1 Confer and jointly ensure a consistent statewide approach and application is maintained.

2.8.3.2 **Confer with the affected Wardens, Human Services Bureau Classification/Compensation Manager whenever the 12-hour staffing model is being considered to ensure that implementation plans are developed; ensuring 12-hour shift payroll training is completed before the implementation date.**

2.8.3.3 **Instruct Wardens to conduct a survey of all staff utilizing the 12-Hour Shift Questionnaire, Form 524-4, to determine those staff interested in working a 12-hour schedule.**

2.8.3.4 **Analyze the 12-hour Shift Questionnaire results and then determine the amount of staff wishing to participate in working a 12-hour schedule.**

2.8.3.5 Submit a justification request to the **Assistant** Director for Prison Operations. Modifications shall be identified in bold or highlighted in the document.

2.8.3.5.1 The **Assistant** Director for Prison Operations shall approve exceptions, after consultation with the Regional Operations Director, by submitting the written justification and issuing a new Authorized Post Chart for confirmatory signatures.

2.9 **<u>12-Hour Shifts</u>**

2.9.1 **Only Correctional Officer IIs, Correctional Sergeants and Correctional Lieutenants shall be considered for 12-hour shift assignments. All posts within a unit except Kitchen and Visitation shall operate on a 12-hour shift schedule.**

2.9.1.1 **Employees who are electing the 12-hour shift schedule shall be required to remain on the schedule and may opt out with approval of the Warden through a formal memorandum request.**

2.9.1.1.1 **At the discretion of the Warden, exceptions may be approved for staff wishing to opt out of the 12-hour shift schedule when deemed appropriate.**

2.9.1.2 **Wardens shall maintain discretion in the reassignment of employees from 12-hour shift schedules to 8-hour units with an appropriate two-week notification.**

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

2.9.2 **Notification and Acceptance**

2.9.2.1 **New Correctional Officers entering the Correctional Officer Training Academy (COTA) shall be informed during their orientation of the 12-hour shift locations where they may be assigned, as there is the possibility such schedule changes may extend to other locations throughout the Department.**

2.9.2.2 **Employees newly assigned to a complex that is using 12-hour shifts shall be provided written notice that they may be assigned to a 12-hour unit. Employees shall be provided, at a minimum, a two-week notification and their assignment to 12-hour shifts shall commence at the beginning of the pay period.**

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

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

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

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

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

2.9.3 **Approved Schedules**

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

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

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

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

2.9.4 **Overtime Reporting Requirements**

2.9.4.1 **The work week for 12-hour shift participants shall conform to the FLSA and A.R.S. § 23-392, stipulating overtime occurs after hours worked in an established work week exceed 40 hours.**

2.9.4.2 **The established work week for the 12-hour schedule is based on a 40-hour week beginning at 6:00 a.m. or 7:00 a.m. Saturday, and ending at 5:59 a.m. or 6:59 a.m. on the following Saturday.**

2.9.4.3 **Time worked shall be recorded accurately in conjunction with the work week, since the 48-hour week incurs eight hours of overtime one week per pay period.**

2.9.4.4 **Employees working a 12-hour shift assignment are required to charge four hours of Compensatory, Holiday, or Annual Leave to complete the 40-hour work week to ensure full Correctional Officer Retirement Plan (CORP) time considerations are met.**

2.9.4.5 **Employees shall accurately report hours worked on the Positive Attendance Report (PAR). (See Attachment B.)**

2.9.4.6 **Overtime compensation for 12-hour shift schedules is either:**

2.9.4.6.1 **Compensatory Leave Only – Reimbursed as Compensatory Leave at the rate of one and one-half hours for each hour worked in excess of 40 hours per work week.**

2.9.4.6.2 **Compensatory Leave/Cash – Overtime for Compensatory Leave/Cash is reimbursed at the rate of three hours of Compensatory Leave at time and one-half (totaling 4.5 hours) providing Compensatory Leave for reporting in the 36 hour week. All other overtime hours worked shall be compensated by cash at the time and one-half rate.**

2.9.4.6.3 **Cash Only - Cash payment is received at the rate of one and one-half times the regular rate of pay for each hour worked in excess of 40 hours per work week. This election will affect the ability to work overtime if and when the Department does not have the funds available to pay cash for overtime. Employees must draw from an accumulated balance of Annual Leave, Holiday Leave or Compensatory Leave to fully account for 40-hours during the short week.**

2.9.4.7 **Wardens and Deputy Wardens shall ensure employees do not exceed 16 hours of work within a single 24-hour period.**

2.9.4.8 **During the 40-hour work week, employees shall not work more than 24 additional hours of overtime.**

2.9.4.8.1 **Employees may work a maximum of two 12-hour overtime shifts in a single 40-hour work week; not worked back to back, or;**

2.9.4.8.2 **Three 8-hour overtime shifts in a single 40-hour work week.**

2.9.4.9 **The 8-hour built-in overtime accrued during the long week is exempt from inclusion when working overtime during the long 12-hour schedule work week.**

2.9.4.10 **Employees shall have at least one RDO (one 24-hour regular day off) during the work week.**

2.9.4.11 **Overtime worked at other institutions shall be paid at the prevailing practice of the institution where overtime occurs.**

2.9.4.12 **This schedule does not preclude management from requiring additional hours of work.**

2.9.5 **Current Employees Election Not to Participate In 12-Hour Shifts**

2.9.5.1 **Wardens, in consultation with their respective Regional Operations Director, shall identify a unit or area (e.g., Complex Operations) that is suitable to continue unit operations at a traditional 8-hour schedule.**

2.9.5.2 **Traditional 8-hour schedule use shall be all-inclusive. With the exception of Visitation and Kitchen (4-day 10-hour posts), the remaining shifts shall remain 8-hour shifts.**

2.9.5.3 **Current employees electing not to participate in 12-hour units shall be transferred at the discretion of the Warden to 8-hour schedule units.**

2.9.5.3.1 **To the extent possible, shift and RDO assignments shall be maintained.**

2.9.6 **Return From 12-Hour to 8-Hour Schedules**

2.9.6.1 **If it is determined that 12-hour shifts are no longer operationally needed, the Assistant Director for Prison Operations shall authorize the restoration of 8-hour traditional schedules.**

2.9.6.2 **The Wardens shall ensure all written and electronic records related to 8-hour shift operations inclusive of current requests for shift change and RDO assignments are preserved, secured, and utilized as reference documents when reverting back to 8-hour shift operations.**

2.9.6.3 **All change requests pertaining to 12-hour shift operations, including shift and RDO assignments, shall be suspended while the unit operates under 8-hour operations.**

2.9.6.4 **Once the unit is restored back to 8-hour shift operations, Wardens shall retrieve records previously preserved documenting prior shift and RDO placement.**

2.9.6.5 **Wardens shall ensure employees are given a two-week notice before returning to 8-hour schedules.**

2.9.6.6 **Those employees previously assigned to swing or graveyard shift will have the option to return to their most recently assigned shift.**

2.9.6.7 **Each employee shall be asked to submit his/her first and second preference for shift assignments and RDOs. Preferred shift assignments shall be honored by seniority whenever feasible. RDO requests shall be assigned as closely as possible to their previous RDO 8-hour assignment.**

2.9.6.8 **Employees who were not previously assigned to an 8-hour assignment shall be matched as closely as possible to the current 12-hour assignment.**

2.9.6.9 **Once the unit is reverted back to an 8-hour shift schedule, employees shall complete a new overtime election form. The completed form shall be submitted to the Human Resource Liaison and become effective upon the date of transition to an 8-hour shift schedule.**

2.9.6.10 **Annual Leave requests approved at units under the 12-hour shift schedule shall remain approved and shall be considered upon restoration of 8-hour shift schedules within the same unit.**

2.9.6.11 **To the extent possible, management shall include adjacent RDOs to pre-approved leave for 12-hour schedules.**

2.9.6.12 **Under unique circumstances, employees assigned to 12-hour schedules shall be temporarily reverted back to a 5-day 8-hour schedule:**

2.9.6.12.1 **Military Leave for 40 or more hours**

2.9.6.12.2 **Long term leave such as extended sick leave or FMLA**

2.9.6.12.3 **Temporary work assignments (TWA)**

2.9.6.12.4 **Suspension without pay**

2.9.6.12.5 **Bereavement Leave (BL) - Under a 12-hour schedule, the employee may elect to take the 24-hour for in-state or the additional 16-hour for out-of-state death in 12-hour blocks or revert to an 8-hour schedule.**

2.9.6.12.6 **Training (e.g., In Service, Weapons, Tactical Support Unit)**

2.9.6.12.7 **Leave use for Civic Duty - Used in 8 hour or less blocks only.**

2.10 Security Post Relief

2.10.1 Staff assigned to a security post shall remain on post until properly relieved or released by the shift supervisor. There shall be no exceptions to this requirement.

2.10.2 An officer who refuses to remain on the security post until properly relieved may be subject to disciplinary action for abandonment of a security post in accordance with Department Order #601, Administrative Investigations and Employee Discipline.

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

2.11.1 Food Service – Meals may be served in cell(s) or dining area(s) during staffing deficits or institutional lockdown.

2.11.2 Inmates on lockdown status shall be provided a minimum of two consecutive hours of exercise on three different days of each week and three showers per week.

2.11.3 Emergency, essential medical services and additional medical services to include at a minimum:

2.11.3.1 Medication delivery.

2.11.3.2 Insulin injections.

2.11.3.3 Outside consultations when warranted.

2.11.3.4 Medical and dental appointments.

2.11.4 Mental/behavioral health programs, which may include:

2.11.4.1 Substance abuse treatment.

2.11.4.2 Mental Health Programs and Services.

2.11.4.3 Sex Offender Treatment Programs.

2.11.5 Mail, which shall be delivered as outlined in Department Order #914, Inmate Mail.

2.11.6 Education programs, which include:

2.11.6.1 Adult Basic Education.

2.11.6.2 High School Diploma and High School Equivalency Preparation programs.

2.11.6.3 Career and Technical Education.

2.11.7 Inmate Work Programs – Off-site work crews may be cancelled in the following order:

2.11.7.1 Arizona Correctional Industries (ACI) Owned and Operated

2.11.7.2 Intra-Governmental Agreements (IGA), with the exception of Arizona Department of Transportation (ADOT) and Wildland Fire Crew - The ADOT and the Wildland Fire Crews shall not be cancelled.

2.11.7.3 ACI Private Partners

2.11.8 Waste Management (sanitation)

2.11.8.1 Basic sanitation practices shall occur during staffing deficits or institutional lockdown.

2.11.8.2 Disposal of trash from unit operation areas such as kitchens, staff members work areas and inmate living areas by escorted inmates.

2.11.9 Religious Activities – Department chaplains shall administer religious activities when security staffing deficits occur. Volunteers shall be immediately notified in the event of cancelled services to reduce unnecessary travel.

2.11.9.1 Religious programs shall be reviewed by the unit Deputy Warden in consultation with the unit chaplain for possible cancellation and/or rescheduling in the event of staffing deficits or institutional lockdown.

2.11.10 Inmate Visitation – Visitation shall be reviewed by the unit Deputy Warden, in consultation with the Warden, to determine if cancellation is necessary.

2.12 Pre-Planning Projections – Managers and supervisors shall continually and diligently review the roster to address unexpected staffing deficits and subsequent schedule adjustments.

2.12.1 The unit Deputy Warden and Chief of Security (Associate Deputy Warden and Correctional Officer IV, as appropriate) shall:

2.12.1.1 Develop staffing projections for all shifts within their unit.

2.12.1.2 Identify and address staffing deficits to ensure the appropriate number of staff is scheduled to achieve daily required staffing.

2.12.1.3 Conduct random checks on each shift to ensure physical staff attendance and assignments are reported accurately.

2.12.1.4 As staffing deficits are identified, develop an action plan to achieve the appropriate levels within the unit. The action plan may include, but is not limited to:

2.12.1.4.1 A system which establishes priority posting in conjunction with reviewing and modifying activity levels within the unit.

2.12.1.4.2 Making schedule adjustments, such as, temporary RDO adjustments or flexing the schedules of support services and shift security staff. This may include allowing staff to trade schedules or RDOs as approved by both respective staff supervisors.

2.12.2 The unit Chief of Security shall:

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

2.12.2.2 Ensure shifts and RDO allocations are appropriately balanced.

2.12.2.3 Ensure staffing projections are developed for all shifts.

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

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

2.12.2.6 As staffing deficits are identified, develop an action plan to achieve the appropriate levels within the unit. The action plan may include but is not limited to consulting with the Deputy Warden for further action plan development if the deficits appear long term, reoccurring or consistent with other extending factors.

2.12.3 The unit Shift Commanders shall:

2.12.3.1 Ensure an accurate copy of the daily shift roster is available to successive shifts 24 hours in advance for the purpose of emailing in staffing numbers for cross-leveling.

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

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

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

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

2.13 Balancing Rosters

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

2.13.1.1 The number of staff assigned to a shift.

2.13.1.2 The number of staff on RDOs.

2.13.1.3 The shift's ability to achieve required level staffing. In most cases, the number of staff on RDOs should not fluctuate by more than one on any given day. In some cases, it is necessary to have fewer staff on RDOs, that encompass or adjacent to the weekend. RDO assignments shall be based on the needs of the institution.

2.13.2 To attain required level staffing, RDO assignments (i.e., the number of staff assigned to a shift) shall be determined by identifying the minimum number of staff required on Day-shift, Swing-shift and Graveyard-shift posts.

2.13.3 A balance in RDOs shall be achieved by determining the appropriate number of RDO slots for a particular shift using the following formula:

2.13.3.1 5/8 Schedule – Divide the number of staff assigned by 7. Multiply the quotient by 2.

2.13.3.1.1 Example: 20 staff assigned, divided by 7 days in a week = 2.9 or 3.

2.13.3.1.2 The formula in this case would be 20 divided by 7 = 3, 3x2 = 6.

2.13.3.1.3 Thus, 6 staff would be on RDOs and 14 staff would be available to post.

2.14 <u>In Preparation of Daily Cross-Leveling</u> – Development of accurate daily rosters and timely reporting of staffing numbers prior to the start of shift is vitally important to the cross-leveling process.

2.14.1 Unit Shift Commanders shall:

2.14.1.1 Provide an accurate copy of the upcoming daily roster to successive Shifts Commanders at their unit.

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

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

2.14.2 Oncoming unit Shift Commanders shall:

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

2.14.2.2 Follow the Complex Shift Commander directions for cross leveling.

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

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

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

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

2.16 Compensation Requirements

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

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

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

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

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

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

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

3.0 CORRECTIONAL OFFICER SERIES TRANSFER/CHANGE REQUESTS

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

3.1.1 **All change requests pertaining to 8-hour shift operations including shift and RDO assignments shall be suspended while the unit operates under 12-hour operations.**

3.2 Unit Changes – An employee seeking transfer **to or from a 12-hour unit** shall submit a written request in a memo format to the Warden. The memo shall include the employee's name and rank, the current unit and requested unit, signature and date.

3.2.1 The Warden shall:

3.2.1.1 Date stamp the request and ensure the employee receives a copy of the memo.

3.2.1.2 Ensure all requests for unit changes are approved by the date the request was received.

3.2.1.3 Ensure all requests are maintained in a file by the date of request.

3.2.1.4 **If** two employees submit requests on the same day, file the requests in order of seniority in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

3.2.1.5 Ensure the file remains current and is maintained in a secured location.

3.2.2 Transfers between units shall be approved at the Warden's discretion **as outlined in Department Order #504, Recruitment and Hiring.**

3.3 **Shift Changes – An employee seeking consideration for shift change from AM to PM shall submit a written request in a memo to the unit Chief of Security. The memo shall include the employee's name and rank, the current shift and requested shift, and signature and date.**

3.3.1 **The Chief of Security shall:**

3.3.1.1 **Date stamp the request and ensure that the employee receives a copy of the request.**

3.3.1.2 **Ensure all requests for shift change are approved by the date the request was received, when an opening becomes available on the requested shift.**

3.3.1.3 **Ensure all requests are filed and maintained as outlined in 3.2.1.3 through 3.2.1.5.**

3.3.2 **If an employee elects to rescind/cancel a request for a shift change, the employee shall submit a written notification to the Chief of Security requesting to cancel the request. The Chief of Security shall maintain the original request to cancel the shift change and provide a copy to the employee.**

3.4 **Changes in RDO – An employee seeking consideration for a change in RDO shall submit a written request in a memo to his/her Shift Lieutenant. The memo shall include the employee's name and rank, the current RDO and requested RDO, and signature and date.**

3.4.1 **The Shift Lieutenant shall:**

3.4.1.1 **Ensure all requests to change RDO are approved by the date the request was received, when the requested RDO become available.**

3.4.1.2 **File and maintain requests as outlined in this section.**

3.4.2 **Changes in RDO assignments outside the parameters of the approved 12-hour schedule shall be denied.**

3.4.3 If an employee decides to rescind/cancel a request for an RDO change, the employee shall submit a written notification to the Shift Lieutenant requesting to cancel the request. The Shift Lieutenant shall maintain the original request to cancel the RDO change and provide a copy to the employee.

3.5 Management Responsibilities – Wardens and Deputy Wardens shall ensure:

3.5.1 Each employee is treated in a fair and consistent manner.

3.5.2 Files remain current and maintained in a secured location.

3.5.3 Every supervisor knows and understands seniority, as outlined in Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

4.0 POST ASSIGNMENTS AND UNIT ROTATION

4.1 Wardens and Deputy Wardens shall ensure:

4.1.1 Institutions/units comply with the Department's standardized shift and briefing times.

4.1.2 Employees are assigned to each post that serves as an entry/exit point for the secure perimeter of a unit.

4.1.2.1 The staff assigned to the unit entry/exit points shall:

4.1.2.1.1 Maintain an Institutional Sign-in Log, Form 524-2, of every person entering/exiting the secure perimeter of the unit.

4.1.2.1.2 Complete the Institutional Sign-In Log form. There shall be no exceptions unless extraordinary physical plant considerations dictate otherwise and the respective Regional Operations Director provides written approval.

4.1.2.1.3 Ensure the Institutional Sign-In Log form includes the name of the individual, time of the individual's entry/exit, as well as a signature/initial of the staff that verified identification and authorized entry/exit of the individual, which is necessary to ensure authenticity of the entry/exit process.

4.1.2.1.4 Verify the identity of individual(s) seeking entry/exit to/from a secure unit with at least one form of picture identification issued by a governmental entity (i.e., driver's license, passport, state identification card, employer identification cards, etc.).

4.1.2.1.5 Verify the identity of the employee seeking entry/exit by physically receiving the staff identification card.

4.1.2.1.6 Return the staff identification card to the employee who shall maintain possession and display the identification.

4.1.2.1.7 Maintain the identification card of individuals other than Department employees at the entry/exit point.

4.1.2.1.8 Issue a temporary visitor identification card and instruct the individual to display the identification card at all times while behind a secure unit perimeter.

4.1.2.2 Security staff shall not be required to display their identification cards; however, they shall maintain possession of their cards while behind the secure perimeter of a unit.

4.2 <u>Work Hours for Correctional Officer IVs and Captains</u>

4.2.1 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:

4.2.1.1 0730 – 1630 hours

4.2.1.2 0800 – 1700 hours

4.2.1.3 0830 – 1730 hours

4.3 Correctional Officer Workday – The workday for a Correctional Officer shall begin when the officer is at the duty post.

4.4 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.

4.5 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).

4.5.1 Correctional Officers who are called upon for a work emergency before or after their shift shall be compensated for this time as overtime or extra hours in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave.

4.6 Rotation of Correctional Officer Assignments – Correctional Officers shall be able to perform all Correctional Officer functions, duties and assignments.

4.7 Changes in Shifts or Assignment

4.7.1 Wardens and Deputy Wardens shall ensure Correctional Officer staff members are given written notice a minimum of two-weeks prior to the effective date of unit or shift assignment changes. This allows employees to make necessary personal arrangements to conform to changes, such as childcare and carpool arrangements.

4.7.2 Work assignments and shifts may be changed without notice, in emergency situations only.

4.7.3 Correctional Officer assignments shall be regularly rotated between posts to provide officers with the experience necessary to avoid serious harm, disruption of the safe and secure operation of the institution, to provide greater flexibility in the management and assignment of staff when normal operations are disrupted.

4.7.4 Supervisors shall ensure all Correctional Officers, both male and female, have experience working in all posts at their location and on their shifts. Gender shall only be considered when specific, documented, bona fide, job-related criteria restrict an assignment to a male or a female officer.

4.8 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.

4.8.1 Correctional Officer IIs shall be assigned to a post/team for 90 calendar days to maximize the opportunities for them to know the inmates in their area while becoming proficient in the safety and security procedures of that post/team.

4.8.1.1 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.

4.8.2 Unit post rotation schedules shall be available for staff to review with their Shift Commanders.

4.9 Unit Rotation – All Correctional Officer IIs assigned to a prison unit, complex security or 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.

4.9.1 To the "extent possible," Correctional Officer IIs shall retain their shift and RDO. (See the Glossary of Terms.)

4.9.2 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." (See the Glossary of Terms.)

4.9.3 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.

4.9.3.1 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.

4.9.4 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.

4.9.5 Employees shall not be eligible for a lateral transfer to the unit previously assigned for a period of one year following rotation.

4.9.6 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.

4.9.7 Employees assigned to Temporary Work Assignments or Temporary Duty Assignments (TDY) shall continue to remain eligible for unit rotation.

4.9.8 Rotating staff shall not displace staff currently assigned to a specific shift or RDO at the receiving unit.

4.9.9 Arizona State Prison Complex (ASPC) - Florence Globe, ASPC-Winslow Apache Units, and ASPC-Safford Fort Grant shall be exempt from unit to unit rotation.

4.9.10 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.

4.10 Support Services Positions

4.10.1 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.

4.10.1.1 An individual's prior shift and RDOs shall be determined by review of historical data on the Department's Security Staffing System.

4.10.2 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.

4.10.3 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.

4.10.4 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**, Attachment A,** by the date submitted, unless the employee submits a memorandum to the Chief of Security rescinding the request.

4.10.4.1 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.

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

4.11 Automated Shift/RDO Change Tracking Log

4.11.1 The automated Shift/RDO Change Tracking Log shall be maintained, updated and posted monthly by the unit Chief of Security in the briefing book for staff review. Staff may request to see the automated Shift/RDO Change Tracking Log.

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

4.11.2 The unit's Chief of Security shall ensure staffing levels are balanced across all shifts and RDOs. Shift and RDO assignments are made based on the needs of the institution utilizing the guidelines of this policy.

4.11.3 The automated Shift/RDO Change Tracking Log shall rank staff by priority based on their type of RDO or Shift Change Request in the following order:

4.11.3.1 Temporary Duty (TDY)

4.11.3.2 Rotation

4.11.3.3 Voluntary Memorandum

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

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

4.11.4.2 If there is a tie between two or more TDY staff, seniority shall be the tiebreaker. Based upon seniority, supervisors shall determine which staff member should be restored first.

4.11.4.3 Should a staff member who is TDY to another shift/RDO not return to his/her original shift and/or RDOs before rotating, he/she shall be eligible to maintain the original date of displacement from his/her shift and/or RDO at his/her new unit for placement on the automated Shift/RDO Change Tracking Log.

4.11.5 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.

4.11.5.1 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.

4.11.5.2 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.

4.11.6 Voluntary Memorandum Request Category – Staff voluntarily requesting an RDO or shift change at their currently assigned unit.

4.11.6.1 Shift/RDO change requests shall be listed in the order they are received by the Shift Commander.

4.11.6.2 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.

4.11.7 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.

4.12 RDO and Shift Change Request Notifications

4.12.1 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.

4.12.1.1 Eligible staff shall be responsible to request that placement and provide documentation as required. Placement is not automatic and shall be the requesting staff member's responsibility.

4.12.2 Shift staff requesting a new RDO or shift change may do so at any time and be placed on the automated Shift/RDO Change Tracking Log based on the date of the Shift Commander's receipt of the memorandum. Upon receipt of a shift or RDO request memorandum, the Shift Commander shall:

4.12.2.1 Sign and date the request.

4.12.2.2 Make a copy and deliver to the Chief of Security within three workdays for logging into the automated Shift/RDO Change Tracking Log.

4.12.2.3 Return the original to the employee for his/her records.

4.12.2.4 Compare the request with the posted automated Shift/RDO Change Tracking Log to ensure accuracy and for resubmission to the receiving Chief of Security, if rotated to maintain the original date of submission placement on the automated Shift/RDO Change Tracking Log.

4.13 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.

4.13.1 The Warden shall:

4.13.1.1 Personally meet with the employee within five workdays of the requested appointment. A Warden's designee shall only be assigned in the event the Warden is away from the complex.

4.13.1.2 Review the policy with the employee and ensure the employee has full understanding of the policy and the process involved. The Warden shall ensure the intent of the policy was met and all efforts were made to assign the Correctional Officer to his/her regular shift and RDOs to the extent possible.

4.13.2 In the event the policy was not followed the Warden shall take immediate action to rectify the situation and assign the Correctional Officer accordingly.

4.13.3 If the Warden determines there were no errors in the process and the intent of the policy was met the assignment will stand.

4.13.4 If the Correctional Officer is not satisfied with the outcome of the meeting, the employee may elevate the issue to the respective Regional Operations Director.

4.13.4.1 The Regional Operations Director shall review all corresponding information and discuss the information with the respective Warden. The decision of the Regional Operations Director is final.

5.0 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).

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

5.1.1 Maximum Security Units

5.1.1.1 ASPC-Florence – Kasson Unit.

5.1.1.2 Eyman - SMU I and Browning Unit.

5.1.1.3 ASPC-Phoenix – Alhambra, Baker Ward and Flamenco.

5.1.1.4 ASPC-Lewis – Rast Unit, Maximum Custody.

5.1.1.5 Detention Units – Limited to employees primarily assigned to and whose post assignment is restricted to a Detention Unit. Detention Units include special-use areas designed for disciplinary isolation, investigative detention, Mental Health Observation, or pending placement into a Maximum Custody Unit.

5.1.1.5.1 **All staff members assigned to Detention Units is subject to on-the-job evaluations. Staff members assigned to Detention Units should have completed their probationary period. {5-ACI-4A-13}**

5.1.2 Other Units/Assignments

5.1.2.1 Based upon the function of these units and as long as these functions do not change:

5.1.2.1.1 ASPC-Tucson - Rincon Inpatient Care (IPC)/Housing Unit 9, BHU/Housing Units 5, 6, 7 and 8, Mental Health Watch, and IPC and Transitory Run

5.1.2.1.2 ASPC-Perryville – Santa Maria Unit and Complex Ward

5.1.2.2 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.

5.1.2.3 Service Dog Handlers

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

5.3 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.

5.3.1 The requesting employee shall complete and submit a High-Risk Assignment - Threat Assessment Worksheet, Form 524-1, to the Deputy Warden.

5.3.1.1 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.

5.3.2 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.

5.3.3 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.

5.3.4 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.

5.3.5 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.

5.3.5.1 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.

5.3.5.2 The appropriate Regional Operations Director shall review the information and make a final determination as to whether the employee is certified to receive HRAP.

5.3.6 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).

5.4 Employees approved to receive HRAP shall receive additional compensation of $720 per year. The Personnel Administrative Services Unit shall ensure HRAP is:

5.4.1 Included in the employee's regular paycheck.

5.4.2 Removed from the employee’s paycheck when the employee is no longer eligible.

5.5 Periods of interrupted service, or temporary assignment to a unit listed in 5.1.1 through 5.1.2.2 of this section, resulting in fewer than 80 hours worked in a calendar month shall exclude an employee from receiving HRAP.

5.6 Wardens, Deputy Wardens and Administrators are not eligible for HRAP unless authorized by the Director.

5.7 The Director, with sole discretion, may designate staff positions, posts or assignments not listed in 5.1 through 5.1.2.2 of this section as eligible for HRAP.

5.7.1 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.

5.7.2 The Personnel Liaison or Central Office personnel shall enter the information required to implement the action into the HRIS.

5.7.3 Based upon budgetary constraints, the Director may suspend payment of all HRAP.

6.0 CORRECTIONAL OFFICER/INDUSTRY PROGRAM SPECIALIST RESOURCES FOR ACI OPERATIONS

6.1 ACI Owned and Operated Activities including ACI Agricultural Operations – The ACI Business Development Administrator shall ensure all new Correctional Officer/Industry Program Specialist resource requirements for ACI operations are submitted for approval through the appropriate Regional Operations Director to the **Assistant** Director for Prison Operations and in consultation with the **Assistant** Director for **ACI**.

6.1.1 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.

6.2 Full-Time, Year-Round ACI/Private Sector (ACI/PS) Work Programs – Security requirements for work programs in this category shall be developed and submitted for approval, as a recommendation by the **Assistant** Director for **ACI** to the **Assistant** Director for Prison Operations.

6.2.1 Industry Program Specialists shall be hired by ACI to provide security for these work programs.

6.2.2 When necessary, Correctional Officers assigned to provide security for these work programs shall be drawn from the host institution.

6.2.3 ACI shall invoice, by contract, the private sector partner for all personal services expenses for Correctional Officers (including salary, uniform allowance, employee-related expenses and an appropriate relief factor) and shall subsequently reimburse Prison Operations.

6.3 Seasonal and/or Sporadic ACI/Private Sector Work Programs – Security requirements for work programs in this category shall be developed and submitted for approval, as a joint recommendation, by the **Assistant** Director for **ACI** and the appropriate Warden to the appropriate Regional Operations Director.

6.3.1 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.

6.3.2 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.

6.4 The **Assistant** Director for **ACI** shall ensure all new Correctional Officer resource requirements for ACI operations are submitted for approval through the appropriate Regional Operations Director to the **Assistant** Director for Prison Operations.

6.5 Wardens shall ensure only experienced Correctional Officers are assigned to ACI operations, when appropriate.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms

ATTACHMENT

Attachment A – Example - Shift/RDO Change Tracking Log
Attachment B – Example – Positive Attendance Report (PAR)

FORMS LIST

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

AUTHORITY

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

ATTACHMENT A

EXAMPLE – SHIFT/RDO CHANGE TRACKING LOG

					Previous Assignment		Interim / Current Assignment		Target Assignment	
Last Name	First Name	Most Recent Date of Hire / Promotion	TDY / Rotation / Memo	Date of TDY / Rotation / Memo	Shift	RDO	Shift	RDO	Shift	RDO

ATTACHMENT B

EXAMPLE – Positive Attendance Report (PAR)

 # 1

RECORD HOURS ON THE DAY THE SHIFT STARTS
SICK LEAVE CAN ONLY BE SCHEDULED ADJUSTED BY MUTUAL AGREEMENT OF THE EMPLOYEE AND THE SUPERVISOR

Normal Work Week: Saturday, Alternate Wednesday, Thursday and Friday

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/5 OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311												NO SL		
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction

 # 2

FULL "REGULAR HOURS DAY" TAKEN DURING THE "OT" WEEK. SCHEDULE ADJUSTED
SINCE NO COMP TIME IS EARNED IN WEEK 1, THE EMPLOYEE SHALL USE ANNUAL LEAVE, HOLIDAY LEAVE, OR COMP TAKEN IF THEY HAVE COMP TIME BALANCE ONLY 4 HOURS OF LEAVE WILL BE CHARGED TO COMPLETE THE 40 HOURS FOR THE WEEK.
FRIDAY WILL BECOME ALL REGULAR HOUR

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100		RDO	RDO	RDO	12	12	12	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800														
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311	4 AL/CT/HL											NO SL		
ALL OTHER (SEE CODES BELOW)	or SL/SF													

DRAFT

 # 3

PARTIAL 'REGULAR HOURS DAY" TAKEN DURING THE "OT" WEEK. SCHEDULE ADJUSTED.
OT HOURS WILL BE ADJUSTED FIRST4 HOURS TAKEN. 4 OF THE OT HOURS BECOME REGULAR HOURS.

THERE IS NO CHANGE TO THE SECOND WEEK

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	8	RDO	RDO	RDO	12	12	8	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/1 OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

 # 4

6 HOURS TAKEN. THE 5 OT HOURS AND 1 COMP EARNED HOUR BECOME REGULAR HOURS. NO LEAVE CHARGED
IF NO OTHER COMP HAS BEEN ACCUMULATED, THE EMPLOYEE WILL NEED TO USE ANNUAL OR HOLIDAY LEAVE
THE COMP EARNED 2 AT TIME & 1/2 WILL ADD 3 HOURS TO THE COMP TIME BALANCE

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	8	RDO	RDO	RDO	12	12	8	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/1 OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330											4 CT OR 3 CT/1 AL			
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#5

SICK LEAVE OR SICK FAMILY ON "REGULAR HOURS" DAY DURING THE "OT" WEEK. NOT SCHEDULE ADJUSTED. FRIDAY WILL BECOME ALL REGULAR HOURS. THE DAY OFF WILL BE RECORDED AS SICK LEAVE OR SICK FAMILY 12. THE EMPLOYEE WILL BE PAID 8 EXTRA HOURS

SINCE NO COMP IS EARNED IN WEEK 1, THE EMPLOYEE SHALL USE ANNUAL LEAVE OR HOLLIDAY LEAVE

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100		RDO	RDO	RDO	12	12	12	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800														
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311	12 SL													
ALL OTHER (SEE CODES BELOW)														

#6

PARTIAL DAY OF SL OR SF ON A "REGULAR HOURS DAY" DURING THE "OT" WEEK.
4 HOURS TAKEN. 4 OF THE OT HOURS BECOME REGULAR HOURS. SICK LEAVE OR SICK FAMILY 4 WILL BE ENTERED
THE EMPLOYEE WILL BE PAID 4 EXTRA HOURS THERE IS NO CHANGE TO THE SECOND WEEK

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	8	RDO	RDO	RDO	12	12	8	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/1 OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT		
SICK LEAVE TAKEN - 310 or 311	4 SL/SF													
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#7

6 HOURS TAKEN. THE 5 OT HOURS AND 1 COMP EARNED HOUR WILL BECOME REGULAR HOURS.
SICK LEAVE OR SICK FAMILY 6 WILL BE ENTERED. THE EMPLOYEE WILL BE PAID 6 EXTRA HOURS.
THE COMP EARNED 2 AT TIME & 1/2 WILL ADD 3 HOURS TO THE COMP TIME BALANCE.

IF NO OTHER COMP HAS BEEN ACCUMULATED, THE EMPLOYEE SHALL NEED TO USE ANNUAL OR HOLIDAY LEAVE.

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	6	RDO	RDO	RDO	12	12	10	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							CE 2*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311	6 SL/SF													
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#8

FRIDAY OF THE "OT" WEEK IS TAKEN ANY TYPE OF LEAVE. 4 HOURS OF LEAVE WILL BE CHARGED TO MAKE 40 FOR THE WEEK. NO OT OR COMP TIME WILL BE EARNED

SINCE NO COMP TIME IS EARNED IN WEEK 1, THE EMPLOYEE SHALL NEED TO USE ANNUAL LEAVE OR HOLIDAY LEAVE.

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12		12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							4 AL/CT/HL							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330							or 4SL/SF					4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)														

#9

PARTIAL DAY OF LEAVE ON FRIDAY OF THE "OT" WEEK.
4 HOURS TAKEN. ONLY 1 HOUR OF OT WILL BE PAID **NO OTHER ADJUSTMENTS ARE NEEDED.** **THERE IS NO CHANGE TO THE SECOND WEEK**

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/1OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#10

IF NO OTHER COMP HAS BEEN ACCUMULATED, THE EMPLOYEE
6 HOURS TAKEN. NO OT HOURS WILL BE PAID, AND ONLY 2 COMP TIME HOURS WILL BE EARNED. **WILL NEED TO USE ANNUAL OR HOLIDAY LEAVE**

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							2 CE*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330											4CT/OR 3CT/1AL			
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#11

HOLIDAY OFF ON "REGULAR HOURS" DAY DURING THE "OT" WEEK. NOT SCHEDULE ADJUSTED.
HOLIDAY ENTRY IS HO 8. OT AND COMP TIME HOURS BECOME REGULAR HOURS.
THE EMPLOYEE WILL BE PAID 4 EXTRA HOURS

SINCE NO COMP IS EARNED IN WEEK 1, THE EMPLOYEE SHALL USE
ANNUAL LEAVE OR HOLIDAY LEAVE

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO		12	12	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800														
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)					HO 8									

#12

HOLIDAY ON LONG WEEK.
THERE IS NO CHANGE TO THE SECOND WEEK

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/ 5OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)					HA 8									

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#13

HOLIDAY OFF ON FRIDAY OF THE "OT" WEEK. NOT SCHEDULE ADJUSTED.
SINCE NO COMP IS EARNED IN WEEK 1, THE EMPLOYEE SHALL NEED TO USE ANNUAL OR HOLIDAY LEAVE
HOLIDAY ENTRY IS HO 8. THE EMPLOYEE WILL BE PAID 4 EXTRA HOURS.

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12		12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800														
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)							HO 8							

#14

HOLIDAY ON FRIDAY OF THE "OT" WEEK.

THERE IS NO CHANGE TO THE SECOND WEEK

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO	RDO	RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/ 5OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)							HA 8							

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#15

SINCE NO COMP IS EARNED IN WEEK 1, THE EMPLOYEE SHALL NEED TO USE
ANNUAL LEAVE OR HOLIDAY LEAVE
HOLIDAY OFF ON MONDAY OF THE "OT" WEEK.

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO		RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/5 OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)			8 HA											

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction

#16

SINCE NO COMP IS EARNED IN WEEK 1, THE EMPLOYEE SHALL NEED TO USE ANNUAL LEAVE OR HOLIDAY LEAVE
HOLIDAY OFF ON MONDAY OF THE "OT" WEEK.

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (OVERTIME WEEK)							SECOND WEEK (SHORT WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	12	RDO		RDO	12	12	4	12	RDO	RDO	RDO		12	12
UNSCHEDULED HOURS - 101 OR 800							3 CE/5 OT*							
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330												4 CT/AL/HL		
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)			8 HA											

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#17

RECORD HOURS ON THE DAY THE SHIFT STARTS
SICK LEAVE CAN ONLY BE SCHEDULED ADJUSTED BY MUTUAL AGREEMENT OF THE EMPLOYEE AND THE SUPERVISOR
NORMAL WORK WEEK: SUNDAY, MONDAY, TUESDAY AND ALTERNATE WEDNESDAY

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (SHORT WEEK)							SECOND WEEK (OVERTIME WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	RDO	12	12	12		RDO	RDO	RDO	12	12	12	4	RDO	RDO
UNSCHEDULED HOURS - 101 OR 800												3 CE/ 5OT*		
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330					4 CT/AL/HL									
SICK LEAVE TAKEN - 310 or 311					NO SL									
ALL OTHER (SEE CODES BELOW)														

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.

#18

CIVIC DUTY ON THE SHORT WEEK
8 HOURS CIVIC DUTY NOTED, 4 HOURS ANNUAL LEAVE TAKEN

REGULAR 12-HOUR SCHEDULE	FIRST WEEK (SHORT WEEK)							SECOND WEEK (OVERTIME WEEK)						
	SAT	SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI
REGULAR HOURS - 100	RDO	12	12			RDO	RDO	RDO	12	12	12	4	RDO	RDO
UNSCHEDULED HOURS - 101 OR 800												3 CE/5 OT*		
ANNUAL/HOLIDAY/COMP TAKEN - 300, 324, 330				4 AL	4CT/AL/HL									
SICK LEAVE TAKEN - 310 or 311														
ALL OTHER (SEE CODES BELOW)				8 JD										

Note: * Recording of overtime within this example is for illustration purposes only. Overtime shall be recorded according to the current compensation election selected by the employee pursuant to section 6.0 of this written instruction.