

# Prison Overtime Usage

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2015 Report to the Legislature

*As required by Engrossed Substitute Senate Bill 6052*

December 2015

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# Prison Overtime Usage

## 2015 Report to the Legislature

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### Executive Summary

The 2015 Legislature directed the Department of Corrections (DOC) to review its policies and procedures for overtime usage to identify efficiencies and best practices that will control costs. The directive included the requirement that DOC submit a report providing recommendations to reduce DOC's overtime usage and reduce overall costs for prison personnel.

Custody staffing overtime costs within DOC prison facilities continue to exceed the base funded level of the legislatively approved Custody Staffing Model. Annual expenditures have exceeded funding provided by the model by an average of over \$11 million per Fiscal Year (FY) between FY 2010 through FY 2014. The key drivers of overtime include:

- increased use of authorized leave,
- increased mandatory staff training,
- the need for temporary extra posts, and
- mandatory coverage for custody staff vacancies.

Existing strategies related to each key driver of overtime serve to mitigate overtime expenditures; however, the amount of overtime continues to far exceed the funding levels of the Custody Staffing Model. Prisons leadership continues to explore new strategies/practices to reduce overtime costs.

***The DOC Custody Staffing Model does not provide adequate relief staffing for actual authorized leave taken or required mandatory training.*** The relief factors for FTEs to support authorized leave and training relief have not been updated in over 25 years. The model assumes an average of 22 days per year of authorized leave for each custody staff member. In FY 2015, the authorized leave usage averaged 30 days per year, or 36 percent higher than the model assumes.

The model assumes an average of eight training days per year for each custody staff; however, mandatory training now averages 11.9 days per year.

***Extra Posts are not funded or addressed in the Custody Staffing Model.*** Examples of extra posts include additional security needed due to disturbances, hospital and suicide watches, emergency medical transports and electronic equipment failures (such as access gates and fire alarms). FY 2015 showed an increase of more than 17,000 hours of extra posts when compared to FY 2010.

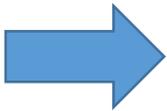
***Custody position vacancy rates vary from facility to facility, but statewide are hard to fill.*** The DOC competes with counties, cities, other states, and federal and tribal governments who typically pay higher wages. It is common to lose custody staff to law enforcement and other corrections facilities after DOC has invested in training these staff. The DOC and each facility practice a model of continuous recruitment in an effort to reduce the number of vacancies. The most recent wage increases for custody employees may help reduce the vacancy and turnover rates.

***Impacts of unfunded overtime.*** Although DOC has instituted policies and best-practice procedures to reduce custody overtime related to employee leave and training, federal and state laws surrounding Family Leave, Labor & Industries Time Loss, the Collective Bargaining Agreement (CBA) and subsequent arbitration rulings continue to drive the need for relief above the funded relief factors.

Not having sufficient relief for staff absences leads to excessive overtime for custody staff which results in correctional fatigue and increased unscheduled absences.

Additionally, operating dollars will continue to need to be shifted from other priorities to off-set the overtime expenditures. Dollars shifted to pay overtime significantly impact DOC's ability to fund much needed prisons infrastructure maintenance and repair of aging buildings, perimeter towers, perimeter fencing repairs and replacement, electrical and electronic security systems repair and replacement, and numerous other fixes of equipment well past their life cycle.

Based on thorough reviews of the causes that lead to continuously exceeding the base funded level, DOC is requesting changes in the DOC Custody Staffing Model to increase the authorized leave relief factor from (.08) to (.11) and an increase of the training relief factor from (.03) to (.05).



***Recommendations to mitigate custody staff overtime:***

- Fund an increase in the Custody Staffing Model's authorized leave relief factor from 0.08 to 0.11
- Fund an increase in the training relief factor from .03 to .05.
- Reduce the length of time between custody staff recruitment and the job offer.

Funding relief positions – rather than overtime – creates steady employment through permanent jobs in Washington State in lieu of on-call non-steady employment, and jobs also reduce the need for mandatory overtime. Staffing costs paid through permanent positions is more cost effective than paying the increased salary costs for overtime hours. Excessive mandatory overtime can jeopardize staff safety and security, and can decrease staff morale, potentially leading to increased turnover.

## Report Overview

The 2015 Legislature directed DOC, through Engrossed Substitute Senate Bill 6052 (section 220(2)(e)) to:

*“. . . review its policies and procedures for overtime usage throughout its prison custody system to identify efficiencies and best practices that will control costs. The department shall provide to the appropriate committees of the legislature by November 15, 2015, a report that makes recommendations to reduce the department's overtime usage and reduces overall costs for prison personnel. “*

## Prison Staffing Background

The DOC Prison's Division is responsible for the incarceration of adult felony offenders. The DOC operates 12 prison facilities located throughout the state. Prison custody staffing necessary to manage a 24 hour 7-days-a-week operations by DOC is determined by the legislatively approved DOC Custody Staffing Model. Staffing levels at each facility differ due to differences in offender custody levels, physical plant design, unit size, and offender treatment programs. There are 3,387 funded full-time prison custody positions statewide as of November 1, 2015.

Prior to the development and implementation of the legislatively approved DOC Custody Staffing Model, the Office of Financial Management (OFM) determined that DOC's critical minimum staffing policy did not adequately define the needs for different security posts. Given mandatory staffing levels did not exist, daily staffing vacancies often went unfilled. Each prison, with individual discretion, determined how low in staffing the various shifts would run. These minimum staffing levels, if in effect today, would result in a failure to meet the minimum standards of offender supervision and the completion of critical security tasks.

Based on OFM's recommendation, a task force was formed to develop a staffing model for the Prison's Division.

### Legislatively Approved Custody Staffing Model

The Custody Staffing Model established the mandatory security staffing needs for DOC's prisons. The model was developed over 25 years ago in response to questions raised by Legislative and OFM staff concerning DOC's method of staffing prison facilities. Key elements of the model include:

- Designation of facility and housing unit security levels;
- Supervision requirements by custody level
- The number of security posts (locations) and the number of staff needed to fill those posts by custody level;
- The necessary relief factors for posts; and
- A holiday and non-holiday overtime factor.

The model defines staffing requirements based on offender custody levels (maximum, close, medium, and minimum) and posts within a facility (offender housing units, perimeter security, access and movement control points, transportation of offenders, offender programming/activities, etc.). Although exceptions to the model are necessary due primarily to physical plant design and size, no significant changes have been

made since the model was originally created. In 2013, adjustments to the model were made adding a communication center officer post to 1<sup>st</sup> shift at the four stand-alone minimum security facilities and one 2<sup>nd</sup> shift control booth officer within the medium custody housing units.

In addition to identifying security posts, the model includes a relief factor for FTEs dedicated to regular-day-off coverage and employee leave – authorized, sick, and training. The model’s relief factors are based on the following annual assumptions for each FTE/employee:

- 22 days of authorized leave;
- 13 days of sick leave; and
- 8 days of mandatory training

Unlike security posts, exceptions are not made to the relief factors.

### Custody Post Audit Summary

Using the Custody Staffing Model as a foundation for authorizing staffing levels, each prison operates under a Custody Post Audit Summary (CPA), unique to that facility. A CPA identifies custody posts authorized at that facility by the Prisons Division management, the staffing levels needed to cover these posts, relief staffing, and holiday/non-holiday overtime FTEs. Differences in the CPA staffing levels at each facility are due to security levels, physical plant design, unit size, and offender treatment programs. Each facility is funded based on its CPA. Changes to CPAs typically occur when the facility experiences changes in security level designations, offender programming, and when there are unit closures or facility expansions.

### Roster Management Policy

While the Custody Staffing Model establishes custody staffing standards statewide, and the CPA Summary authorizes funded staffing levels at individual prisons, the Roster Management Policy (DOC Policy 400.210), ensures implementation and management of authorized custody staffing levels that are consistent with each facility’s CPA.

The policy establishes guidelines to ensure the safe and efficient operation of all prisons, ensures custody expenditures are managed in a manner consistent with budget allotments, provides scheduling directions/guidelines that both mitigate overtime and meet the requirements of the CBA, and includes an annual requirement for a Quality Assurance Audit which reviews each facility’s compliance with funded staffing levels.

### Mitigation Efforts Already Instituted

In 2005, all DOC prisons began using the Automated Time and Labor Scheduling System (ATLAS) as the computerized database system used statewide for Prison Custody Roster Management. This staff scheduling system allows DOC greater ability to determine and document the use of resources and drivers of overtime, and provides facilities with a more efficient means of scheduling staff in accordance with policy and the CBA.

A number of years ago, as a strategy to mitigate overtime, DOC developed and attached to this policy a “Non-Relievable Post” guideline (see Appendix A). This guideline provided facilities the ability to leave

certain posts temporarily vacant, absent available relief staff, due to unscheduled leave, personal holiday, training, and undefined exceptions authorized by management when operational need allows.

In addition, DOC has implemented the following in efforts to mitigate overtime:

- Shift exchange program (allows employees to exchange shifts)
- 12-hours shifts (when approved by facility as a whole)
- Implement a Quality Audit process that monitors facilities compliance with funded staffing levels
- Use of intermittent employees

## Key Drivers of Custody Overtime and Strategies for Mitigation

### Authorized Leave

#### Authorized Leave Exceeds the Funded Relief Factor

Authorized leave, as defined in the Custody Staffing Model, includes vacation time, compensatory time, personal holiday, military leave, and leave without pay. The model assumes an average of 22 days per year of authorized leave for each custody staff member, and prison facilities receive funding for full-time Authorized Leave Relief positions based on this assumption (.08 relief factor). For the past several years, authorized leave usage has exceeded the funded relief factor. In FY 2015, the authorized leave usage averaged thirty (30) days per year (.11 relief factor), or 36 percent higher than the model assumes.

Policy requires facilities to approve leave based on their funded relief factor; however, approved leave can exceed the funded relief factor because DOC is unable to deny leave for any of the following reasons:

- Family Care/Family Emergency;
- Family Medical Leave (FML);
- Labor and Industries Time Loss;
- Civil/Jury leave; and
- Inclement Weather

In addition, since inception of the Custody Staffing Model, changes to the CBA and subsequent arbitration rulings have dramatically affected DOC's ability to manage the relief factor as currently funded. Regardless of the relief factor, time off must be provided for employees, for the following reasons:

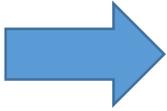
- CBA days (two days each year/each employee);
- Personal holidays (the model assumes approval based on relief factor)
- Eight hours off-duty time between the end of a training shift and the start of the employee's next scheduled shift;
- Managing the requirement of two consecutive days off each work week, when implementing an employee schedule change;
- Preapproved vacation time when an employee changes positions or is promoted/demoted.

It should also be noted that the high volume of unscheduled absences also affects the ability to manage relief as currently funded.

## Steps already taken to reduce the use of overtime to relieve staff on authorized leave

- ***Use of on-call correctional officers (COs) to reduce overtime expenditures:***
  - On-call (non-permanent, hourly) correctional officers provide daily coverage for mandatory scheduled leave above the relief factor, unscheduled absences, training, extra post coverage, and vacancies. Also, on-call COs are routinely hired into non-permanent (temporary) appointments to backfill staff on long-term absences. Each facility maintains on-call positions to fill these absences. In FY2015, there was an average of 322 on-call employees state-wide (see on-call employee data on page 10).
  
- ***Increased flexibility to use relief positions:***
  - In 2014, DOC and Teamsters representatives agreed to a revised Custody Roster Management Policy that allows facilities to utilize any uncommitted relief staff to fill roster vacancies 14 days or less in advance of the vacancy date in order to reduce the need for overtime. This change assists facilities in identifying the most efficient use of relief staff by allowing vacancies caused by contractual mandates (such as personal holidays, Family Medical Leave, vacation adjustments, etc.) to be filled in advance of the roster date.
  
  - In 2014, DOC completed revisions to “Guideline for Filling Vacancies” document, which assists facilities in identifying the most efficient use of relief staff.
  
- ***Increased flexibility from adoption of a Non-Relievable Post Guideline:***
  - The Custody Roster Management Policy’s Non-Relievable Post guideline identifies posts that can be left temporarily vacant when the incumbent is on specific types of leave. DOC developed this guideline (see Appendix A) to provide facilities the ability to leave certain posts temporarily vacant, absent available relief staff, due to unscheduled leave, personal holiday, training, and undefined exceptions authorized by management when operational need allow.
  
- ***Increased monitoring of overtime expenditures:***
  - Monthly reviews of overtime reports are completed by the Prisons Division management; overtime due to authorized leave is closely monitored to ensure facilities are staying within their funded relief factors when approving leave that is within their control. Facility specific reviews are completed with Superintendents and the Prisons Budget Manager to review current spending trends and future expenditure forecasts.
  
  - Supervisors annually, and as needed, review employees’ unscheduled leave usage as a performance measure.
  
- ***Sharing of best practices among facilities:***
  - In between and during quarterly budget reviews, Superintendents share with each other their local cost saving practices. Examples include: scheduling mandatory training on days where the

least amount of overtime is incurred; formal recognition for employees who use little to no sick leave; and addressing employees when leave use concerns exist.



### **Recommendations for policy and/or procedure changes to reduce the use of overtime to backfill for staff on authorized leave:**

- Fund an increase in the Custody Staffing Model's authorized leave relief factor from 0.08 to 0.11. Although DOC continually strives to manage authorized leave within the funded relief factor, as outlined above, there are several factors outside of our control.

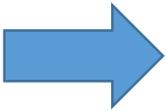
### **Training Relief Factor**

The Custody Staffing Model assumes an average of eight (8) training days per year (.03 relief factor) for each custody staff; however, mandatory training now averages 11.9 days per year (.05 relief factor). Examples of FY 2015-17 biennial mandatory training include Correctional Worker Core (CWC) for new employees, annual in-service training, and training for special teams including Emergency Response Teams, Inmate Recovery Teams and Crisis Negotiation Teams. A full list of mandatory annual custody training requirements is attached (Appendix B).

When staff in mandatory posts attend training, and all available relief staff have been utilized, on-call employees are used to fill the remaining vacancies. If on-call staff are not available, the use of full-time staff in overtime status is required. Additionally, a large majority of training is delivered by custody staff instructors who require relief.

### **Steps already taken to reduce the use of overtime for training purposes:**

- The Custody Roster Management Policy's Non-Relievable Post guideline identifies posts that can be left temporarily vacant when the incumbent is attending training. The revised Custody Roster Management policy allows facilities to schedule available Authorized Leave and Sick Leave relief staff to fill mandatory posts left vacant due to training 14 days or less in advance of the vacancy date.
- Facilities attempt to schedule annual training during times of lower vacation usage, anticipating a higher availability of Authorized Leave relief staff to provide post coverage.
- Monthly Special Team trainings are scheduled at times during the month where the least amount of overtime will be incurred.
- Facilities recruit non-custody staff as training instructors.
- Appointing Authority approval is required for all non-mandatory training.
- Available relief and on-call staff is utilized for post coverage prior to overtime.
- The revised Custody Roster Management policy allows facilities to schedule available authorized leave and sick leave relief staff to fill mandatory posts left vacant due to training 14 days or less in advance of the vacancy date.



**Recommendations for policy and/or procedure changes to reduce the use of overtime for training:**

- Fund an increase in the training relief factor from .03 to .05. Reductions in overtime costs can result if DOC reduces the amount of training required for custody staff; however, this strategy is not recommended. Current mandatory training topics are considered necessary to maintain and improve safety, security, and operational readiness.

**Extra Posts**

Extra Posts are activities which require staffing but are not funded or addressed in the Custody Staffing Model. Examples of extra posts include additional security needed due to disturbances and escapes, hospital and suicide watches, emergency medical transports and electronic equipment failures (such as access gates and fire alarms). FY 2015 showed an increase of more than 17,000 hours when compared to FY 2010. See list below of the most common extra posts (see Appendix C for post description).

Extra Post	FY 2010	FY 2015	Difference
CBA BY-PASS REMEDY	572	1,274	702
COURT WITNESS	81	503	422
DISTURBANCE	261	3,537	3,276
ELECTRONIC FAILURE	-	2,123	2,123
ESCAPE	1,024	1,012	(12)
EXTRA RESPONSE CAPABILITY	10,888	5,741	(5,147)
FACILITY ESCORT	6,773	4,694	(2,079)
FOG LINE	1,770	2,160	389
OFFENDER PROCESSING	991	1,163	172
OVERCROWDING	421	-	(421)
POST TRAUMA	168	186	18
SECURITY OTHER	21,438	4,115	(17,323)
SPECIAL SEARCHES	1,988	1,195	(793)
SPECIAL TEAMS DEPLOYMENT	9,078	4,017	(5,060)
TRANSPORT, CCJ/CCT	754	120	(634)
TRANSPORT, COURT	1,783	2,218	435
TRANSPORT, JAIL	586	1,054	468
TRANSPORT, MEDICAL	14,165	17,241	3,076
TRANSPORT, OTHER	2,912	2,746	(167)
TRANSPORT, PRISON	11,317	13,271	1,953
TRANSPORT, JUVENILE	-	43	43
WATCH, DRY CELL	1,999	2,457	458
WATCH, HOSPITAL	31,691	64,624	32,933
WATCH, OTHER	14,435	12,802	(1,634)
WATCH, SUICIDE	5,889	9,887	3,999
<b>TOTAL HOURS:</b>	<b>140,984</b>	<b>158,183</b>	<b>17,200</b>

Steps already taken to reduce the use of overtime for extra posts:

- Available relief and on-call staff are used for post coverage prior to using overtime.
- Offender program/activity areas are closed when there is a need for additional security posts related to emergencies.
- Mandatory posts are left temporarily vacant when unanticipated, short-term extra posts occur during a shift.

Recommendations for policy and/or procedure changes to reduce the use of overtime for extra posts:

Due to the unpredictable occurrence and frequency of extra posts, no new steps are recommended to reduce the use of overtime for extra posts; however, DOC will continue to monitor this usage to ensure that the use of extra post remains stable.

**Vacancies**

In 2006, DOC formed a centralized Recruitment Team to address double-digit turnover being experienced in CO ranks due to a better economy and low unemployment rate; the economy today is at a lower unemployment rate than in 2006. Today’s CO recruitment challenges include competition with the evolving \$15/hour minimum wage for fast food workers and private business expansions, e.g. Burlington Northern Railroad, Microsoft, and Boeing.

Vacancy rates vary from facility to facility, but custody positions statewide are hard to fill. The DOC competes with counties, other states, and federal and tribal governments who typically pay higher wages. It is common to lose custody staff to law enforcement and other corrections facilities after DOC has spent time and money on training these staff. Additionally, the rate of turnover for on-call COs runs extremely high. These on-call officers are often the people who are hired permanently to replace departing permanent staff.

On-call Employee data (Fiscal Year 2015)

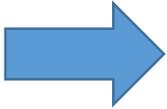
Location	Average Employees*	Separations	Turnover %
AHCC	23	8	35%
CBCC	16	10	63%
CCCC	8	0	0%
CRCC	38	12	32%
LCC	7	2	29%
MCC	87	33	38%
MCCCW	6	4	67%
OCC	8	4	50%
SCCC	27	14	52%
WCC	34	12	35%
WCCW	32	13	41%
WSP	38	16	42%
<b>Total</b>	<b>322</b>	<b>128</b>	<b>40%</b>

Source: Office of Financial Management

\*Average Employees: DOC employees in non-permanent appointments.

### Steps already taken to reduce the use of overtime to fill vacancies:

- In the 2015-17 enacted biennial budget, DOC received increased wages for custody staff
- In an attempt to recruit and retain qualified staff, DOC has had on-going, aggressive recruitment efforts
- Facilities have increased their rate of direct permanent hires versus on-call prior to permanent status
- Some facilities hire staff at a higher step within the salary range
- Full benefits provided for on-call custody staff



### Recommendations for policy and/or procedure changes to reduce the use of overtime to fill vacancies:

- Reduce the length of time between custody staff recruitment and the job offer.

## **Funding Required to Implement Recommendations**

The DOC needs 29.7 FTEs and \$5,273,000 in the 2015-17 biennium to implement the recommended increases to the authorized relief and training relief factors and to create stable employment.

Recognizing the ongoing over expenditures in custody overtime, beginning in the 2009-2011 biennium, DOC had to cover/incur these unbudgeted costs in lieu of planned spending on our prison equipment and facility maintenance needs as discussed earlier in the report to partially offset over expenditures in custody overtime salaries and benefits.

This funding will allow DOC to reduce over expenditures in overtime and adding staff is less costly than paying overtime. Ongoing over expenditures in overtime have forced prisons to achieve offsetting savings in other areas, primarily facility maintenance and equipment repairs. This strategy creates a real possibility that critical equipment or systems will fail.

Funding relief positions – rather than overtime – creates permanent jobs in Washington State and also reduces the need for mandatory overtime. Incurring staffing costs through permanent positions is more cost effective than paying the increased salary costs for overtime hours. Excessive mandatory overtime can jeopardize staff safety and security, and can decrease staff morale, potentially leading to increased turnover.

## **Summary**

The DOC has an outdated Custody Staffing Model. Authorized Leave and Training Leave relief factors in the model do not provide adequate relief staffing for actual leave taken and mandatory training. Although DOC has instituted policies and best-practice procedures to reduce custody overtime related to employee leave and training, federal and state laws surrounding Family Leave and Labor & Industries Time Loss, the CBA and subsequent arbitration rulings continue to impede progress.

One significant example of DOC's attempt at reducing overtime due to leave usage was to introduce 12-hour shifts for some custody posts/staff. The DOC believes that 12-hour shift employees would use less leave due to having more days off during the week than the traditional 8-hour day employees.

Below is a historical summary of the attempts to implement 12-hours shifts:

- In 2007, a proposal to pilot 12-hour shifts at Stafford Creek Corrections Center was made to Teamsters bargaining unit members at that facility; this proposal was rejected.
- In 2010, a proposal to pilot 12-hour shifts in two living units at Coyote Ridge Corrections Center (CRCC) was passed by members.
- In 2011, an analysis of CRCC's custody leave usage showed there was less leave taken by those staff working 12-hour shifts when compared to those working 8-hour shifts.
- In 2012, CRCC bargaining members requested and passed a vote to begin 12-hour shifts in two additional living units; this proposal was passed.
- In 2013, Washington State Penitentiary bargaining members voted against a proposal for 12-hour shifts at their facility; this proposal was rejected.

Recruitment and retention challenges continue for DOC. The inability to hire permanent and on-call custody staff to fill vacancies and provide leave and extra post coverage dramatically impacts the ability for DOC to mitigate overtime. It is too early to tell if pay increases provided in the 2015-17 budget will reduce the number of employees leaving for higher paying jobs.

Even with adoptions of recommendations and implementing better processes, it is not possible to eliminate overtime altogether. The emergent need is to minimize the gap between funded and unfunded expenses and decrease mandatory overtime situations that jeopardize the safety and security of staff and offenders within DOC prisons.

Absent an increase in the Custody Staffing Model relief factors, operational dollars will continue to be shifted from other priorities to off-set the overtime expenditures. Dollars shifted to pay overtime significantly impact our ability to fund much needed prisons infrastructure maintenance and repair work (see Appendix D for list of examples). Failure to maintain facilities and replace aging systems will result in deterioration of buildings and infrastructure, increased need for capital funds, and safety, security and potential regulatory and environmental concerns.

DOC is responsible for over \$2.5 billion in state assets with facilities ranging in age from the 130-year old Washington State Penitentiary (WSP) to recently constructed buildings and infrastructure. The condition of these facilities has been evaluated through independent assessments and DOC currently has over \$500 million in facility preservation projects in the Ten Year Capital Plan. This number grows rapidly each biennium as only a small percentage of the needs are funded.

One result of the growing list of deferred maintenance projects is an increasing occurrence of emergency project requests. These unexpected building or grounds failures impact public safety and the day-to-day operations of the DOC prison facilities. Over the past four (4) years, DOC has submitted 13 emergency requests totaling over \$4 million. The emergencies included failed roofs, plumbing and sewer systems, electrical and electronic control systems, fire and security systems, boilers and structural system repairs.

## Appendix A: Non-Relievable Post Guideline

### NON-RELIEVABLE POSTS

POST	DURATION	COMMENTS
*Transportation Lieutenant *Assignment Lieutenant	1 - 3 days	For short-term sick leave or unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee.
Medium Unit Sergeants	1 - 2 days	For unscheduled leave, personal holiday, and training. Exceptions, to include approval of annual leave (AL), may be made by the Captain/designee.
MI3, and MI2 Unit Sergeants	1 - 3 days	For unscheduled leave, personal holiday, and training. Exceptions, to include approval of AL, may be made by the Captain/designee or by the Lieutenant at minimum facilities.
*Hospital Sergeant	1 - 3 days	For unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee.
*Key Control Sergeant *Tool Control Sergeant *Armory Sergeant *Crew Sergeant *Mailroom Sergeant *Food Service Sergeant	1 - 5 days	For unscheduled leave, personal holiday, and training. Exceptions, to include approval of AL, may be made by the Captain/designee or by the Lieutenant at minimum facilities.
*Compound/Zone/Program Sergeant *Property Sergeant Visiting/Public Access Sergeant	1 - 5 days	For unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee.
*Property Officer *Hearings Escort Officer *Mailroom Officer *IMU/Seg. Property/Visit/Escort Officer	1 - 5 days	For unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee or by the Lieutenant at minimum facilities.
*Transportation Officers	1 day	If no transports: For unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee or by the Lieutenant at minimum facilities.
Hospital Watch/Close Observation/Suicide Watch Officer	1 day	If no watches: For unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee.
*Crew Officers MI2	1 - 5 days	For unscheduled leave, personal holiday, and training. Exceptions may be made by the Captain/designee or by the Lieutenant at minimum facilities. For offsite or security crews, agreements may be made with local contracts.
Program/Activity/Offender Activity/Services Officers		When program is closed.
**A/L Relief - CO, Sgt., Lt.		No relief required unless these positions are relieving others.
***T/R Relief - CO, Sgt., Lt. SL Relief - CO, Sgt., Lt.		For unscheduled leave, personal holiday, and training.
*Vehicle Gate		N/A

\* These positions should have holidays off. The Superintendent/Associate Superintendent responsible for the custody budget will develop a schedule to ensure this occurs.

\*\* These positions should have holidays off if not scheduled to relieve others or fill vacancies.

\*\*\* These positions should have holidays off if no training.

Rev. (5/15)

DOC 400.210 Attachment 2

## Appendix B: 2015-17 Mandatory Training

Revised Custody Training Requirements - 2015				
Mandatory Training				
Training	Annual Hours	Annual Custody Participants*	Total Hours Training	
Correctional Worker Core (CWC)	240	486	116,640	
Inservice/Block Training	40	3,392	135,680	Includes Weapons Re-qual
Emergency Response Team (ERT) Academy	80	35	2,800	
ERT Annual Training Requirement	96	250	24,000	
Special Emergency Response Team (SERT) Academy	80	20	1,600	
SERT Annual Training Requirement	96	80	7,680	
Crisis Negotiation Team (CNT) Academy	40	10	400	
CNT Annual Training Requirement	96	100	9,600	
Inmate Recovery Team (IRT) Academy	80	15	1,200	
IRT Annual Training	96	70	6,720	
Firearms Instructor Academy	40	12	480	80 hrs every two years
Marksman Academy	40	10	400	
Marksman Annual Training	48	16	768	
Crisis Incident Stress Mgmt (CISM) Academy	32	10	320	
CISM Annual Training	48	60	2,880	
Honor Guard	48	50	2,400	
Defensive Tactics Field Instructor (DTFI) Academy	80	25	2,000	
DTFI Recertification	16	80	1,280	
Basic Essential Skills for Instructors (BESI)	32	61	1,952	
Supervision and Leadership for Corrections Professionals	40	80	3,200	
Women Offenders: Pathways and Perspectives	16	70	1,120	Assume 50-WCCW; 20-MCCCW
<b>Total</b>			<b>323,120</b>	
*Total Custody Staff (does not include Lt's at minimum facilities or on-call Officers)	3,392			
		<b>annual hours/per staff</b>	<b>95.3</b>	
		<b>annual days/per staff</b>	<b>11.9</b>	

## Appendix C: Most Common Extra Posts and Definitions

EXTRA POST TYPE	EXTRA POST DEFINITION
CBA By-Pass Remedy	A full shift of overtime allowed to an employee, per CBA (17.8) and regardless of actual need, when that employee was erroneously by-passed previously on the voluntary overtime sign-up list.
CBA 2-Hour Rule	Two hours of authorized overtime for an employee, per CBA (17.1.D.9) and regardless of actual need, when an employee reports from home for an overtime assignment that is no longer available.
Court Witness	Department-related, required court appearance.
Disturbance	All activities related to a major disturbance/incident – includes paperwork, extra security posts, searches, etc.
Electronic Failure	Extra security required due to electronic failures (fence alarm, fire alarm, door lock, etc.).
Escape	All activities related to an escape/attempted escape – includes paperwork, extra security, searches, etc.
Extra Response Capability	Prescheduled extra response posts due to a threat or as a preventative measure – not related to a preceding disturbance or escape, death penalty activity, inmate activity, etc.
Facility Escort	Escort of private industry labor (maintenance, plumbing, telephone, etc.) within a facility.
Fog Line	Extra perimeter security due to fog.
Overcrowding	Extra security required in living units due to overcrowding.
Post Trauma	Post trauma/debriefing sessions provided to employees after a significant staff or offender incident
Security, Other	Additional security required and not defined elsewhere (power outage, fence/door security during maintenance, special housing unit security at minimums).
Special Searches	Special search of facility areas/units – not related to major disturbance, escape, etc.
Special Teams Deployment	Deployment of special teams in response to a disturbance, threat or as a preventative measure.
Special Watches	Hospital, suicide, dry cell or other watch.
Transport, CCI/CCT	Transports of violators.
Transport, Court	Offender transports for court, ISRB, immigration, etc.
Transport, Jail	Offender transport to City or County jail.
Transport, Medical	Offender transport to medical/dental appointments.
Transport, Other	Offender transport not defined elsewhere.
Transport, Prison	Offender transport to or from another State facility – includes chain transport.
Transport, YOP	Juvenile offender transport.

## Appendix D: Examples of Common Facility Requests:

### Most Common Facility Maintenance Requests:

- Replacement and repair of locks and locking mechanisms;
- Repairs to HVAC systems;
- Generator repairs and replacement;
- Replacement of Uninterruptable Power Systems;
- Repairs to Waste Water Treatment Plant;
- Steam system repairs;
- Roof repairs;
- Firing range maintenance;
- Window repair and replacement;
- Sidewalk repair;
- Paving, patching and resealing projects;
- Fence repair;
- Brick re-grouting;
- Painting projects; and
- Replacement of carpet/flooring.

### Most Common Security Electronics Requests:

- Replacement of radio systems which are obsolete or beyond useful life;
- Replacement of camera/video systems which are obsolete or beyond useful life;
- Repair of intrusion fence systems;
- Repairs and replacement of door and gate controls;
- Software and hardware updates to current technology for security electronics systems; and
- Repairs and updates to touch screen panels;

### Most Common Equipment Requests:

- Food service equipment;
- Replacement vehicles;
- Grounds maintenance and heavy equipment;
- Maintenance equipment (e.g., forklifts, compressors, lathes, welders); and
- Security Equipment (e.g., scanners, metal detectors).