	DEPARTMENT OF CORRECTIONS **Institutions**	
Title: Staff Deployment System		**DOC Policy: 40.2.1**
Effective: 11/17/17		**Supersedes: 12/1/13**
Applicability: All employees working in DOC institutions		
Directives Cross-Reference: None		
Attachments: **Attachment A: ISDS Data Management Procedural Requirements** **Attachment B: CD1434 Staffing Standard Review and Exception Request Form**		

I. PURPOSE

The purpose for implementing the Staff Deployment System is to ensure that staff scheduling is accomplished efficiently and cost effectively, ensure accurate data collection, and to increase productivity and security by strategically deploying staff. The Staff Deployment System will be practiced at all institutions in accordance with this policy.

II. DEFINITIONS

A. Absence Categories: Specific reasons for an employee's absence; examples are: Planned leave, such as vacation, military leave, training, jury duty, sick leave, annual leave, etc.

B. Balanced Staffing Plan: A condition that describes a total reconciliation between scheduled assignments and budgeted relief factors.

C. Daily Roster: A daily employee work schedule, prepared for each shift, designating staff work assignments.

D. Daily Work Record: A record that captures all changes to the daily roster and reflects all changes to the planned schedule.

E. Exception Reasons: Unplanned leave, such as unscheduled sick leave, emergency, inmate disturbance, etc.

F. Fixed Post: A security work assignment necessary to ensure safety and security of the institution and to prevent escapes or any work assignment critical to the operation of the institution. If the work need has been completed or operations are suspended for all or part of a shift, a fixed post may be closed to allow staff to be redeployed to another work assignment. Fixed posts will not be closed to offset overtime.

G. Institution Staff Deployment Coordinator: An employee located at each facility that is the primary employee responsible for staff deployment data management and staff scheduling.

H. ITS: Information Technology

I. Master Roster: A work schedule that includes the start and stop times, the assignment by shift, and the days off assigned to each post.

J. Non-Relieved Post: Post for which there is no relief factor allocated.

K. Off-Duty Limits: The number of employees who may be absent on any given day for

any reason without causing overtime, as designated by the relief factor.

L. Position Control Numbers (PCN): The position numbers assigned to each security (employee) position by the Department of Administrative Services.

M. Post Classification: The classification of post that includes "fixed" and "pull" as well as assignment of rank (Officer, Corporal, Sergeant, Lieutenant, Captain).

N. Post Skills: Skills that are mandatory, required or optional for an employee to possess in order to work in a particular post.

O. Pull Post: A post that is, or may be, left open (without staff assignment) for part or all of a shift. Use of pull posts will be monitored by the assistant superintendent of security/security manager to insure there is a balanced approach and operational needs are being met. Only posts which perform an operational function that can be interrupted intermittently without significant impact to critical operational functions shall be designated as a pull post.

P. Regular Day-Off (RDO): A position used to cover a post when the post's regularly scheduled employee is absent on regular days off.

Q. Relief Factor: A percentage that, when added to the number of equivalent personnel necessary to staff a post, provides additional equivalent personnel to ensure coverage for regular days off, vacations, holidays, and other activities such as training that takes employees away from the institution during the course of the year.

R. Relieved Post: Post for which there is relief factor allocated.

S. Roster Adjustment: Changes made by the institution staff deployment coordinator in the daily assignment roster and roster work record to cover posts.

T. Roster Management: The continuous adjustment of work assignments to achieve the least financial impact on the operation, while maintaining the safety and security of the institution.

U. Shift Relief/Flex: Assignment to a fixed shift and days off, and will be utilized by the institution staff deployment coordinator and the Officer in Charge (OIC) to cover open assignments on daily rosters.

V. Staffing Standards: Guidelines established to determine numbers of staff, classification, and full time employees (FTE) required to safely operating each facility.

W. Staffing Plan: Post coverage delineation, with the number of posts that must be covered, and the number of employees, (calculated by the relief factor) within the guidelines of DOC staffing plans, based on Legislative funding, that will be required to cover each post.

X. Staff Deployment Timekeeper: Provides assistance/support to the staff deployment coordinator and the assistant superintendent of security/ISM for security staff scheduling.

Y. Vacancy: A position number that becomes unfilled by reason of promotion, resignation, retirement, termination, etc.

Z. Variable Relief/5% ISD Flex: Positions identified to receive a 5% differential, and will be utilized to cover variable shifts and days off.

III. POLICY

A. Software and Hardware

1. The ISDS database shall be password protected and located in a secure area.

2. ISDS computers shall have an uninterrupted power source (UPS) of sufficient capacity to access the database.

3. Every institution shall have two computers configured for ISDS standards.

B. System Back-ups

1. ISDS data and index files shall be backed up daily by the institution staff deployment coordinator as data is entered and saved.

2.   A complete backup of the system shall be done weekly by IT Services.

C. General Responsibilities – Staff Deployment System Manager

A primary Department of Corrections staff deployment system manager shall be assigned by the Assistant Director of Operations. The staff deployment system manager is responsible for the following:

1 Budget: Operations Division

   a. Present to the Assistant Director of Operations or designee, cost analysis when staffing plans will require adjustment.

   b. Review and analyze overtime and compensatory time expenditures.

   c. Evaluate the fiscal and operational impact of projected relief factors on the staffing plan.

2. Develop and implement basic concepts courses for management and executive staff;

3. Conduct staff deployment coordinator user group meetings;

4. Train institution coordinators;

5. Maintain a staff deployment system technical reference manual;

6. Create, analyze and audit ISDS reports and records to ensure accurate operation of system; and

7. Support and maintain all department ISDS data entry systems.

8. Purchases and expenses must be approved by the chief of security

D. General Responsibilities – Assistant Superintendent of Security/Security Manager

The assistant superintendent of security/institution security manager (ISM) shall assign a primary institution staff deployment coordinator, who shall be responsible for the day-to-day operation of the scheduling system. A back up person must be assigned. The assistant superintendent of security/security manager is responsible for the following:

1. Provide a monthly report outlining major reasons for overtime use, and measures taken to control the overtime.

2. Make recommendations in compliance with staffing standards, to the functional unit manager or designee as follows:

   a. Designate a primary institution deployment coordinator and a backup person to the primary coordinator.

   b. Post creation

   c. Post deactivation

   d. Post reactivation

   e. Post classification and reclassification (fixed, pull)

       f.   Review muster boards (daily roster reports) daily upon return from the OIC's office, insuring rosters are developed and managed in compliance with staffing standards and this policy.

E.   General Responsibilities – Institution Staff Deployment Coordinator

1. The institution staff deployment coordinator shall be responsible for maintaining daily rosters, work records, position control number assignments for vacancy tracking, verifying accuracy of records, maintaining accurate time and attendance for security staff, meeting payroll deadlines, and maintaining physical records in accordance with state archivist schedule.

2. The institution staff deployment coordinator shall address staff deployment-related issues immediately through the chain of command as follows:

   a. Procedures to supervisor, institution chain of command.

   b. System/equipment problems to ISU help desk.

F.   Relief Factor Management

1. General:

   a. The relief factor shall be used:

      (1) In planning and managing budgets; and

      (2) To establish the number of positions needed to cover the institution's staffing plan.

   b. Relief factor absence categories Include vacation time off, training, and military leave.

   c. Relief factor positions shall not be used to create fixed posts.

G.   Staffing Plans

1. General:

   a. Staffing plans and schedules must be approved by the functional unit manager and Assistant Director of Operations or designee, and be in alignment with the staffing standards prior to implementation.

   b. Once authorized, staffing plans cannot be changed without following either the annual or emergency process as explained below.

   c. Institution staffing levels must balance: Total posts multiplied by relief factor, is equal to the number of full time employees (FTE) and can be reconciled with the Position Inventory Control System managed by Department of Administrative Services.

   d. Relief Factor positions (FTE) shall not be used to create additional posts to enhance operational objectives. Funding for Relief Factor is solely for the purpose of providing regular day off relief and to offset absences before requiring overtime to cover fixed post functions.

2. Staffing Plan Development

   a. Each post shall be classified as being either fixed or pull, and relieved or non-relieved.

3. Staffing Plan Analysis – Semi-Annual (twice per year) Process:

   a. The assistant superintendent of security/security manager shall review all staffing plans semi-annually (twice each year), or as operational changes occur, to ensure that the required balance is achieved prior to submission to the functional unit manager for approval.

b. If the staffing plan is out-of-balance with the relief factor, i.e., insufficient to cover the posts adequately, out-of-balance more than .49, the staffing plan must be revised by either:

    (1) Decreasing the number of posts; or

    (2) Increasing the number of budgeted positions.

    (3) Once authorized, staffing plans cannot be changed without following either the relief factor management or emergency process.

    (4) Requests for changes must be submitted in writing Security Staffing Standard Review and Exception Request form (CD 1434).

c. If a revision is approved by the Assistant Director of Operations or designee, the Staff Deployment System Manager and Institution Staff Deployment Coordinator(s) shall prepare the appropriate databases, prepare a new staffing plan and schedule, and distribute revised master rosters.

4. Annual Post Audit and Evaluation and Staffing Analysis:

Posts shall be evaluated at least annually by functional unit management staff and in consultation with the functional unit PREA coordinator to assess, determine, and document whether adjustments are needed to the established staffing plans and ensure facilities have the resources available to commit to ensure adherence to the staffing plan. Posts shall be evaluated also for continuous need, abolishment, combination with other posts, change of classification, change of category designation, reduction or increase in the number of shifts staffed daily, the number of days staffed, or continuance without modification.

a. A Security Staffing Standard Review and Exception Request form (CD1434) will be submitted annually to the staff deployment manager, signed by the assistant superintendent of security/institution security manager and functional unit manager. This will in turn be submitted to the agency PREA coordinator after the Chief of Security has approved and signed it. This will occur for each institution annually. Forms will be retained centrally with the staff deployment system manager.

5. Staffing Plan Analysis – Emergency Process:

a. A staffing plan may be temporarily revised without the Assistant Director of Operations or designee approval only when the institution's emergency response plan is implemented.

b. The Assistant Director of Operations shall be notified immediately of the emergency revision to the staffing plan.

c. The emergency revision shall not exceed 30 days without a permanent revision to the staffing plan.

6. Relief Factor Management Process:

a. The functional unit manager (or designee) shall approve activation or deactivation of posts based on out-of-balance conditions that exist because of vacancies and/or absences that cause the year-to-date relief factor to be greater than the historical or system-to-date relief factors.

b. Pull posts shall be evaluated for use on a daily basis to be considered for use to cover absences that are in excess of the relief factor and off-duty limits.

c. Use of pull posts will be evaluated by the Officer In Charge (OIC) each shift before pulling to cover an open post, giving consideration to how recently the post has been utilized as a pull post to avoid significant impact to the

operational function of the pull post.

H. Roster Management

1. General:

   a. Regular days off are assigned to posts.

   b. Skill requirements may be assigned to posts.

   c. Actively recruit to fill vacancies as soon as possible.

2. Leave Management:

   a. The assistant superintendent of security/security manager shall approve the number of employees who may be off-duty on any given work day.

   b. Primary vacation periods shall be scheduled through the use of a bid system in accordance with the applicable labor agreement and/or established procedures. The institution staff deployment coordinator shall record scheduled vacation bid time off in the ISDS Bid Information module.

   c. Requests for individual leave days shall be handled as follows:

      (1) All leave requests (CD1) shall be submitted to the institution staff deployment coordinator/timekeeper. Emergency requests will be evaluated on a case-by-case basis.

      (2) The institution staff deployment coordinator shall record the time and date received.

      (3) The assistant superintendent of security/security manager or management designee shall make a final leave decision in accordance with current off-duty limits.

      (4) Planned leave approval, denial or pending decisions shall be noted on the CD1 form and returned to the employee prior to the date requested. A copy of the CD1 form shall be retained in a time and attendance file (either paper or electronic). Upon approval of individual planned leaves, the institution staff deployment coordinator/timekeeper shall enter the leave information in the ISDS leave requests module.

      (5) The institution staff deployment coordinator shall use the planned leaves file to record and monitor leave denials. If previously denied time becomes available, refer to collective bargaining agreement.

   d. Unscheduled absences shall be reported and processed pursuant to institution practice.

   e. All institution call in slips and leave request slips indicating the absence may be eligible for FMLA/OFLA protection must be forwarded to the Department of Corrections Human Resources FMLA/OFLA Coordinator's office for review and processing.

   f. The institution staff deployment coordinator/timekeeper shall track all employee absences. Absence data shall be reviewed periodically by the assistant superintendent for security/security manager.

   g. An employee leave request (CD1) form must be submitted for any time loss.

3. Overtime Management:

   a. Overtime shall not be authorized unless all shift relief positions have been used.

   b. Overtime shall not be authorized unless a documented emergency exists or a

post critical to the security of the institution would remain unfilled.

c. Overtime shall not be used to cover unrelieved posts, unless they are critical to the operation, and only to address short-term issues/needs. Such use must be authorized by the assistant superintendent of security/security manager.

d. Overtime shall not be authorized unless all posts classified as "Pull" have been evaluated for closure given the totality of circumstances.

e. All overtime must have prior approval by the assistant superintendent for security/security manager, or OIC. All overtime hired must be recorded on the Roster/Exception sheets with accurate record of hours and start/stop times.

f. Overtime shall be recorded in the ISDS work record within no more than 72 hours with actual and appropriate reason codes provided, giving consideration to all variables affecting overtime management, including all planned and unplanned absences, training, military, hospital watch, vacancies, etc. Priority will be given to work record exception entries daily.

(1) Prior to assigning overtime, open posts or assignments (except pull posts) will be filled by the Assistant Superintendent of Security, ISM, or management designee with available flex/relief staff prior to rosters being released to OIC's in accordance with institution policy.

(2) All overtime entries clearly associated with an absence pay code will be designated with an exception reason

(3) All overtime not associated with an absence pay code will be entered with the actual exception reason i.e. Report writing, hospital watch (where hospital watches are not filled with an existing post), etc.

(4) All absences from the roster related to training must be coded with the appropriate pay code.

(5) Assistant superintendent of security or management designee will provide oversight of this process to ensure overtime coding is in compliance with this policy.

4. Use of a Daily Roster:

a. The OIC shall be responsible for the documentation and accuracy of the daily roster variance and exception notation. The completed daily roster shall be routed to the institution staff deployment coordinator/timekeeper at the end of the shift to be recorded in ISDS.

b. Making Adjustments to the Daily Roster:

(1) All adjustments to the daily assignment roster shall be recorded by the OIC on the exception section of the roster or on the form provided by institution staff deployment coordinator.

(2) Adjustment notations shall follow a standard format:

(a) The open post shall be listed first followed by the action taken: relieved with an employee assigned to a shift relief position, by substituting with staff from another post, or overtime.

(b) The absence category for the absence shall be listed if known, by the OIC.

(c) If no appropriate code for the absence or overtime exists, a brief reason shall be provided.

(3) When an employee works overtime, record in the adjustment notation whether the overtime was mandatory or voluntary (M or V) and the total number of overtime hours worked.

(4) The ISDS Coordinator will record and make adjustments to the exception sheet when the absence category was unknown by the OIC.

c. Assignment of Shift Relief and Variable Relief Staff:

(1) Shift relief and variable relief positions not already assigned to fill open posts on the daily roster to alleviate overtime in advance, shall appear on the daily roster as relief positions at shift time. Assignment for unplanned absences shall be made by the OIC.

(2) Filling Fixed Posts: If an absence in a fixed post occurs, the absence must be filled according to the following priority:

(a) Shift relief and variable relief staff

(b) Pull posts

(c) Overtime

(3) Any variation from this order of priority shall require written notice to the functional unit manager or designee on the next workday.

d. Daily Roster Work Record Procedure – Daily roster work record exceptions must be completed and reconciled within 72 hours of the end of the work day.

e. Time and attendance reports shall be generated by the staff deployment coordinator/timekeeper concurrent to pay period due dates, and reconciled with time sheets.

f. The staff deployment system manager shall audit the institution staff deployment coordinator to ensure proficiency.

IV. IMPLEMENTATION

This policy will be adopted immediately without further modification.

Certified: __signature on file__
    Michelle Mooney, Rules Coordinator

Approved: __signature on file__
    Brian Belleque, Deputy Director