

 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 2.15	Effective Date 09/26/14	Page 1 of 6
	Supersedes Custodial Staff Deployment, dated 9/15/2008		
Approved By:  Interim Commissioner Scott Semple	Title Custodial Staff Deployment		

1. Policy. The Department of Correction shall deploy its custodial staff to ensure the safety and security of the public, staff and inmates as well as provide a humane and orderly environment. Custodial staff shall be deployed in a consistent and uniform manner to enhance the efficiency and cost effectiveness of the facility.

2. Authority and Reference.
 - A. Public Law 108-79 Prison Rape Elimination Act of 2003.
 - B. 28 C.F.R., 115 Prison Rape Elimination Act National Standards.
 - C. Connecticut General Statutes, Section 18-81.
 - D. American Federation of State, County and Municipal Employees (NP-4) Bargaining Unit, July 2004, Articles 14 and 25.
 - E. Administrative Directives 2.3, Employee Selection, Transfer and Promotion; 2.7, Training and Staff Development; 2.11, Employee Dependability; and 4.7, Records Retention; 6.12, Inmate Sexual Abuse/Sexual Harassment Prevention and Intervention.
 - F. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1C-06.
 - G. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standard 4-4051.
 - H. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-2A-14.

3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Attendance Roster. A listing of all staff assigned to a shift, organized by slot.
 - B. Daily Roster. The Daily Roster shall consist of the Post Assignment Roster (Form CN 21501) and the Attendance Roster (Form CN 21502).
 - C. Fixed Post. A post that shall be staffed without exception throughout the shift.
 - D. Long-term Leave. Any period of consecutive absence expected to exceed one (1) year.
 - E. Master Roster. A long-term personnel assignment schedule for all permanent posts established by the Post Plan.
 - F. Permanent Post. A designated post in the Post Plan.
 - G. Post. A specific custodial work assignment within a facility.
 - H. Post Assignment Roster. A daily shift assignment schedule, by post, for all custodial personnel. Post assignment information for each shift shall be recorded on the Post Assignment Roster (Form CN 21501).
 - I. Post Rotation. The periodic reassignment of custodial staff to established posts.
 - J. Post Plan. A listing of all permanent posts in a facility by location or primary function.
 - K. PREA. PrisoR Rape Elimination Act.

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- L. Pre-approved Leave. An authorized use of vacation, personal leave, holiday (IL) and/or earned/accrued time.
 - M. Pull Post. A staffed post which may be closed for a portion of a shift that normally shall not exceed three (3) consecutive hours to use the employee for other duties as needed.
 - N. Relief Factor. A formula which identifies the staff required to fill an established post.
 - O. Scheduled Training. The assignment of staff to attend required training.
 - P. Shift Relief Factor. A formula used to determine the staffing required to fill a post plan.
 - Q. Shutdown Post. A post that may be closed for the duration of the shift due to the unavailability of staff or the redeployment of regularly scheduled staff.
 - Q. Slot. An approved number of positions within the attendance roster that have the same rotation of days on and off.
 - R. Squad. A group of slots within the same shift utilized by facilities that have an every other weekend off schedule.
 - S. Temporary Post. A post established to meet a specific short-term purpose.
 - T. Vacancy. An unfilled position authorized by the Department of Administrative Services for refill.
4. Post Plan. The Deputy Commissioner of Operations shall establish a Post Plan for each facility. The Post Plan shall list all posts and identify each post as a fixed, pull or shutdown post. Requests to add or delete permanent posts to the Post Plan shall be submitted, in writing, to the Deputy Commissioner of Operations through the chain of command. Temporary posts, which are needed for more than five (5) consecutive days shall require documented approval through the appropriate District Administrator. Any temporary post that exceeds 15 consecutive days shall require approval of the Deputy Commissioner of Operations.
5. Staffing Plan. The agency PREA Coordinator shall assist in the development and documentation of a staffing plan that provides for adequate levels of staffing in all facilities, and, where applicable, video monitoring to protect inmates against sexual assault. Each facility must document and justify all deviations from the staffing plan. Whenever necessary, but at least once a year for each facility, the agency PREA Coordinator shall, in consultation with others in the agency, assess, determine and document whether adjustments are needed to the staffing plan, video and other monitoring technology, and the resources the facility has available to adhere to the staffing plan.
6. Assigning Posts to a Shift. Each post shall be assigned to a shift based on the hours of operation for that post. Posts that start between 6:00am and 2:00pm shall be assigned to first shift. Posts that start after 2:00pm and up to 11:00pm shall be assigned to second shift. Posts that start after 11:00pm and up to 5:45am shall be assigned to third shift.
7. Master Roster. Each Unit Administrator or designee shall develop and implement a Master Roster (Form CN 21508) consistent with the approved Post Plan. All permanent posts shall be included on the Master Roster. All Master Rosters shall be retained on file at the facility for three (3) years.

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8. Master Roster Balance. The facility Master Roster shall be balanced to ensure adequate staffing coverage and to enhance Department operating efficiency. Master Roster balancing shall be consistent with the following:
- A. Each slot shall remain balanced to within one (1) working position if less than 80 staff are assigned to the shift. Each slot shall be balanced to within two (2) working positions if there are 80 or more staff assigned to the shift.
 - B. Facilities with the every other weekend off schedule, shifts shall balance their squads to within one (1) working position.
 - C. Master Roster vacancies, extended worker's compensation and long-term leave shall be balanced within each Post Plan.
 - D. Slot-to-slot and shift-to-shift transfers shall be considered to balance slots projected to remain unbalanced for any extended period.
 - E. A monthly report shall be generated and forwarded to the Operations Division indicating the facility slot and squad balance using the Monthly Staff Report (Form CN 21512).
9. Shift Schedule. Each facility shall use a five (5) days on and three (3) days off or a five (5) days on and two (2) days off work schedule according to the Post Plan for all custodial staff unless stipulated otherwise in the NP-4 collective bargaining contract.
10. Employee Assignment. Custodial staff shall be assigned to a post on a rotational basis without regard to gender. Post rotation shall not occur in less than 56 days (one cycle) or more than 336 days (six cycles) from the initial post assignment. Any post rotation exception shall require written authorization from the appropriate District Administrator.
11. Facility 5 and 2 Post Assignments. 5 and 2 post vacancies shall be announced each November. The announcement shall consist of a roll call notice during all three (3) shifts for two (2) calendar weeks. The 5 and 2 vacancy shall be posted on a bulletin board that is visible to staff. Interested candidates shall have thirty (30) days to apply for these positions. Candidates that are interested in receiving information related to the duties of the announced position may request this information through the Unit Administrator or designee.
- A. Selection Criteria. In order to qualify for a 5 and 2 post, interested candidates shall meet the following minimum criteria:
 1. Three (3) years experience in corrections;
 2. One year (1) experience at the facility;
 3. Compliance with Administrative Directives 2.3, Employee Selection, Transfer and Promotion; and 2.11, Employee Dependability;
 4. Overall performance appraisal rating of "Satisfactory" or above;
 5. Excellent oral and written communication skills;
 6. Ability to work collaboratively with others;
 7. Recommendation from their supervisor;
 8. Professional presentation and demeanor; and,
 9. Positive work ethic.

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- B. Application Process. Interested candidates may submit a letter of interest to the Unit Administrator by the specified closing date. The letter of interest shall include the candidate's qualifications and why they wish to be considered. The Unit Administrator may designate supervisors to interview the eligible candidates. Recommendations shall be forwarded to the Unit Administrator who shall make the final selection based upon the qualifications of the candidates. All attempts shall be made to ensure objectivity and diversity in the selection process. Candidates that are selected and accept the 5 and 2 position shall be required to review and sign the 5 and 2 Post Agreement Form (CN 21513).
 - C. Duration of Assignment. The duration of the 5 and 2 post shall be at the discretion of the Unit Administrator, not to exceed two (2) years. Extensions may be granted by the District Administrator based upon the written justification of the Unit Administrator. Employees may reapply after being out of a 5 and 2 post for one (1) year or if there are no other qualified or interested candidates.
 - D. Unanticipated Vacancies. The facility shall not be restricted from posting and filling a 5 and 2 position as vacancies arise throughout the year.
 - E. Exemption. Section 10 of this Directive shall not apply to the members or prospective members of the Correctional Transportation Unit, Intelligence Unit and the Armory Operations Unit.
12. Personnel Changes and Leave. All post personnel changes prior to post rotation made after the Master Roster has been placed into effect shall be recorded on the Master Roster with date of change, name of officer, reason for the change and initials of the Unit Administrator. The Unit Administrator shall ensure the staffing impact is evaluated before approving leaves for uniformed custodial staff.
12. Daily Roster.
- A. A Daily Roster shall be completed for each shift in accordance with the authorized Master Roster.
 - B. All post assignments on the Daily Roster shall be recorded and any assignment changes from the authorized Master Roster during the shift shall be noted.
 - C. Each Daily Roster shall be reviewed and signed by the appropriate Shift Commander and the Deputy Warden of Operations indicating the accuracy of the report.
 - D. Any posts covered by overtime (OT) shall be indicated on the Daily Roster along with the reasons and justification for overtime use.
 - E. The Daily Roster shall indicate the minimum staff needed to cover all fixed and pull posts.
 - F. The Daily Roster for each shift shall be certified that personnel were present, accounted for and utilized as reflected on the Daily Roster.
 - G. Each Daily Roster shall indicate the name of each employee assigned to each post and the name of each employee on sick, vacation, personal or earned leave, schedule training or regular days off status.
 - H. The Daily Roster shall be maintained at the facility in accordance with Administrative Directive 4.7, Records Retention. Daily Rosters shall be neatly organized by month and sorted by day and shift. The completed Daily Trip Log (Form CN 21510) shall be included with each set of daily reports. The Weekly Overtime Report (Form CN 21507) and

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the Weekly Trip Log (Form CN 21511) shall be placed at the end of each corresponding week.

13. Post Assignment Roster.

- A. The Post Assignment Roster (Form CN 21501) shall indicate the minimum staff needed to cover all fixed, pull and shutdown posts.
- B. Any posts covered by overtime shall be indicated on the Post Assignment Roster (Form CN 21501) by placing (OT) next to the assigned staff member's name.
- C. Any posts covered by an authorized swap shall be indicated on the Post Assignment Roster (Form CN 21501) by placing the normally assigned officer/supervisor's name first, followed by a forward slash (/) then the name of the officer/supervisor working the swap followed by (S).
- D. Any posts utilized for on-the-job training (OJT) shall be indicated on the Post Assignment Roster (Form CN 21501) by placing the assigned officer's name first, followed by a forward slash (/) then the name of the officer working OJT followed by (T).
- E. Any post doubled up shall be indicated on the Post Assignment Roster (Form CN 21501) by placing the assigned officer's name first, followed by a forward slash (/) then the name of the second officer working the post.
- F. Any officer left unassigned (Sick/Annual) shall be indicated as such in the Trips, Escorts and other Activities Section by placing (SA) in the Post or Activity Section and the officer's full name in the Officer Section.
- G. Any post shutdown shall be indicated on the Post Assignment Roster (Form CN 21501) by placing "Shutdown" in the space normally reserved for the assigned officer's name.
- H. Any post shutdown after the start of the assigned shift shall be indicated on the Post Assignment Roster (Form CN 21501) by placing (SD) in the space following the assigned officer's name.
- I. Shutdown and Pull Post utilization shall be recorded on the Post Shutdown and Pull Post Utilization Tracking Form (CN 21509).

14. Attendance Roster.

- A. The Attendance Roster (Form CN 21502) shall indicate the full name of each employee assigned to the shift.
- B. Standard payroll codes shall be utilized to indicate employees on sick, vacation, personal leave, scheduled training, regular days off status, etc.
- C. The Attendance Roster (Form CN 21502) shall indicate the slot into which each employee and vacancy is assigned on the shift.

15. Weekly Overtime Report. Weekly overtime statistics shall be compiled on the Weekly Overtime Report (Form CN 21507). Statistic compilation shall be supported by the Daily Reports of the preceding week and conducted following the second shift of each Thursday. The Unit Administrator or designee shall review each Weekly Overtime Report (Form CN 21507) for accuracy. The Weekly Overtime Report (Form CN 21507) shall be submitted to the Operations Division prior to 9:00 a.m. on the following Friday.

16. Daily Payroll Package. The Daily Payroll Package shall be completed on each shift and forwarded to the Unit Administrator or designee for review

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and signature. The Daily Payroll Package shall consist of the following forms:

- A. CN 21501, Post Assignment Roster;
- B. CN 21502, Attendance Roster;
- C. CN 21503, Roster Summary;
- D. CN 21504, Overtime Call Sheet;
- E. CN 21505, Overtime Signature Sheets (pages a and b); and,
- F. CN 21506, Daily Overtime Report (pages a through c).

The original payroll package documents, with authorized signature, shall be forwarded to the Human Resources Unit, Payroll Section. A copy of the payroll package shall be stored at the facility in accordance with Section 12(H) of this Directive.

- 17. Relief Factor. During January of each year, the Deputy Commissioner of Operations shall review and revise, as needed, the shift relief factor for the Department.
- 18. Pre-approved Leave. Each facility shall grant the authorized number of vacations, personal leave and holidays, by shift, in accordance with the authorized time off allotments. NP-4 members shall be allowed to select their vacation time off in accordance with the NP-4 Bargaining Unit contract.
Time off shall be granted in accordance with the applicable contract language for NP-4 employees. Individual requests for leave shall be granted no more than 30 days in advance.
- 19. Correctional Officer In-service Training. Each correctional officer shall receive required annual in-service training in accordance with Administrative Directive 2.7, Training and Staff Development. Such training shall be based on the recommendations of the Maloney Center for Training and Staff Development and consistent with the operating needs of the Department. Training shall be scheduled at the discretion of the Unit Administrator in consultation with the Deputy Commissioner of Operations. No vacation, personal leave, holiday (IL) time or swaps shall be approved for a correctional officer during the officer's training cycle, unless approved by the Unit Administrator.
- 20. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for the intended function:
 - A. CN 21501, Post Assignment Roster;
 - B. CN 21502, Shift Attendance Roster;
 - C. CN 21503, Roster Summary;
 - D. CN 21504, Overtime Call Sheet;
 - E. CN 21505, Overtime Signature Sheets (pages a and b);
 - F. CN 21506, Daily Overtime Report (pages a through c);
 - G. CN 21507, Weekly Overtime Report (pages a through c);
 - H. CN 21508, Master Roster;
 - I. CN 21509, Post Shutdown and Pull Post Utilization Tracking Form;
 - J. CN 21510, Daily Trip Log;
 - K. CN 21511, Weekly Transportation Log;
 - L. CN 21512, Monthly Staffing Report; and,
 - M. CN 21513, 5 and 2 Post Agreement Form.
- 21. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.