DEPARTMENT OF CORRECTIONS: SYSTEM STAFFING ANALYSIS

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Alaska Department of Corrections

System Staffing Analysis

February 9, 2016

CGL
A Hunt Company

Table of Contents

EXECUTIVE SUMMARY 1
INTRODUCTION 13
FACILITY STAFFING ASSESSMENTS 17
- Anchorage Correctional Complex 17
- Special Issues 24
- Staffing Recommendations 26
- Anvil Mountain Correctional Center 36
- Fairbanks Correctional Center 48
- Goose Creek Correctional Complex 61
- Hiland Mountain Correctional Center 81
- Ketchican 97
- Lemon Creek Correctional Center 108
- Mat-Su Pre-Trial Facility 115
- Palmer Correctional Center 128
- Spring Creek Correctional Center 148
- Wildwood Correctional Complex 169
- Yukon Kuskokwim Correctional Center 176

PROBATION AND PAROLE 186
HEALTH AND REHAB SERVICES 194
ADMINISTRATIVE SERVICES DIVISION 200
DIVISION OF INSTITUTIONS 215
PROGRAMS 223

EXECUTIVE SUMMARY

The CGL analysis of staffing requirements for the Alaska Department of Corrections (DOC) indicates a minimum need for 1,977 staff to meet ongoing security, program, and operational requirements in a manner consistent with professional correctional standards and practices. As shown in the table below, this represents an additional 102 staff—a 5.4 percent increase—over the personnel levels budgeted at the time of this review.

	Current	Short-Term Recommended	Change	%
Administration				
Commissioner's Office	6	6	-	0.0%
Administrative Services	37	37	-	0.0%
Research & Records	4	4	-	0.0%
Information Technology	17	23	6	35.3%
Facility Capital Improvement	4	4	-	0.0%
Subtotal	68	74	6	8.8%
Institutions Division				
Institution Director	11	11	-	0.0%
Inmate Transportation	11	14	3	27.3%
Correctional Academy	7	7	-	0.0%
Classification	7	7	-	0.0%
Subtotal	36	39	3	8.3%
Institutions				
Anchorage Complex	238	263	25	10.5%
Anvil Mt.	39	42	3	7.7%
Fairbanks	88	100	12	13.6%
Goose Creek	334	333	(1)	0.0%
Hiland Mt.	95	103	8	8.4%
Ketchikan	35	40	5	14.3%
Lemon Creek	74	79	5	6.8%
Mat-Su	36	46	10	27.8%
Palmer	106	80	(26)	-24.5%
Spring Creek	175	172	(3)	-1.7%
Wildwood	118	127	9	7.6%
Yukon-Kuskokwim	40	57	17	42.5%
Subtotal	1,378	1,442	64	4.6%
Probation and Parole				
Probation and Parole Director	4	4	-	0.0%
Probation and Parole	155	155	-	0.0%

	Current	Short-Term Recommended	Change	%
Electronic Monitoring	17	17	-	0.0%
Parole Board	5	5	-	0.0%
Subtotal	181	181	-	0.0%
Inmate Health Care				
Physical Health	146	172	26	17.8%
Behavioral Health	56	59	3	5.4%
Subtotal	202	231	29	14.4%
Programs				
Education	2	2	-	0.0%
Substance Abuse	2	2	-	0.0%
Sex Offender Treatment	6	6	-	0.0%
Subtotal	10	10	-	0.0%
TOTAL	1,875	1,977	102	5.4%

Our analysis indicated that a number of facilities are currently operating with staffing levels insufficient to meet basic security operational requirements. Approximately 57 percent of the recommended increase is attributable to providing necessary relief staff for correctional officers (COs) to fill required mandatory posts on an ongoing basis. Most of the remaining increase in staff goes to provide additional nurses to assure adequate coverage of health care unit responsibilities. In both cases, the cost of these increases in staffing should be substantially offset by decreases in overtime expenditures.

This recommended level meets only minimum staffing requirements, and is therefore identified as a "short-term" recommendation. To establish effective levels of operational performance that assures a superior level of security and program service delivery requires 2,019 staff, an increase of 144 positions over current budgeted levels, or a 7.7 percent increase. We strongly recommend that the DOC establish this level of staffing as their operational standard. The following table shows the recommended "long-term" staffing recommendations for the DOC.

	Current	Long-Term Recommended	Change	%
Administration				
Director's Office	6	6	-	0.0%
Administrative Services	37	37	-	0.0%
Research & Records	4	4	-	0.0%
Information Technology	17	23	6	35.3%
Facility Capital Improvement	4	4	-	0.0%
Subtotal	68	74	9	8.7%

	Current	Long-Term Recommended	Change	%
Institutions Division				
Institution Director	11	11	-	0.0%
Inmate Transportation	11	14	3	27.3%
Correctional Academy	7	7	-	0.0%
Classification	7	7	-	0.0%
Subtotal	36	39	3	8.3%
Institutions				
Anchorage Correctional Complex	238	264	26	10.9%
Anvil Mt.	39	44	5	12.8%
Fairbanks	88	102	14	15.9%
Goose Creek	334	337	3	0.9%
Hiland Mt.	95	109	14	15.3%
Ketchikan	35	40	5	14.3%
Lemon Creek	74	88	14	18.9%
Mat-Su	36	48	12	33.3%
Palmer	106	82	(24)	-22.6%
Spring Creek	175	172	(3)	-1.7%
Wildwood	118	132	14	11.9%
Yukon-Kuskokwim	40	58	18	45.0%
Subtotal	1,378	1,476	98	7.1%
Probation and Parole				
Probation and Parole Director	4	4	-	0.0%
Probation and Parole	155	155	-	0.0%
Electronic Monitoring	17	17	-	0.0%
Parole Board	5	5	-	0.0%
Subtotal	181	181	-	0.0%
Inmate Health Care				
Physical Health	146	178	32	21.9%
Behavioral Health	56	60	4	7.1%
Subtotal	202	238	36	17.8%
Programs				
Education	2	2	-	0.0%
Substance Abuse	2	2	-	0.0%
Sex Offender Treatment	6	7	1	16.7%
Subtotal	10	11	1	10.0%
TOTAL	1,875	2,019	144	7.7%

Major issues and findings underlying these recommendations include the following:

- Relief staffing is not budgeted for at facilities, resulting in extensive overtime hiring and vacant critical posts. Standard correctional operating procedures require that an appropriate relief factor be calculated for each facility that provides coverage for normal staff leave use.

- Due to a lack of relief staff, many facilities do not provide required levels of in-service training.

- Despite the fact that thousands of staff hours are spent each month supervising inmates in outside community hospitals, facilities do not have dedicated posts for this function. As a result facilities must reassign staff from critical facility posts to provide hospital supervision or rely on overtime to provide required supervision.

- Facilities do not provide relief staffing for shift commanders. As a result, when a shift commander uses leave time, lower ranking, untrained staff assume this critical management position. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster.

- Facilities have established "minimum staffing levels" that result in critical posts not being filled on a regular basis. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is a dangerous practice and can result in compromising institutional security and increasing potential liability.

- Each facility incurs constant vacancies due to the turnover within the CO job classes. The recruitment process is cumbersome, with limited resources and minimal staffing to dedicate to the timely and efficient recruitment of candidates to fill these vacant positions. The general recruitment process takes up to 12 weeks from the time the recruitment is posted to the time the applicant accepts and actually starts at the facility. The significant number of applicants that do not pass the psychological testing further complicates filling vacancies in a timely manner. The DOC submits all applicants that apply and meet the minimum requirements for testing. A large number of these candidates fail the testing process required under the Alaska Police Standards Council. The current pass rate for applicants taking the test is 10 percent, which places increasing pressure on the DOC to recruit more candidates to fill vital vacancies.

- Remote facilities such as Anvil Mountain and Yukon-Kuskokwim face special challenges. Female COs are in short supply to provide supervision of female inmates. Commuting personnel often stay in the immediate area during their seven day work week and leave during their off week. As a result, commuting staff generally are not readily available to fill a post assignment on an overtime basis in the event of staff absences or shortfalls. When the number of available staff is insufficient to operate required posts, the facility may be forced to go on lockdown until such time as the minimum required complement of officers is available.

- With the advent of the Prison Rape Elimination Act (PREA) guidelines and standards and to address privacy concerns, it is critical that female housing unit posts be staffed by female officers, as well as areas where inmates need to be searched as they move about the institution.

- Operating at current minimum staffing levels provides little operational flexibility. When unexpected additional responsibilities are required to be met, i.e., inmate transport, outside medical trips the shortage in staff only increases. If any vacancies occur, facility management has to determine how to best address the requirements to operate the facility. Unscheduled staff may have to be contacted to work at an overtime rate, post assignment responsibilities may have to be absorbed by staff already filling other post assignments, staff in alternative position classifications may be required to fill post assignments outside their classification or services, and/or scheduled program activities have to be temporarily closed.

- Several facilities have no dedicated security supervisor post overseeing administrative segregation housing.

- Nursing staff levels in high-level care facilities such as the Anchorage Complex are not sufficient to provide adequate levels of staff coverage.

- Opening the infirmary at Goose Creek will require additional nursing staff, but will reduce outside hospital trips, and associated demands on staff.

- Information technology resources are far below levels required to support effective use of technology and data to support DOC operations.

In summary, recognized post assignments are not being filled on a consistent basis due to staff shortages. As a result, management personnel have to choose which post assignments

to fill and which not to fill. This practice results in levels of security and inmate supervision that are not consistent with professional standards.

System Recommendations – All Facilities

Relief Factor: Adopt the relief factor developed for this study to the staffing rosters for all facilities and provide the proper number of correctional staff to fill the staffing plan.

Shift commander/Staff Supervision: The shift Commander/lieutenant position should be provided with relief to ensure 24-hour-per-day, seven-day per week (24/7) staffing of the post.

Facility/Division Recommendations

Anchorage Correctional Complex (ACC)

- *Housing Rover East: Add two housing rovers in each building on all shifts.*
- *Segregation Rover: Add second Segregation Officer on the day shift to assist with out of cell movement and security checks of the unit will improve operational effectiveness.*
- *Echo Module: Add second officer when the census exceeds unit.*
- *Front Lobby: Staff the Front Lobby position seven days per week on the day shift.*
- *Outside Medical/CO/Rover/PTO: Establish two positions dedicated to the supervision of inmates in outside community hospitals.*
- *Booking Clerk: Add a criminal justice technician (CJT) to each shift to assist the Booking Clerk with the processing of inmates in and out of the facility.*
- *Probation Officer (PO): Add two POs to assist in the provision of re-entry programming, enable a second PO to be assigned to the Intake Module, and to maintain coverage when staff are absent due to vacation, vacancy or illness.*

Anvil Mountain Correctional Center (AMCC)

- *Lieutenant: Fill the existing vacant CO IV position.*

- *Vacancies: Fill the four vacant CO I/II positions, one vacant CO IV position and one vacant education coordinator position at the AMCC.*

Fairbanks Correctional Center (FCC)

- *Booking Rover: Add a Booking Rover position to each shift to assist Booking with the processing of inmates in and out of the facility.*
- *Housing Unit 1: Assign two 24/7 officers to Housing Unit 1. The diverse mixture of inmates (intake, general population, male, female, and segregation) justify having two officers present at all times.*
- *Housing Unit 2: Two officers should be assigned to Housing Unit 2, 24-hours a day.*
- *Laundry: Convert the Laundry Officer post to a civilian employee.*
- *Maintenance: Convert two of the maintenance journey positions to an Electrician and a Plumber, and add grounds lead for the upkeep of the outdoor property.*

Goose Creek Correctional Center (GCCC)

- *Segregation Control #2: Eliminate the Segregation Control #2 position as the control center can be operated and often is operated with one officer.*
- *Intake/Property Officer: Convert the intake/property officer post to a civilian position.*
- *Yard Rovers/Night shift: A minimum of three yard rover positions should be posted on both the day and night shifts. These posts are in addition to the SV Rover position. The additional rover on the night shift will also provide some coverage of the Medical Department after 7PM as needed.*
- *Non-Custody Staffing Reductions: In order to maximize the efficiency of the staffing the plan, the following positions can be eliminated:*
  - *Office Assistant II (Inmate Records). Temporarily reduce one of the two Office Assistant II positions assigned to inmate records; and*
  - *Maintenance Generalist. Vacant on dates of site visit.*

Hiland Mountain Correctional Center (HMCC)

- *Rover Posts: Both Rover positions should be staffed at all times and be considered minimum staffing level posts.*
- *Property Officer: Convert the Property Officer position to a CJT position.*
- *PO House #1: Assign a second PO to House #1.*
- *Administration: Add a Supply Tech to assist the Office Assistant I in managing the inventory and distribution of supplies.*
- *Maintenance: Add an Electronics Tech to handle installation and repairs to the security electronics system.*

Ketchican Correctional Center (KCC)

- *Relief: No changes to staffing plan. Apply relief factor to current posts.*

Lemon Creek Correctional Center (LCCC)

- *Relief: No changes to staffing plan. Apply relief factor to current posts.*

Mat-Su Pre-trial Facility

- *Rover Posts: Staff both Rover positions at all times. This will provide proper relief and backup to allow for an adequate response to emergencies, supervise the inmate living areas and provide a staff member to handle unscheduled activities that occur frequently in the correctional environment.*
- *Housing #1: Establish a Housing #1 post staffed 24/7.*
- *Kitchen: Add a third food service position to the facility staffing plan to ensure there is coverage whenever meal service is being conducted.*

Palmer Correctional Center (PCCC)

- *Rover: Establish one 84-hour post assignment (7A) at the Medium Security Facility to assist in providing security as a program area rover. Recommended shift hours (0600-1800).*

- ☐ *Post 10: Expand the post coverage hours of Post 10 to include seven-day 24-hour coverage.*
- ☐ *Minimum Security Unit Closure: Eliminate the following post assignments as a direct result of the closure of the minimum security unit.*
  - *Post 15*
  - *Post 12*
  - *Post 13*
  - *Post 14*
  - *Minimum Security Unit Team Member (2)*
  - *Adult PO I*
  - *Maintenance Generalist Lead.*
  - *Office Assistant I*
  - *Education Coordinator (2)*

Spring Creek Correctional Center (SCCC)

- ☐ *Assistant shift Commander: Establish an assistant shift commander sergeant post as an essential 84-hour post to be filled on both days and nights.*
- ☐ *Offender Management Sergeant: Reduce the Offender Management Services sergeant post from two 84-hour essential posts to one 84-hour sergeant post.*
- ☐ *Administrative Sergeant: Establish an 84-hour Administrative Sergeant post.*
- ☐ *Unit Team sergeant post: Establish a 42-hour Unit sergeant post.*
- ☐ *Education Rover: Change the status of the 84-hour Education/Job Service Rover post to essential.*
- ☐ *Post 13: Change the status of Post 13, APS Rover, from a non-essential post to an 84-hour essential post.*

Wildwood Correctional Center (WCC)

- *Camp Rover: Add one officer on the night shift. The assignment of a single officer on the night shift at the Transition Unit presents serious concerns given the fact the housing unit is an open dormitory and there is no lock-up capability.*
- *Housing Unit Floor Rover: Add a 24/7 post to provide a rover for Building 10.*

Yukon Kuskokwim Correctional Center

- *Booking Officer: Add a second Booking Officer position to each shift to assist Booking with the processing of inmates and other associated duties. The volume of work and scope of duties supports this additional position.*
- *Rover: Add a Rover post to each shift to facilitate movement of inmates and operational support of fixed posts. This will eliminate the need to pull officers from mandatory posts to provide escort coverage.*
- *Food Service: Add a third Food Service position to provide adequate full-time support of the kitchen. The facility requires a Food Service Foreman, and two Food Service Journey positions.*
- *Maintenance: Add a third maintenance position to provide adequate coverage of facility maintenance needs. One position should be a Maintenance Foreman, while the other two may be general maintenance positions.*

Parole and Probation

- *Deputy Director: Create a deputy director of DPP position that is responsible for the following:*
  - *Oversight of chiefs and DPP regions*
  - *Daily operational issues*
  - *Personnel matters in the division*
  - *Assist in the review, analyze and interpret policies, procedures, statute, and case law*
  - *Budget and purchasing coordination with the regions*

- *Quality assurance for operations and program delivery to include reviewing audits*
- *Assist in the resolution of complaints (staff, citizen, other agencies, legislative, etc.)*
- *EM coordinator*
- *Review and interpret data, statistics, trends, etc.*

- *Electronic Monitoring: Consolidate all EM functions should be consolidated into a single unit.*
- *Supervision Standards: Given the steady reduction of number of offenders under supervision and the accompanying reduction in caseload sizes to very manageable levels, the DPP should revisit its supervision standards and take the opportunity to enhance supervision contacts with the offenders. These standards should specify clearly the number and type of contacts that should occur given the offenders risk levels.*

Health and Rehabilitation Services

- *RN Relief: Providing 20 additional RNs to for relief coverage at Goose Creek, ACCC, HMCC, Mat-Su/Palmer, Spring Creek and Wildwood will substantially improve staff coverage and reduce reliance on overtime and contract nurses.*
- *Lemon Creek LPN: One additional LPN position should be established at LCCC, which will enable the LPN staff to work seven days a week providing medications.*
- *Fairbanks RNs: Two registered nurses should be added to FCC due to its fairly substantial daily sick call as well as remand screenings. This would provide roughly an additional eight hours a day, seven days a week for the entire month.*
- *HMCC Physician Hours: The higher degree to which the female population utilizes health services requires additional physician coverage for this population. Our analysis indicates a need for 0.40 physician full-time equivalency (FTE) hours to be added at HMCC. This will result in a half-time physician assigned to the facility.*
- *GCCC Physician Hours: The size of this facility dictates an additional half-time physician to provide adequate coverage.*

- *ACCC Physician Hours: The volume of offenders entering the facility through the intake process in conjunction with the facility's central role in providing health care to the correctional system produces a need for an additional 0.50 physician FTE hours.*

- *Mental Health: The overall demands for care throughout the system support the addition of three mental health clinicians to be allocated on a flexible basis as needed by the Director of Mental Health Services.*

Administrative Services Division

- *Use of Temporary Staff: In order to address time of peak workload in the Administrative Services Division (ASD) of the DOC, the DOC should consider using part-time temporary staff to augment existing staffing levels on an as-needed basis.*

- *IT Staff: Add six experienced professional IT staff to address major deficiencies experienced in information technology support.*

- *Planning/IT Manager: Fill section manager position for IT.*

Division of Institutions

- *Transportation Unit: Add three permanent positions to the Transportation Unit just to eliminate the permanent usage of double fills and replace the CO who has been assigned the K-9 unit.*

INTRODUCTION

The purpose of this project is to assess the adequacy of current staffing at the facilities, programs, and administrative offices of the DOC and to determine the number and deployment of staff required to effectively operate the state correctional system.

Work on this project commenced in June 2015. Site visits to DOC facilities and offices were conducted through June and July. The project team toured DOC facilities and personally inspected each post identified by facility command staff. The DOC supplied extensive documentation describing manpower utilization and management, including assignment rosters, leave utilization data, and assignment practices. Key department managers were interviewed at length on operational practices and staffing issues within the state correctional system.

Methodology: One primary objective of the study was to develop an understanding of DOC operations, including the critical workload and policy issues driving staff deployment patterns within the correctional system. The project team accomplished this through a comprehensive information-gathering and data review process that utilized three primary approaches: document review, staff interviews, and post inspections.

1. Document Review: We reviewed applicable policies as well as specific documentation that identified both current and past staffing patterns.

2. Staff Interviews: For a better understanding of the data collected, we interviewed staff throughout the jails. Our purpose in the interviews was to gain a more in-depth understanding of the management issues underlying the data collected. A broad range of staff were interviewed, ranging from administrative staff to line staff.

3. Post Inspections. The project team reviewed post assignments identified on staffing rosters for each facility and operating division. The review included tours of the physical plants and observation of post assignments. In conducting the review, we used the following criteria:

    - Post assignments should be established in accordance with the goals of establishing and maintaining effective security.

    - A post assignment should be staffed by an employee if, in the course of normal operations, the post comes into regular contact with inmates.

- Officer assignment practices should be flexible enough to deploy staff as needed to respond to changing needs through the activity and work schedule while maintaining post assignment security.
- Overtime utilization should be held to the minimal level required to perform critical operational functions.
- Division and jail command structures should provide appropriate supervisory coverage.
- Staff deployment should be consistent with detainee classification and placement practices.
- Post responsibil*ities should be regular, documented, and well defined.*

Applying these criteria, we then established staffing requirements associated with current operational practices, interviewed staff, and developed recommendations.

Relief Factor: Developing an adequate CO staffing complement and roster requires identifying the number of staff required to cover normal staff absences in those posts that mandate continuous coverage. Prisons operate 24 hours per day, 365 days a year. Given the fact that officers have regularly scheduled days off, take vacations, use sick time, and go to training, staffing any given post throughout the year requires more than one officer. The term relief factor refers to the ratio of officers to a specific post and shift schedule required to provide the level of coverage dictated by post coverage requirements. The shift relief factor ratio establishes the precise number of staff required to cover a designated post on a specified shift schedule.

For example, a typical housing unit post may require coverage 24/7. The total number of hours of work required to staff the post on an annual basis is 8,760 hours:

(24 hours per day) x (365 days per year) = 8,760 hours of required coverage.

Based on the DOC's standard work schedule, a typical officer will work a minimum of 84 hours every two weeks, or 2,190 hours per year. So, without considering days off for vacation, sick leave, or training, it takes four FTEs to cover one 24/7 post (8,760/2,190 = 4) or two FTEs for each of the two 12-hour watches. Factoring in leave and other categories of time off increases this number.

As stated, the maximum work availability—in this case, 2,190 hours per year—does not reflect the amount of time officers are actually available for duty. To determine the actual number of hours that detention personnel work, the maximum scheduled work hours must be reduced by the amount of time officers are unavailable for duty. This requires a calculation of the average number of work hours missed by category of absence. The categories of absences include sick time, vacation time, compensatory time, military leave, workers' compensation, and training.

In order to determine staff availability, aggregate data on officer leave time by category are compiled to identify the total amount of leave time taken during a given period of time. The total number of hours recorded in each category is then divided by the average officer headcount for the time period to derive an average amount of leave time per officer. The actual relief factor is then calculated by dividing the number of hours required for a post (per shift or watch) by the number of hours an officer is available:

Required Post hours ÷ Available Officer hours = Relief Factor.

This calculation is made for any pattern of staff/shift coverage that a given post may require. The same formula applies to seven-day, six-day, five-day, and two-day posts. By calculating the hours required for coverage of any post on a given watch, a relief factor can be derived from the average number of hours an officer is available to staff the post.

An accurate relief factor will take into account all the issues that cause staff to be unavailable for assignment to duty (e.g., scheduled days off, vacation, sick time, military leave) and produce a calculation of the number of total staff required to provide post coverage during these absences. If the relief factor is too low, a facility will not build enough relief staff into the roster, thereby increasing the probability those critical posts will go unmanned or that the facility will have to rely on overtime. Conversely, a high relief factor will result in more staff than a facility requires for efficient operations.

DOC facilities do not use a relief factor in determining staffing needs. Officer time off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated posts.

One objective of this project is to develop an accurate shift relief factor that reflects actual staff attendance patterns. To that end, DOC provided detailed human resource reports on staff leave use from January 1, 2013, through June 30, 2015. The data provided annual staff availability for each facility. In aggregate, DOC COs are available for 1,750 hours annually.

The respective hours of staff availability and corresponding shift relief factors are summarized in the following table.

DOC Facility Shift Relief Factor Ratios

	Available Work Hours	24/7 Posts	8/5 Posts
Anchorage Complex	1,703	5.14	1.22
Anvil Mt.	1,718	5.10	1.21
Fairbanks	1,761	4.98	1.18
Goose Creek	1,761	4.97	1.18
Hiland Mt.	1,728	5.07	1.20
Ketchikan	1,776	4.93	1.17
Lemon Creek	1,794	4.88	1.16
Mat-Su	1,729	5.07	1.20
Palmer	1,778	4.93	1.17
Spring Creek	1,774	4.94	1.17
Wildwood	1,747	5.01	1.19
Yukon-Kuskokwim	1,754	4.99	1.19
TOTAL	1,750	5.00	1.19

For accurate facility staffing needs to be maintained over time, the relief factor must be regularly updated to take changing staff attendance patterns into account. Changes in sick leave policies, training, and aging of the workforce are examples of factors that regular updates of the relief factor will take into account.

FACILITY STAFFING ASSESSMENTS

The following assessments provide an overview of each facility, current staffing, and issues with staffing that may impact the ability of each facility to perform its mission. Recommendations are presented to address any issues noted: both to address immediate, short-term issues and to respond to longer-range concerns. A detailed post analysis that summarizes the recommended short-term recommendation to meet basic facility staffing requirements follows each facility analysis.

Anchorage Correctional Complex

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
172	66	238	189	74	263	189	75	264

The Anchorage Correctional Complex is a multifaceted correctional facility that houses all classifications of prisoners, including sentenced offenders and those arrested by law enforcement authorities held in pre-trial status to await adjudication of their charges. The facility is classified as a Level III institution and includes the housing of close custody and maximum-security prisoners. The facility is comprised of two separate buildings contained within a single 12-foot-high perimeter fence. The older west building was constructed in 1983 and the East building in 2002. Each has its own control center and kitchen facilities and operates somewhat independently, although they do share resources.

Housing includes intake holding, general population, medical housing, protective custody and segregation housing. The facility also houses inmates with mental illness in one of two housing units set aside for that purpose. Additionally, the medical segregation unit infirmary is available for housing inmates that require medical attention and skilled nursing care. There is one unit designated for female inmates, as well as one unit housing young offenders. The majority of female inmates are transferred to the Hiland Mountain Correctional Center once they have been processed through the booking area and usually after their first court appearance.

The maximum capacity of the facility is 863 inmates. Inmates are housed in one of two buildings on the campus, the East unit and the West unit. The census for the facility was 844 inmates on June 8, 2015. The West unit capacity is 465 inmates, and the East unit capacity is 435 inmates. These census numbers include the placement of inmates on mattresses on the

floor in what are known as "boats," which are a plastic shell that raises the mattress off the floor. It is common for there to be 35 to 40 inmates sleeping in these boats at any given time.

Inmates are received at the institution in the booking area, which consists of booking stations and nine holding cells, some of which hold multiple inmates. Once the booking process is completed inmates are likely transferred to the East Echo unit, which is designated as the intake unit for the facility. The unit has 32 cells and houses as many as 80 inmates in those cells. It is not uncommon for the unit to be overcrowded, with inmates residing in plastic "boats" on the floor and in common areas. The East unit also contains the medical clinic and medical housing, a maximum-security unit with 16 single cells, a 16-cell segregation unit with a capacity of 32 inmates, and five additional housing units housing general population inmates, youthful offenders, and females. Direct supervision of the inmates is provided by correctional staff. Direct supervision entails an officer being present inside the living unit interacting directly with the inmates.

The West unit is configured in three zones, each zone containing four housing units. Additionally November unit is a converted gymnasium operating as a dormitory. The housing units within the zones range from housing 36 to 48 prisoners. Two units, Mike and Lima, house inmates with significant mental health issues. Bravo and Delta units operate as a segregation unit. The West Echo unit houses protective custody prisoners, and units Alpha and Charlie house inmate workers. Alpha and Charlie operate under indirect supervision, as officers are not assigned to supervise inmates from within the unit. The remainder of the housing units house general population inmates and direct supervision is provided.

Current Staffing

There are 238 positions (PCN) assigned to the institution. 172 of those are security positions and 66 positions are designated as support positions. With regard to the security positions, six positions are CO IV (lieutenants), 22 are CO III (sergeants) positions, and 141 officers are a combination of CO II and I positions. Six of the CO positions were vacant on June 8, 2015, when this study was conducted.

The majority of the security staff works seven 12-hour shifts every other week. This affords them with a full seven days off before they return to duty and work seven days before their next set of days off. These staff work 84 hours each pay period. Twelve-hour shifts operate from 0600 to 1800 and 1800 to 0600. There are four teams of employees that constitute the shifts, two for the day shift and two for the night shift. There is no paid briefing time for staff to pass on information from shift to shift. Other shifts at the facility include:

- Administration: Monday – Friday, 37.5-hour work week (includes POs)
- Shift lieutenants: 84 hours per pay period, seven days on and seven days off
- Operations lieutenants: Monday – Friday, 37.5-hour work week
- Support sergeants: Monday – Friday, 42-hour work week
- 10-hour shift staff: Three 10-hour shifts and one 7.5-hour shift for a total 37.5-hour work week (includes records staff and CJTs)

The majority of the non-security positions work five 7.5-hour days per week for a total of 37 hours each week. There are a few staff positions that are assigned to the 12-hour shifts, and work seven-day schedules with the security staff. These positions include booking clerks in the East building, property clerks in both East and West buildings, and the records CJT that are assigned to the records sergeant. There are also two POs that work a 10-hour shift as described above.

Supervisor Assignments. The facility is managed by a Superintendent. There are two Assistant Superintendents, one assigned to the West building and the other assigned to supervise the East building. Each security shift is supervised by a lieutenant and there are four positions assigned to the shift teams. There is no relief position to cover for these lieutenants when they are discharging benefit leave. In addition to the shift lieutenants, there are two lieutenants on the day shift that assist the assistant superintendent in each building. One is assigned to the East and the other to the West. There is no relief assigned to these positions.

There are two, 24/7 sergeants assigned to the 12-hour shifts. One sergeant post is in the East building and that post is the booking sergeant. The booking sergeant oversees the booking and release process and supervises correctional staff assigned to the booking area, as well as civilian staff that assist with administrative functions and processing inmate property. The facility roster also notes a position for operations sergeant located in the East building. That post is typically not staffed unless the lieutenant is discharging benefit leave and unavailable. A module supervisor sergeant is assigned to the operating shifts in the West building, 24/7. The module supervisor is responsible for building operations in the West building and reports to the shift lieutenant. An additional sergeant is assigned on the day shift only on each shift in the West building and that position is the operations supervisor. The operations supervisor's main function is the scheduling and deployment of personnel throughout the facility and off-site transportation. These functions are managed by the shift lieutenant in the evenings.

There are eight sergeants assigned to five day posts in the institution. Two security sergeants are assigned, one to the East building and the other to the West building. These officers are responsible for security matters such as investigations and intelligence gathering. The records sergeant is responsible for inmate records and time accounting (sentence calculations). This sergeant is supported by four CJTs, which are civilian positions. The disciplinary/commissary sergeant oversees the inmate disciplinary process, as well as commissary operations. This post is supported by a civilian office assistant and one CO. The training sergeant coordinates all pre-service and in-service training for the facility. Pre-service training includes a 40 hour orientation program for most correctional employees, as well as a field training (FTO) program, which provides structured on-the-job training for new employees. COs also attend a six week correctional academy program at some point during their first year of employment. In-service training includes required curriculum, with a goal of training each employee 40 hours per year. Current practice does not achieve the 40-hour goal due to staffing shortages. A procedures sergeant drafts standard operating procedures and policies for the facility. A sergeant is assigned to manage the inmate grievance process, and that position is entitled the standards sergeant. Finally, a segregation sergeant is assigned to segregation five days per week.

What is noteworthy regarding supervisor assignments is that the shift lieutenant position has no relief position assigned to ensure that a lieutenant is supervising shift operations every day. During their absences a sergeant is assigned as the shift supervisor, or the operations lieutenant fills in. It is also noted that the shift lieutenant is often managing East building operations, and there is no sergeant position to cover for the lieutenant in the East building when he/she makes an inspection tour of the West building, which impedes the lieutenant's ability to make such tours. The lieutenant is also available in the East building to respond to disturbances, and there is limited backup available when the lieutenant is in the West building.

CO Assignments. As noted previously, with few exceptions the facility operates as a "direct supervision" operation, which requires housing officers to be assigned inside the living unit and interacting with inmates. The two exceptions to that are Alpha and Charlie units in the West building, which are supervised by building rovers that circulate in the unit at 45-minute intervals.

The booking process requires the assignment of three COs 24/7 to process commitments and releases from the facility. At least one of the three officers is routinely assigned to transportation of prisoners to off-site medical visits and courts. Those officers are certified as prisoner transportation officers (PTO). The booking operations take place in the East building,

although a booking officer is assigned in the West building to receive inmate transfers and process releases when they occur. It should be noted that these two booking operations operate independent of one another.

One officer is assigned to each control room in the East and West buildings. These assignments are 24/7, and the officers monitor the video feed from throughout the facility, as well as emergency systems, including fire and panic alarms. Security doors are controlled from the control room, and keys are also in issued from these locations.

The medical unit can house up to 15 inmates in 10 secure rooms. An officer is assigned to medical segregation 24/7. The segregation unit, which has a capacity of 32 inmates in 16 cells, requires the assignment of two COs 24/7 to closely monitor inmates who are held in segregated lockdown, which typically has the inmates in their cells 23 hours per day. Movement from the cells requires placing the inmates in restraints to ensure officer safety and, in some cases, two officers are assigned to particularly violent offenders. When this happens, a roving officer or sergeant has to be called to the unit to assist with the transport because one of the two officers assigned to segregation is restricted to remain in the segregation control room. These segregation functions take place in the East unit. In the West building, Bravo and Delta units are designated as segregation units. One officer is assigned 24/7 to each of these units.

Each of the housing units in the East and West buildings have one officer assigned to supervise operations and are staffed 24/7. One exception is that West Alpha and Charlie units that do not have an officer directly inside the unit and, as indicated above, are supervised periodically by roving officers. It also should be noted that the two mental health units, Mike and Lima, have clinical staff assigned to monitor and treat inmates for mental health issues.

The East building has a housing rover assigned to monitor inmate movement in the corridors of the building, act as first responder to emergencies, relieve officers for their lunch and rest breaks, and provide a variety of additional security services. The staffing roster lists two positions for this rover responsibility; however, most often the second rover position is left vacant due to staffing shortages. The West building also has two positions for housing rover assigned 24/7.

Court rovers are assigned in the East building to identify and transport inmates from their housing units to booking for court appearances. Court movement takes place numerous times during the course of the day, and these officers are primarily responsible to ensure that

inmates are brought to their court appearances. At times, staff are pulled for other duties such as to supervise housing units and respond to workload shifts that require staff presence.

A medical rover position is listed on the roster to provide security in the medical clinic while inmates are being examined and treated by medical personnel. This position is often not filled because of staff shortages, thus impacting medical staff's ability to see the inmates that require service.

A visiting rover position is assigned to both the East and West buildings, and the post is planned for on the roster as a 24/7 post. These officers process and supervise visits, process bail releases, serve as rovers when they are available to relieve officers for lunch, and perform other security functions. A disciplinary/commissary officer is assigned five days per week to assist the sergeant conducting inmate disciplinary hearings and processing commissary orders.

A position that is often posted is the front lobby officer, a position that screens visitors to the facility and performs security searches to ensure that no contraband is being conveyed into the institution. This position is not a funded position and when it is filled and posted, it often results in a security post not being filled inside the facility.

Roster Management/Scheduling/Minimum Staffing

Roster management and scheduling duties are performed by the operations sergeant, whose office is in the West building. Deployment of security personnel is restricted due to "minimum staffing" levels that are established and mandated by facility and department management. Minimum staffing levels are as follows:

- Day shift (0600 to 1800) = 37 total security staff (19 in East and 18 in West)
- Evening shift (1800 to 0600) = 34 total security staff (17 in East and 17 in West)

The impact of operating at minimum staffing levels is significant. For example, the day shift roster lists 45 positions on the daily roster. At any given time, eight of those positions are not filled. A review of the staffing plan and discussions with staff revealed that often, certain critical posts such as the second housing rover on the East unit, medical rover position, front lobby, and one housing rover in the West building are not filled. Furthermore, the entire situation is exacerbated by PCN officer absence due to factors such as staff discharging benefit leave, staff being away at the training academy for their basic training, and the need to supervise inmates in outside hospitals and transportation that can't be handled by the

DOC's central transportation unit. In addition, the facility has been mandated to provide security coverage in two areas that are not identified on the roster: the magnetometer at the entry of ACCE used to screen all individuals entering the facility and daily medical calls. These issues detract from the ability to properly staff the facility on a daily basis, thus causing posts to be closed down for the day. The use of overtime to hire additional staff is allowed, but only to bring staffing levels up to the minimum staffing number, which does not address posts that are closed down.

There is one administrative officer I position that is responsible for overseeing the majority of the non-custody staff, with the exception of the POs.

The administration section of the facility currently has one administrative assistant II that supervises three accounting clerks and one office assistant III that supervises eight office assistant I positions. These staff handle all incoming and outgoing mail, operate the cash window for the general public, and provide staff coverage for the reception desk. The reception desk is staffed with one person Monday through Friday. However, the reception desk has a second position that is staffed seven days a week by an office assistant that is assigned to each of the 12-hour day shifts.

Staff in the administrative section also process payroll for administrative staff, custody staff, and the inmate population. They also coordinate all inmate and staff travel, accounts payable, and billings. In addition to these tasks, which are handled in the East building, there is one clerk position that is assigned to the West building.

There is a CJT assigned to the courthouse to take fingerprints, who reports directly to the administrative officer I. The records sergeant has a CJT position that is assigned to each of the 12-hour shifts.

There are administrative officers that work as booking clerks and property clerks in the booking center in the East building. There is one booking clerk position and one property clerk position that are assigned to each of the four, 12-hour shifts. The West building has one property clerk position assigned to the 12-hour day shift, but not the night shift. These administrative officers technically report to the office assistant III, even though they are assigned to a shift and receive daily instruction and supervision from a shift sergeant.

The maintenance staff report through the administrative officer I. This section consists of nine staff, including a maintenance foreman, plumber, electrician (currently vacant), two electronics specialist, three maintenance specialists, and a general maintenance staff. The

majority of the maintenance and repairs in the facilities are handled by this staff. Only very large and complex projects tend to be contracted to outside providers.

There are two kitchens in operation at the ACC. The kitchen in the East building has five staff assigned and the West kitchen has three staff. There are typically 10-12 inmate workers assigned to the kitchens, but this number can vary. The staffing numbers for food service appear to be sufficient, as resources are shared between the two kitchens as required by the demand.

At the time of this review, 10 POs—in addition to the PO III, were assigned to handle the full caseload of inmates. With the passage of Senate Bill 64, effective July 15, 2015, the facility received two additional PO positions: a PO II and a PO III to administer re-entry programming.

There are three POs that handle all of the sentenced inmate cases (approximately 160), while four POs handle all of the pre-sentence cases (approximately 700 cases).

There are two education coordinators, one in each building, that provide educational classes for the inmates. The coordinator in the East building provides parenting classes twice a month and daily GED classes, while the coordinator in the West building provides GED classes and contracts with an outside instructor to teach Beginning Computers and English as a Second Language classes. Both of the education coordinators report to the PO III.

Special Issues

There are a number of issues and problems that adversely impact executing the facility staffing plan as it is designed and filling all critical posts. These issues are outlined below.

Overtime. The facility for the six-month period from December 2014 through May 2015 averages 1120.75 hours of overtime per month. The major contributors to the overtime are covering for officers that call in sick (499 hours per month) and hiring staff to supervise inmates admitted to outside hospitals (349 hours per month). On average, personal leave accounts for 100 hours of overtime per month; military leave and other category, 63 hours per month; training, 25 hours per month; and miscellaneous categories, 85 hours per month. Although statistical data was not provided on vacancy overtime, there are currently six security staff vacancies at the facility, and not having these positions filled results in fewer available staff to fill posts on a daily basis. It is apparent from these figures that a proper relief factor is not being funded for the facility as benefit leave time is causing overtime hiring and staff shortages. If the relief factor was fully funded, this would be less likely to occur.

Security Supervision of Inmates Admitted to Community Hospitals. Data provided for December 2014 through May 2015 illustrates that 1,304 hours per month on average are spent supervising inmates in outside community hospitals. This further equates to an average of 12 inmates being supervised each month in community hospitals. It must be noted that there are no security posts on the staffing plan to provide this service and, as a result, staff are reassigned from the facility roster to perform these functions or the facility must hire staff on overtime so that the post can be filled. The overtime numbers do reflect significant overtime hiring for this purpose.

Staff Vacancies/Academy Training. There are currently six CO vacancies and ongoing turnover of personnel. The hiring process as it was described can take up to four months from the date of application to the actual hiring date. Once the officer is hired he/she is unavailable due to three weeks of on-site training and later on for six additional weeks for department academy training. These vacancies and hiring process delays, as well as job time lost due to training, are also not factored into the relief factor and positions funded to fill the void created by these vacancies.

Shift Commander/Supervisor Posts. The shift commander lieutenant position is the uniform commander of the institution and is often first in command when administrative staff are off duty, usually on weekends and in the evenings. On each of the four operating shifts there is one lieutenant assigned. There is no relief factor built in, so that when the shift lieutenant is on vacation or on some form of benefit leave, a sergeant takes over as the shift commander. There is also a shortage of sergeants available to step up to take on the role of shift commander. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster.

Minimum Staffing/Impact on Security. As a result of vacant positions, minimum staffing levels have been established that are lower than what is required by the staffing plan. This typically results in positions such as the medical clinic rover not being available to supervise inmates being examined and treated by medical staff in the outpatient clinic. Additionally, the front lobby post is often left vacant, which affects pedestrian entrance security and the screening of visitors. The operations sergeant position in the East building is only staffed when the lieutenant is off duty, resulting in one supervisor available to oversee the operation of both buildings and supervise the officers in the East building. There are two housing rover positions in the East building on the roster. Typically, only one position is filled at minimum staffing levels. When the second post is not filled, there is only one available housing rover to respond to disturbances as the first responder as well as cover for meal and break relief for the officers assigned to the housing units.

Virtually all staff interviewed during the course of this study expressed concern about the level of security available when minimum staffing levels are adhered to. A review of past staffing levels and minimum staffing requirements leads to a similar conclusion that operating at minimum staffing levels without adjusting those levels to ensure safe and secure operations is a dangerous practice. Command staff should be afforded more flexibility to staff posts based on workload and job requirements. Additionally, staffing levels should be at proper levels to ensure that first and second level responses to emergencies are adequate to ensure staff and inmate safety. At a minimum, housing rover positions, the medical clinic rover post, front lobby, operations sergeant (East) should be staffed in addition to those posts already included under minimum staffing levels.

Insufficient Relief Factor. It is apparent that there are insufficient staff available to properly fill the existing staffing plan. Some of this is due to CO vacancies, training, and off-site hospital coverage but, more significantly, the problem relates to not accounting for accurate leave data that needs to be incorporated into the relief factor analysis in order to allow for sufficient personnel to meet the staffing needs.

Staffing Recommendations

The ACC "staffing plan" is fundamentally a good plan that is designed to address the security needs of the facility. Post locations are well thought out and a commitment to direct supervision ensures that housing units are staffed with officers around-the-clock with few exceptions. The staffing plan is impeded; however, by the minimum staffing caused by vacancies, which results in leaving posts not staffed because of the unavailability of personnel.

> *Relief Factor: The DOC should adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is typical corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is dangerous practice and can result in compromising institutional security and increasing potential liability. For example, not staffing the medical (clinic) rover causes delays in doctors/nurses being able to treat and examine inmates with medical needs. Those delays can be problematic.*

Lieutenant positions have been established and funded to supervise the jail operations. These lieutenants are deployed on each of the four 12-hour shifts at the facility. The positions are

not scheduled for relief; therefore, when a lieutenant is discharging benefit leave, a sergeant position is often filled as the relief for the shift commander. Furthermore, when the lieutenant is working, the operations sergeant in the East building post is not filled. With this configuration, there is only one supervisor available to supervise in the East building, which impacts their ability to conduct tours of the West building and supervise its operation.

> *Shift Commander/Staff Supervision: The shift commander/lieutenant position should be provided with relief to ensure 24/7 staffing of the post. This would ensure that a command position is available to manage day-to-day operations in this complex and very active jail facility. We also recommend that the operations sergeant post be staffed on a regular basis to ensure the availability of a second-in-command of the shift that can assist the lieutenant and free the lieutenant up to monitor the operation of both facilities. Furthermore, the operations sergeant position will also be available to respond to disturbances and emergencies as an on-site commander. This will also strengthen the incident command system response capability at the facility. With the establishment of the operations sergeant, it is recommended that the day shift post sergeant (operations supervisor) in the West building be eliminated. The scheduling and roster management duties can be managed by the lieutenant and the newly established shift operations supervisor sergeant.*

Housing rover positions are staffed per the staffing plan in both the East and West buildings. The rover position is designed to have two officers assigned on each shift in both buildings. It has become practice due to minimum staffing levels to not staff the rover positions due to unavailability of personnel. This particularly impacts the East building rover post, which operates most often with one officer. The rover position coordinates inmate movement throughout the building and relieves housing officers for meal breaks. In addition, the rover is the first responder to call for assistance during disturbances.

> *Housing Rover East: This post should be filled per the staffing plan and the relief factor applied to ensure that two housing rovers are available in each building on all shifts. This will enhance institutional security and ensure officers can be relieved for their meal breaks and sufficient response is available for emergencies.*

The segregation unit is divided into sections. The segregation side has a capacity of 32 inmates residing in 16 cells. The maximum section has 16 single cells. Inmates in these units must be escorted in restraints to showers, recreation, and the medical clinic in addition to all

other movement. This is accomplished by a single officer assigned to segregation. A second officer is assigned to the segregation control room, but that officer has a visual on the unit and operates the security doors and may not leave the control center at any time. A number of the inmates residing in these units are known as "administration segregation 10" inmates. Those inmates require a two-person escort whenever they leave their cells. Most of this movement occurs on the day shift when staff are moving inmates about for recreation, showers, and staff interviews.

> *Segregation Rover: Adding a second segregation officer on the day shift to assist with out-of-cell movement and security checks of the unit will improve operational effectiveness. Segregation units house difficult-to-manage prisoners who often pose a security risk. These prisoner cells should be searched on an ongoing basis and checked for security breaches. A single officer performing these duties is insufficient to perform the job tasks in a segregation unit of this size.*

Echo module (intake) is located in the East building and houses newly received inmates pending their orientation and classification. These inmates are new to the institution and need to be assessed before placement in general population. Newly received inmate behavior can be unpredictable, and it is often unknown if they have enemies, are gang members, or possess other issues that affect their behavior.

The capacity of the intake unit is 64 inmates living in 32 cells. Because of the high level of commitments to the facility, inmates are regularly living in plastic "boats" on the floors of the cells and common areas of the unit. Factors that contribute to the use of boats when the facility is below maximum cap include overnight holds of prisoners transported to the facility to attend court and returning from court after the last return bus has departed for the day; and new remands that are staged in the intake module (Echo) for orientation and classification, which must occur prior to movement to the general population modules to comply with the directive for housing by custody level. The census of the unit on June 8 was 71 inmates, and the census reached 106 the previous week. We were advised that the census of the unit ebbs and flows between 60 and 100 inmates. This is a particularly active unit for one officer to supervise, especially when the census exceeds the capacity of the unit.

> *Echo Module: The intake unit should be staffed with a second officer when the census exceeds unit capacity and impacts the officer's ability to properly supervise a large number of inmates alone. Our estimation is that when the*

census exceeds 75 inmates during the active day shift, that a second officer be deployed.

As referenced earlier, the front lobby position is the first point of contact with the public as they attempt to enter the institution for visitation with inmates and/or meetings with public officials. This position is responsible for screening visitors' credentials and ensuring that they possess no contraband that could enter the facility and be a threat to institutional security. Furthermore, they can (and should) be tasked to search staff members' lunch containers and briefcases, as well as process them through the magnetometer.

Front Lobby: Staffing the front lobby position seven days per week on the day shift will provide security of the pedestrian access point for the facility. If properly tasked, this position is an essential element in the perimeter security of the facility.

The medical rover post's purpose is to provide security to protect medical staff while they examine and treat inmates attending the outpatient clinic at the facility. The medical rover expedites inmate movement and also provides essential security for staff and other inmates. Unfortunately, this post has been affected by minimum staffing levels and is often not staffed because of the unavailability of personnel.

Medical Rover: The medical rover post should be filled on a regular basis on the day shift to ensure unimpeded access to medical providers for inmates in need of services. The position should only be pulled or shut down when medical providers are not servicing inmates.

As indicated previously, the facility averages 12 inmates being housed in outside hospitals each month, and inmates spend an average of 1,304 hours in outside hospitals during the month. Officers assigned to this duty are either pulled from shift and a post is closed down, or overtime hiring is authorized and staff are called in for this purpose. Although it is difficult to anticipate when one of these hospital coverage events is going to occur, the history suggests that they occur on an ongoing basis. Failure to staff for these occurrences results in staff shortages inside the institution and excessive costs because of the overtime hiring that occurs.

Outside Medical/CO/Rover/PTO: Establishing two positions dedicated to the supervision of inmates in outside community hospitals will address the current redeployment of officers away from mandatory posts to perform this function. When there are no inmates in need of supervision, these officers can be

assigned to assist in transportation of inmates, or, in the alternative, operate as rovers conducting searches and other functions at the discretion of the shift commander. Funding these positions will assist to ensure that the staffing plan requirements can be met without closing posts to redeploy staff to outside community hospitals.

There is currently one booking clerk assigned to each shift. This officer reportedly processes an average of 84 intakes and 84 releases daily, answers an average of 100 telephone calls daily, processes the daily court list, and helps create inmate files and wristbands. This is a civilian post that has interactions with hundreds of inmates on a daily basis.

Booking Clerk: A CJT position should be added to each shift to assist the booking clerk with the processing of inmates in and out of the facility. This will ensure timely processing of inmates and the creation of the court list, which must be created manually.

There is a disproportionate distribution of cases among the POs. POs that handle pre-sentenced inmates have an average caseload of 175 inmates, while POs that have the sentenced inmates average a caseload of approximately 54 inmates. POs that are assigned to the intake module seem overloaded with interviews, classification screenings, PREA screenings, criminal background clearances, victim notifications, and coordinating placements in the community residential centers (CRCs). There are also mixed reactions since the POs were moved inside the housing modules, due to constant interruptions and moving back and forth to printer/scanner locations.

POs: The minimum number of POs should be increased from 10 to 12. This increase in staff would assist in the provision of re-entry programming, enable a second PO to be assigned to the Intake Module, and to maintain coverage when staff are absent due to vacation, vacancy, or illness.

Long-Term Recommendation

POs: Adding two POs would bring the average caseload to fewer than 150 per PO. While this will be of benefit to the existing Probation staff, it is still a high-volume caseload. It is recommended that one more PO be added to the staffing complement, bringing the total number of POs to 13.

Post/Position	8-Hr. Day Shift	12-Hr. Day Shift	12-Hr. Night Shift	10-Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs
Superintendent	1.00	-	-	-	5	37.5	1955.25			
Subtotal Superintendent Hours	1.00	0.0	0.0	0.0		37.5	1955.25			0.00
Assistant Superintendent	2.00	-	-	-	5	75.0	3910.50			
Subtotal Asst. Director Posts	2.00	0.0	0.0	0.0		75.0	3910.50			0.00
Custody Staff										
Lieutenants - CO IV										
Shift Commander	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Administration/Operations East	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Administration/Operations West	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Subtotal Lieutenant Posts	2.00	1.0	1.0	0.0		243.0	12670.0			7.1
Sergeants - CO III										
Booking (East)	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Shift Operations Supervisor	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Operations Supervisor (West)	-	-	-	-	7	-	-	Yes	1703.00	0.00
Module Supervisor (West)	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Security Sergeant	2.00	-	-	-	5	75	3910.50	No	1703.00	2.00
Records Sergeant	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Disciplinary/Commissary	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Training Sergeant	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Procedures Sergeant	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Segregation Sergeant	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Standards Sergeant	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Subtotal Sergeant Posts	8.00	3.00	3.00	0.0		804.0	41920.6			23.4
Correctional Officers - CO I/II										
Booking	-	3.00	3.00	-	7	504	26278.56	Yes	1703.00	15.43
Control Room	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14

Post/Position	8-Hr. Day Shift	12-Hr. Day Shift	12-Hr. Night Shift	10-Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs
Medical Segregation	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Housing Rover	-	2.00	2.00	-	7	336	17519.04	Yes	1703.00	10.29
Segregation Control	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Segregation Rover	-	2.00	1.00	-	7	252	13139.28	Yes	1703.00	7.72
Alpha Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Bravo Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Charlie Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Delta Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Echo Module	-	2.00	1.00	-	7	252	13139.28	Yes	1703.00	7.72
Fox Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Disciplinary/Commissary Officer	1.00	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Front Lobby	1.00	-	-	-	7	52.5	2737.35	Yes	1703.00	1.61
Visiting Rover	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Medical Rover	-	1.00	-	-	7	84	4379.76	Yes	1703.00	2.57
Court Rover	-	2.00	-	-	5	120	6256.80	Yes	1703.00	3.67
Correctional Officers (West)										
Booking	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Control Room	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Visiting Rover	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Rover	-	2.00	2.00	-	7	336	17519.04	Yes	1703.00	10.29
November Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Mike Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Bravo Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Delta Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Echo Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Fox Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14

Post/Position	8-Hr. Day Shift	12-Hr. Day Shift	12-Hr. Night Shift	10-Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs
Golf Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Hotel Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Juliet Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Kilo Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Lima Module	-	1.00	1.00	-	7	168	8759.52	Yes	1703.00	5.14
Alpha Module	-	-	-	-	7	0	0.00	No	1703.00	0.00
Charlie Module	-	-	-	-	7	0	0.00	No	1703.00	0.00
Outside Medical/CO/Rover/PTO	-	2.00	2.00	-	7	336	17519.04	Yes	1703.00	10.29
Subtotal Officer Posts	2.00	39.00	34.00	0.0		6174.0	321912.4			188.9
Non-Custody										
Administration										
Administrative Officer	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Administrative Assistant	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Mail Clerk	2.0	-	-	-	5	75	3910.50	No	1703.00	2.00
Cash Window	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Reception (Front Desk)	-	1.0	-	-	7	84	4379.76	Yes	1703.00	2.57
Reception (Front Desk)	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Probation Clerk (PREA)	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Reception Lead	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
CO Payroll/Accts. Payable	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Admin Payroll/Travel Coordinator	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Inmate Funds/Billing	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Clerk - West Building	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Booking/Property										
Booking Clerk East	-	1.0	1.0	-	7	168	8759.52	Yes	1703.00	5.14

Post/Position	8-Hr. Day Shift	12-Hr. Day Shift	12-Hr. Night Shift	10-Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs
CJT	-	1.0	1.0	-	7	168	8759.52	Yes	1703.00	5.14
Property Clerk East	-	1.0	1.0	-	7	168	8759.52	Yes	1703.00	5.14
Property Clerk West	-	1.0	-	-	7	84	4379.76	Yes	1703.00	2.57
Maintenance										
Foreman	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Plumber	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Maintenance Specialist	3.0	-	-	-	5	112.5	5865.75	No	1703.00	3.00
Electronics Specialist	2.0	-	-	-	5	75	3910.50	No	1703.00	2.00
Electrician	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
General Maintenance	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Food Service										
Food Service Supervisor	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Foreman	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
Food Service Lead	5.0	-	-	-	5	187.5	9776.25	No	1703.00	5.00
Food Service Journey	2.0	-	-	-	5	75	3910.50	No	1703.00	2.00
Supply/Warehouse										
Supply Tech	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.0
Stocks & Parts Journey	2.0	-	-	-	5	75	3910.50	No	1703.00	2.00
Environmental Services Journey	2.0	-	-	-	5	75	3910.50	No	1703.00	3.00
Probation Officers										
PO III	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00
PO	8.0	-	-	-	5	300	15642.00	No	1703.00	8.00
PO	-	-	-	2.0	4	76	3962.64			
Education Coordinators										
Education Coordinator	2.0	-	-	-	5	75	3910.50	No	1703.00	2.00
Criminal Justice Technicians										
Courthouse CJT	1.0	-	-	-	5	37.5	1955.25	No	1703.00	1.00

Post/Position	8-Hr. Day Shift	12-Hr. Day Shift	12-Hr. Night Shift	10-Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs
Records CJT	-	1.0	1.0	-	7	168	8759.52	Yes	1703.00	5.14
Subtotal Non-Custody Posts	47.0	6.0	48.0	2.0		2678.5	139657.0			73.7
TOTAL	62.0	49.0	86.0	2.0		8852.5	461569.4			262.6

Anvil Mountain Correctional Center

Current Staffing			Recommended Short-Term			Recommended Long-Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
29	10	39	32	10	42	32	12	44

The Anvil Mountain Correctional Center (AMCC) located in Nome, Alaska, is a state operated regional facility designed to hold adult sentenced and un-sentenced felons and misdemeanants. The facility provides Nome and the surrounding region with pre-trial and short-term sentenced incarceration and offers a variety of education, life skills, and re-entry programs.

The AMCC opened in November of 1985 replacing the Territorial Jail, which was located in the regional federal building. The facility has a maximum housing capacity of 128 and normally operates near capacity. During the first eight months of the current fiscal year, the average daily population was 115. AMCC is designed to house both males and females, and on the date of the site visit approximately 90 percent of the population was male. Staff reported 60 percent of the population comes from Kotzebue, a city located 30 miles north of the Arctic Circle. Inmates are transported to/from the Kotzebue facility by air.

The physical plant consists primarily of one building that contains both inmate housing and program/support functions. The perimeter of the facility is mainly the exterior of the building and is supported by security fencing in select areas. There is no perimeter fence surrounding the entire facility.

In addition to housing and the identified program/support areas, the facility operates their own waste water system.

Inmate Housing

Inmate housing is provided in four secure multi-level housing areas. The living areas within the housing unit are referred to as quads as they represent one of four housing areas located near an elevated main control center. Personnel assigned to main control provide back-up visual security support throughout the facility and provide electronic access into and out of the housing units. This post assignment is considered a mandatory post and is continuously staffed. Three of the quads have a capacity of 38. Single cells are located on the upper tier and double occupancy cells are located on the lower tier. The fourth quad contains 14 beds.

Housing placement is determined by both security and probation staff. Once the classification is completed inmates are normally housed based on their security status. Close custody

inmates are generally housed separate from minimum custody inmates. Females are housed in a separate unit from males.

In addition to general housing there are two cells designated for punitive and administrative segregation and four intake cells which contain surveillance cameras.

The most challenging aspects of the 30-year-old facility are its limited size, small authorized staffing level and remote location. Very little program, storage, and warehouse space is available at the AMCC. Access to/from the facility to such locations as Anchorage, Juneau, and/or Kotzebue (primary source of inmates) is by air. Supplies are shipped by barges or flown into Nome. As a result of the weather, deliveries shipped by barge are generally limited to approximately four months of the year. Inmate transfers, staff training and addressing extreme medical concerns can all be a challenge. Overall current staffing levels are such that when a single call-in or vacancy occurs in the security ranks or additional non-routine responsibilities are required operations are significantly impacted.

Current Staffing

There are 39 FTE staff positions authorized for the facility. This does not include medical, mental health or contractual positions. The administrative core positions include a facility superintendent, CO IV (vacant), adult PO II and administrative officer I. The shift commander positions are normally filled by a sergeant (CO III) and key department lead positions include a security sergeant, records sergeant, food service foreman and maintenance foreman.

On the date of the site visit all of the authorized administrative and lead positions were filled with the exception of the CO IV position. The CO IV position had reportedly been vacant since November 2014. The previous CO IV is currently the facility administrator at AMCC. Additional vacant positions were found in the CO I/II positions (four vacancies) and in the one authorized education coordinator position. There were a total of 17 CO I/II positions filled, representing 80.95% of the authorized level.

Administrative personnel reported staff turnover is normally not a significant issue at AMCC. Current vacancies mostly reflect recent retirements, promotions and or transfers. In the past 90 days, two CO IIs retired after 25 plus years of service. The current facility administrator had previously served as the operations lieutenant which had not been filled as of the date of the site visit. In the past several staff had transferred to the Goose Creek Correctional Center when it opened, however administrative staff reported that identifying potential candidates for most vacant positions is not normally a concern. Staff receive a significant pay differential to work at AMCC because of the high cost of living in Nome and the surrounding area.

Facility administrative staff reported that current security and non-security authorized staffing levels have been approved by central office personnel in conjunction with discussions with staff assigned to the facility at the time the review was completed. A total of 39 positions, excluding medical, mental health, and contractual, have been authorized for the Anvil Mountain Correctional Center including the following positions:

- Superintendent (1)
- CO IV (1) (vacant)
- Administrative Officer I (1)
- CO III (6)
- CO I/II (21)
- Non-Custody (9)

The most significant concerns regarding staffing reported by facility administrative personnel involved the impact staff vacancies have on the facility, the amount of time it takes to fill a vacancy, access to staff training, and having a sufficient number of trained female security staff on shift. In view of the limited number of staff authorized to work at the facility and the requirement to operate on a 24-hour basis, every position is required to be filled and serves a vital role in meeting the mission of the facility. A single vacancy at AMCC due to the size and limited number of staff has a greater impact on overall operations than does a single vacancy at larger facilities. Having four CO I/II vacancies represents approximately 19 percent of the number of CO I/IIs authorized. Operating at less than the authorized level in respect to the CO I/II position appears to be a more recent pattern. In March 2015 there were 17 CO I/IIs and in June 2015 there were 17. In comparison in August 2014 there were 20 CO I/IIs. The reported authorized staffing level for these position classifications is 21.

As a result of the limited number of staff and limited resources it becomes difficult to deviate from providing strictly basic minimum post coverage and accomplish necessary additional functions such as providing adequate training to all staff members and conducting pro-active, non-routine security initiatives. Training is being provided, however not under ideal conditions.

An additional concern at the Anvil Mountain Correctional Center is that both male and female offenders are housed at the facility. Security procedures require qualified female staff to conduct search and shakedown procedures on female inmates. On the date of the site visit

there were four female CO I/IIs assigned to the facility. One was assigned to each of the four shifts. When unscheduled call-ins occur or female staff have approved time off, qualified female supervisory staff, if available, are required to conduct the search or staff are called-in at an overtime rate. Shift scheduling becomes more than just a balancing of numbers concern when facility responsibilities include the requirement of gender posts.

Roster Management/Scheduling/Minimum Staffing

Roster management and staff scheduling at AMCC are considered critical elements of the daily operation of the facility. Roster management for security positions and scheduling duties are performed primarily by the superintendent in concert with the security sergeant and shift commanders. Non-security scheduling is completed by the appropriate lead staff member for each area.

A master roster for security personnel has been developed that identifies the personnel assigned to each shift and their position classification. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day, hours of coverage, shift, and when applicable, if the staff person was temporarily assigned or working overtime and the reason why.

A review of one month's worth of daily shift rosters, April 2015, revealed there were only three days during the entire month where no staff were required to be temporarily detailed to another post or required to work overtime. When operating at a minimum staffing level there is very little room for flexibility, and oftentimes post responsibilities for non-mandatory post assignments are not able to be met.

At the AMCC, basic roster management elements consisting of identifying post assignments by shift, establishing post orders, balancing staff scheduling based on workload and activity schedules, providing relief as needed and staff accountability are in place. The existing roster management system provides accountability and reflects the initial deployment of security personnel are based on meeting "minimum staffing" levels as identified in the authorized staffing plan.

In respect to security positions, a detailed one page illustrated plan entitled "Anvil Mountain Staffing Plan" was provided for review. The plan identified approved post assignments, the frequency the post was required to be filled, and whether the post required relief or not. In addition, recognized bed space capacities and minimum staffing levels were established and identified for various times during the day. The non-custody assignments were not identified in the plan.

Current staffing practices appear to be similar to what has been outlined in the September 2013 plan however not identical.

- The established central office authorized September 2013 security staff plan identifies 29.5 security positions required when applying a relief factor to select security post assignments. The budgeted number of positions authorized for the facility is 28. The difference between the authorized plan and the budgeted level is in the number of sergeants and officers. The plan requires seven sergeants and six sergeant positions have been budgeted. The number of CO I/IIs in the plan requires 21.5, and 21 are budgeted. This is not a significant difference however when vacancies are added, including four COs I/IIs, the difference can impact operational requirements. There was a total of 17 CO I/IIs assigned to the facility on the date of the site visit, and the authorized staffing plan required 21.5 CO I/IIs.

- The post assignments authorized for line staff officers according to the September 2013 central staffing plan includes one program rover on the day shift, a 12-hour floater post, master control on both shifts, segregation/booking post on both shifts, quad rover on both shifts, relief personnel when available and a property officer five days per week on an 8-hour day shift. This requires a minimum of 21.5 officers to meet the minimum staffing requirements. 17 officers were assigned on the date of the site visit.

The facility continues to operate at a minimum staffing level in respect to the CO I/II positions. These staffing levels are defined as follows:

- 0600 to 1800 = 5 CO I/IIs
- 1800 to 0600 = 4 CO I/IIs

Operating at a baseline minimum level provides little flexibility. When unexpected additional responsibilities are required to be met, e.g., inmate transport or outside medical trips, the shortage of on-site staff only increases. If there are any vacancies, facility management has to determine how to best address the requirements to operate the facility. Unscheduled staff may have to be contacted to work at an overtime rate, post assignment responsibilities may have to be absorbed by staff already filling other post assignments, staff in alternative position classifications may be required to fill post assignments outside their classification or services and/or scheduled program activities have to be temporarily closed. Current staffing levels reflect the largest number of vacant authorized positions is found in the CO I/II position. On

the date of the site visit there were four CO I/II vacancies. Spread out over four primary shifts, each shift is operating at one position short of the minimum required.

Work Schedule/Responsibilities

The Anvil Mountain Correctional Center applies a limited "blended" staffing model for shift scheduling. Under blended staffing, post assignments with more variable levels of work are reduced to an 8-hour post, while the rest of the security post assignments are filled for 12 hours on each shift.

This model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels at the facility are generally higher. The objective of this change is to make more efficient use of available staff resources.

At AMCC there are a total of four security positions that are not normally scheduled to work the 12-hour shift schedule. This includes the operations lieutenant (vacant), records/discipline/property sergeant, security/standards/training sergeant and property officer. All but the vacant operations lieutenant position are assigned to a 42-hour work week. The operations lieutenant is assigned to a 37.5-hour work week.

In addition to the above there is one 12-hour, seven-day-per-week post assignment that currently starts at 1000 and is completed at 2200. This is a rover/relief post that is scheduled to be present during peak activity times. Due to the small size of the facility, physical plant design and the limited number of staff scheduled in the evening hours having the second rover/relief post scheduled at this time appears appropriate based on the routine peak workload periods There is an additional rover/relief 12-hour post scheduled to be filled at 0600 and work until 1800 hours seven days per week.

Administrative positions. Staff assigned to administrative positions are scheduled to work 37.5 hours over a five-day work week. Based on the nature of the position responsibilities it is not uncommon for staff assigned to these positions to work well in excess of 37.5 hours per week.

Lead positions. The shift commander positions are normally filled by a CO III, which is commonly referred to as a sergeant. The sergeant is scheduled to work 84 hours every other week. They work seven consecutive 12-hour shifts followed by seven days off. There are four sergeants: two are scheduled to work from 0600-1800 hours, and two are scheduled to work from 1800-0600. The shift commanders are routinely present well before their scheduled starting times.

In addition to the shift commander positions as noted above, there is one sergeant assigned to a "security" position scheduled to work 42 hours over a period of five days and one sergeant assigned to a "records " position also scheduled to work 42 hours in a five-day work period. The focus of these positions is to address specialized security related functions at the facility. Each of the positions appears essential based on established post responsibilities.

The remaining lead positions include non-custody positions, and staff are scheduled to work a 37.5-hour weekly schedule. Starting and finishing times for lead positions vary to meet operational activity requirements.

Security line staff. CO I/IIs are primarily scheduled to work seven consecutive 12-hour days followed by seven days off. Normal starting and finishing times are either 0600-1800 or 1800-0600.

There are two staff initially assigned to relief/rover positions that are scheduled to work from 1000 – 2200 to address specific needs of the facility. The staff alternate work weeks to ensure 12-hour post coverage seven days per week.

Key post assignments include master control, segregation/booking, quad rover and program rovers. With the exception of the master control post assignment, a great deal of flexibility is placed on the remaining three floor positions and the relief/rover post to meet operational requirements. AMCC is consistent with nationally recognized best practices, as the facility provides staffing on a continuous basis in critical posts, such as master control, and mandates security personnel to be assigned to the housing unit areas.

The number of posts filled varies based on the number of mandatory posts required, staff availability, and operational activity level. When medical or court-related transfers are required, staff are routinely pulled from rover positions, property, or a sergeant post to meet operational responsibilities.

In respect to the line officer position there is one five day 42-hour post assignment. This includes the inmate property maintenance and storage post assignment. The use of this schedule provides staff coverage to an area of responsibility that may not require 12-hour coverage seven days per week, resulting in more efficient use of available staff resources.

Non-security line staff. Non-security line staff positions are scheduled to work 37.5 hours in five days each week. Most staff work Monday through Friday; however, there are staff assigned to alternative work days and hours to meet specific activity level requirements. Non-security staff are assigned to a variety of areas including primarily the following:

- Administrative support (human resources, timekeeping, payroll, procurement, invoicing, mail processing, accounting, information technology, commissary, warehouse and clerical support)
- Food services
- Facility maintenance
- Inmate case management
- Education

Non-security positions serve a critical need in meeting operational requirements, as the responsibilities involved are required to be met to operate the facility. If non-custody personnel were not available, the responsibilities would have to be met by security personnel working outside their position classification.

The current authorized staffing levels address the basic security and operational needs of the facility at a minimal staffing level when fully staffed. Operating in a remote location when the baseline starting staffing level is at a minimum allows little flexibility to initiate proactive security measures and to address non-routine responsibilities when they occur.

Special Issues

Remote Location: AMCC is located in an extremely remote area of Alaska. Access to/from major cities is not an option by car. This can impact operational activities in several different ways.

- Staff Availability. The facility relies upon a number of security staff that live outside the immediate area of the facility. Commuting personnel often stay in the immediate area during their seven day work week and leave during their off week. As a result commuting staff generally are not readily available to fill a post assignment on an overtime basis in the event of staff absences or shortfalls. When the number of available staff is insufficient to operate required posts, the facility may go on lockdown until such time as the minimum required complement of officers is available. In July 2015 the number of security staff commuting was seven (approximately 30 percent) of the security staff.

- Access to training. The limited number of staff and the distance from DOC headquarters makes access to local or centralized training extremely difficult and costly. Training is provided however in less than ideal conditions.

Overall Security Staffing Level: The authorized minimum staffing level for security personnel is five during the day shift (0600-1800) and four during the night shift (1800-0600). Current practice is to have four to five CO I/IIs working the day shift, one CO I/II working the 1000-2200 shift and three working the night shift. In addition a CO III is normally assigned at all times to serve as the shift commander. On the date of the site visit there were 17 CO I/IIs. In March 2015 there were 17 COs. Two staff retired, one transfer was added and one new CO was hired. When operating with 17 CO I/IIs there is simply not enough staff to meet the post requirements. Any unexpected call-ins, additional responsibilities, or scheduled training may only exacerbate the issue. The importance of filling vacancies and staff shortages is amplified when operating with limited staff resources.

Overtime: The actual number of overtime hours worked during the first 11 months of fiscal year (FY) 2015 (July 1, 2014 – May 31, 2015) increased by approximately 15 percent compared to the same time period in FY 14. In reviewing the overtime data provided the increase in overtime appears to be the result of a combination of factors however one of the primary reasons cited for overtime is the direct result of back-filling required post assignments as a result of insufficient staffing levels and scheduled staff using sick time.

Based on the data made available for a six-month period in FY 15 approximately 42 percent of the total overtime worked was the result of back-filling posts due to scheduled staff using sick-time. During that same time period in FY 14 26 percent of the total overtime was the result of back-filling required posts initially scheduled to be filled by staff using sick time. When operating at minimum staffing levels overtime can be expected.

Geographical Pay Differential (GPD): The current contract for COs allows for a geographical pay differential of 37 percent in addition to their negotiated pay rate. The GPD is paid to employees to account for variations in the cost of living in the area.

Staffing Recommendations

Relief Factor: Adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is typical corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a

matter of course is dangerous practice and can result in compromising institutional security and increasing potential liability. Adding relief results in three additional staff for the facility.

Vacancies: On the date of the site visit there were four vacant CO I/II positions, one vacant CO IV position, and one vacant education coordinator position at the AMCC. The CO I/II vacancies represented approximately 19 percent of the authorized level for that position classification. As a result, all of the post assignments required to be filled during the duration required cannot be filled as designed without assigning additional staff at an overtime rate.

The vacant CO IV position has been discussed and the vacant education coordinator position is the only education position authorized for the facility. Educational opportunities may be severely impacted without the presence of at least one individual addressing these requirements. In order to be consistent with state requirements and nationally recognized best practices, the position should be filled.

Long-Term Recommendation

CJT: Add an 84-hour CJT post to provide technical assistance in court processing, inmate records maintenance, and time calculations. The position should be scheduled to work seven 12-hour days from approximately 0600 – 1800 to allow staff to be present prior to court lines being called and to assist in completing time calculations on the inmate population. Currently, COs are working out of classification however required to assist in preparing court, release, and time calculation packets as secondary responsibilities, while at the same time are required to meet their normal post responsibilities. They often lack the proper training and skill set to complete the tasks they are asked to perform. The position responsibilities are more technical in nature and best served by having the appropriate position classification complete the work.

Post/Position	8 Hr. Day Shift	12 Hr. Day Shift	12 Hr. Night Shift	10 Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs	Round FTE
Superintendent	1.0	-	-	-	5	37.5	1955.25	No	1718.0	1.00	
Subtotal Superintendent Posts	1.0	0.0	0.0	0.0		37.5	1955.25			1.0	
Custody Staff											
Lieutenants - CO IV											
Chief of Operations (lieutenant)	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1.0	
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		37.50	1955.25			1.0	
Sergeants - CO III											
Post 5	-	1.0	1.0	-	7	168.00	8759.52	Yes	1718.0	5.1	
Records Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1718.0	1.0	
Security Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1718.0	1.0	
Subtotal Sergeant Posts	2.0	1.0	1.0	0.0		252.00	13139.3			7.1	
Correctional Officers - CO I/II											
Post 1	-	1.0	1.0	-	7	168.00	8759.52	Yes	1718.0	5.1	
Post 2	-	1.0	0.0	-	7	84.00	4379.76	Yes	1718.0	2.55	
Post 3	-	1.0	1.0	-	7	168.00	8759.52	Yes	1718.0	5.1	
Post 4	-	1.0	1.0	-	7	168.00	8759.52	Yes	1718.0	5.1	
Property Officer	1.0	-	-	-	5	42.00	2189.88	No	1718.0	1.0	
Rover/Relief	-	1.0	-	-	7	84.00	4379.76	No	1718.0	2.00	
Rover/Relief	-	1.0	-	-	7	84.00	4379.76	No	1718.0	2.00	
Subtotal Officer Posts	1.0	6.0	3.0	0.0		798.00	41607.72			22.9	
Subtotal Custody Posts	4.0	7.0	4.0	0.0							
Non-Custody											
Administrative Officer I	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
Maintenance Generalist Foreman	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
Maintenance Generalist Lead	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
Food Service Foreman	-	-	-	1.0	4	37.50	1955.25	No	1718.0	1	
Food Service Lead	-	-	-	1.0	4	37.50	1955.25	No	1718.0	1	

Post/Position	8 Hr. Day Shift	12 Hr. Day Shift	12 Hr. Night Shift	10 Hr. Day Shift	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Total FTEs	Round FTE
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
PO II	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
PO II	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
Office Assistant	1.0	-	-	-	5	37.50	1955.25	No	1718.0	1	
Subtotal Non-Custody Posts	8.0	0.0	0.0	2.0		375.00	19552.5			10	
TOTAL	13.0	7.0	4.0	2.0		1500	78210.02			42	

Fairbanks Correctional Center

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
68	20	88	78	22	100	18978	24	102

The Fairbanks Correctional Center houses all classifications of prisoners, including sentenced offenders and those arrested by law enforcement authorities held in pre-trial status to await adjudication of their charges. The facility is a close-security institution and serves as an intake facility for Northern Alaska and also provides sentenced prisoner housing. The facility houses both male and female prisoners in pre-trial and sentenced status of all custody levels. The facility is comprised of a single building that opened in 1968. The building is located on a 40-acre parcel and is contained within double 12-foot-high perimeter fences.

There are three housing units; each with a diverse mixture of inmate housing. Housing unit 1 has two segregation units (male and female); three small dorms for general population males, general population females, and male intake; and a 40 bed female section.

Housing unit 2 has two large male dorms, two small male dorms, a 10-bed male segregation unit, and one half of a gymnasium that has been converted into a 50-bed male dorm.

Housing unit 3 has three wings that each house male inmates in double-occupancy cells. It also has a control room that is staffed at all times. A-wing houses close and medium custody inmates, B-wing houses medium/minimum custody general population inmates, and C-wing houses the inmate workers.

Medical services are provided daily, but there is no doctor or physician's assistant assigned full time to the facility. There is a full-time health practitioner position that is currently vacant. Therefore many cases are referred to the emergency room by default. There are few admissions to the hospital, however. Serious medical cases are transferred to the Anchorage Complex.

The maximum capacity of the facility is 258 inmates. However, the average daily population is approximately 280 inmates. The inmate population is very transient, with approximately 250 pre-sentenced and 30 sentenced.

The control rooms were upgraded over the winter, including new control panels and monitors. The camera system is still in need of an upgrade, and the roofs of Booking, the gymnasium, and housing unit 1 are scheduled to be replaced in the next several months.

The outdated configuration of the facility presents many problems for complying with PREA regulations. There are many blind spots, and it is difficult to achieve sight and sound separation of male and female inmates.

Current Staffing

There are 88 positions (PCN) assigned to the institution. Of those, 66 are security positions, and 22 positions are designated as support positions. With regard to the security positions, there are no CO IV (lieutenants), 9 are CO III (sergeants) positions, and 57 officers are a combination CO II and I positions. On June 10, 2015, when this study was conducted, 6 of the CO positions were vacant.

The majority of the security staff work seven 12-hour shifts every other week. This affords them with a full seven days off before they return to duty and work seven days before their next set of days off. These staff work 84 hours each pay period. The 12-hour shifts operate from 0600 to 1800 and 1800 to 0600. There are four teams of employees that constitute the shifts: two for the day shift and two for the night shift. There is no paid briefing time for staff to pass on information from shift to shift. There are a number of different shift patterns that employees work at the facility:

- Administration: Monday – Friday, 37.5-hour work week (includes POs)
- Shift sergeants: 84 hours per pay period, seven days on and seven days off
- Support sergeants: Monday – Friday, 42-hour work week
- 10-hour shift staff: Three 10-hour shifts and one 7.5-hour shift for a total 37.5-hour work week (includes POs)

The majority of the non-security positions work five 7.5 hour days per week for a total of 37.5 hours each week.

Supervisor Assignments. The facility is managed by a superintendent and one assistant superintendent. There is no CO IV (lieutenant) assigned to this facility. Each security shift is supervised by a sergeant, and there are four positions assigned to the shift teams. There is no relief position to cover for these sergeants when they are discharging benefit leave. In addition to the shift sergeants, there is a records sergeant assigned to the 12-hour day shift. A security sergeant, standards/disciplinary sergeant, and training sergeant all work Monday through Friday on days. There is no relief assigned to these positions.

There is one 24/7 sergeant post assigned to the 12-hour shifts. The shift sergeant oversees the daily operations of the institution. The records sergeant is responsible for inmate records and time accounting (sentence calculations) and fills in for the shift sergeants as needed.

There are three sergeants assigned to day posts in the institution. The standards/disciplinary sergeant oversees the inmate disciplinary process, as well as policies and procedures. The Security sergeant conducts background checks on all new staff, supervises the transportation staff, and is in charge of the physical security of the facility. The Training sergeant is the only trainer assigned to the facility. There are no certified field training officers (FTOs) on staff. Staff volunteers assist with orienting new staff. The training sergeant coordinates all pre-service and in-service training for the facility. Pre-service training includes a 40-hour orientation program for most correctional employees, as well as an FTO program, which provides structured on-the-job training for new employees. COs also attend a six-week correctional academy program at some point during their first year of employment. In-service training includes required curriculum, with a goal of training each employee 40 hours per year. Current practice does not achieve the 40 hour goal due to staffing shortages.

What is noteworthy regarding supervisor assignments is that the shift sergeant position has no relief position assigned to ensure that a sergeant is supervising shift operations every day. During their absences the records sergeant fills in.

CO Assignments. The facility operates as an indirect supervision operation, which means officers are not assigned inside the living unit interacting with inmates. Instead, officers circulate through the units at 45-minute intervals.

The booking process requires the assignment of two COs 24/7 to process commitments and releases from the facility. A third officer is posted at booking when staff levels allow.

One officer is assigned to the control room. This assignment is a 24/7 post, and the officer monitors the video feed from throughout the facility and also monitors emergency systems, including fire and panic alarms. Security doors are controlled from the control room, and keys are also issued from this location.

There is no dedicated housing for inmates with medical issues. If an inmate has a medical condition that requires special housing, they are usually transferred to the Anchorage Complex. There are also no dedicated medical escort staff. When inmates require an escort to/from the clinic, a rover or housing unit officer must be pulled for this duty.

Two COs are assigned as transportation/property officers. These officers take offenders to scheduled medical appointments and conduct emergency transports when needed. There are frequently times when other prisoner transportation officers (PTO) need to help, and due to the number of transports and offender custody levels, these officers frequently require additional staff assistance.

Housing unit 1 has a capacity of 69 inmates, both male and female, that are housed in six different housing components, including two segregation units. The inmate population includes females, general population males, a male intake unit, and male and female segregation. One officer is assigned to this housing unit on each of the 12-hour shifts, and a second officer is assigned on 1000-2200 shift. This leaves the day shift officer to manage the housing unit alone for the first four hours of the shift. A rover will assist when available, but this is not always possible.

Housing unit 2 can house as many as 108 inmates, including 50 bunk beds in the gymnasium which includes the majority of the sex offenders. General population males are housed in one of four dormitories, and there is also a 10-bed segregation unit for males. One officer is assigned to manage and supervise these six areas. As with housing unit 1, a Rover will assist when available.

Housing unit 3 can house up to 144 inmates in three different wings. All of the housing in unit 3 is in double-occupancy cells. A-wing houses up to 40 close-custody and medium-custody inmates. B-wing houses up to 56 medium and minimum-custody general population males, and C-wing can house up to 48 medium and minimum-custody inmate workers. There is a housing control room in housing unit 3 that is staffed 24 hours a day. Two other staff are also assigned 24/7 to manage and supervise these three wings.

There are two rovers assigned to each of the day shifts and one assigned to nights. These officers assist in all areas of the facility. They escort inmate movement, backfill posts when needed, relieve staff for breaks, supervise deliveries, and sign-in visitors.

A recreation/rover officer works a 1000-2200 schedule seven days a week. This officer supervises inmates in the outdoor recreation yard each day. When inmates are not outside, this officer can assist the rovers inside the facility.

The laundry is managed and supervised by a sworn officer post that works on the 12-hour day shift, seven days a week.

The inmate property/transportation post is manned by one officer on the 12-hour day shift, seven days a week. This post is responsible for logging, maintaining, and properly releasing inmate property. This post is also a PTO and transports inmates to scheduled outside medical appointments. If a second transport officer is required, another PTO is pulled from their assigned post. When this officer is engaged with an inmate transport, the booking officers must also manage the inmate property.

Roster Management/Scheduling/Minimum Staffing

Roster management and scheduling duties are performed by the security sergeant. Deployment of security personnel is restricted due to "minimum staffing" levels that are established and mandated by facility and DOC management. Minimum staffing does not necessarily account for job tasks and responsibilities, but is more driven by vacancies and staff absence. Minimum staffing levels are as follows:

- Day shift (0600 to 1800) = 13 total security staff
- Evening shift (1800 to 0600) = 9 total security staff
- Day shift (0600 to 1000): 11 total security staff
- Swing shift (1000 to 1800): 13 total security staff
- Evening shift (1800 to 2200): 11 total security staff
- Late evening shift (2200 to 0600): 9 total security staff

The impact of operating at minimum staffing levels is significant. For example, both of the day shift rosters for May 2015 list 12 CO I/II positions, but two are vacant. There are currently 6 positions that are not filled. A review of the staffing plan and discussions with staff revealed that often certain critical posts are not filled due to staff shortages.

There is one administrative officer I position that is responsible for overseeing the majority of the non-custody staff with the exception of the POs.

The administration section of the facility currently has one administrative assistant II that supervises an accounting clerk, two office assistants, and a CJT. These staff handle all incoming and outgoing mail, manage the inmate commissary coordinate supplies, and provide staff coverage for the reception desk. The reception desk is staffed with one person Monday through Friday.

Staff in the administrative section also process payroll for administrative staff, custody staff, and the inmate population. They coordinate all inmate and staff travel, accounts payable, and billings.

The maintenance staff report through the administrative officer I. This section consists of four staff including a maintenance foreman and three maintenance journeymen. The majority of the maintenance and repairs in the facilities are handled by this staff. They often encounter difficulties by not having specialists on staff in the areas of electrical and plumbing.

The kitchen has four staff assigned, and there is an effort to use approximately 28 inmates for food preparation, delivery, and cleaning. The staffing numbers for food service appear to be sufficient.

There are four POs in addition to the PO III that handles the full caseload of inmates. Two of the POs work 7.5 hours Monday through Friday, while the other two are on a 4-day work week. All cases are assigned to the POs according to the first letter of the inmate's last name. A CJT was recently eliminated from the staffing structure.

There is one education coordinator that provides educational classes for the inmates. GED and basic computer classes are provided through a contracted outside instructor. The education coordinator reports to the PO III.

Special Issues

There are a number of issues and problems that adversely impact executing the facility staffing plan as it is designed and filling all critical posts.

Command Structure. There is no CO IV (lieutenant) assigned to the FCC. It was reported that there used to be one, but the position was taken away. Without this position all supervisors report directly to the assistant superintendent. Currently, the assistant superintendent is serving as the acting superintendent. In essence, two of the top three command positions are vacant.

Overtime. For the first 11 months of FY 2015, the facility used a total of 7,265.75 hours of overtime, or an average of 660.52 hours of overtime per month. This is more than double the amount of overtime in all of FY 2014, which was 3,299.75 hours. The major contributors to the FY 2015 overtime were covering for officers that call in sick (177.8 hours per month) and staff training and meetings (150.1 hours per month). Personal leave accounted for 84.5 hours and academy coverage accounted for 83.4 hours per month.

Although statistical data was not provided on vacancy overtime, there are currently six security staff vacancies at the facility, and not having these positions filled results in fewer available staff to fill posts on a daily basis. It is apparent from these figures that a proper relief factor is not being funded for the facility, as benefit leave time is causing overtime hiring and staff shortages. If the relief factor was fully funded, this would be less likely to occur.

Security Supervision of Inmates Admitted to Community Hospitals. Data provided for December 2014 through May 2015 illustrates that 1,304 hours per month on average are spent supervising inmates in outside community hospitals. This further equates to an average of 12 inmates being supervised each month in community hospitals. It must be noted that there are no security posts on the staffing plan to provide this service and, as a result, staff are reassigned from the facility roster to perform these functions, or the facility must hire staff on overtime so that the post can be filled. The overtime numbers do reflect significant overtime hiring for this purpose.

Staff Vacancies/Academy Training. There are currently six CO vacancies and ongoing turnover of personnel. The hiring process as it was described can take up to four months from the date of application to the actual hiring date. Once the officer is hired, he/she is unavailable for three weeks of on-site training and later on for six additional weeks for DOC academy training. These vacancies and hiring process delays, as well as job time lost due to training, are also not factored into the relief factor and positions funded to fill the void created by these vacancies.

Shift Commander/Supervisor Posts. The shift commander sergeant position is the uniform commander of the institution and is often first in command when administrative staff are off duty, usually on weekends and in the evenings. On each of the four operating shifts there is one sergeant assigned. There is no relief factor built in so that when the shift sergeant is on vacation or on some form of benefit leave, the Records sergeant takes over as the shift commander. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster.

Insufficient Relief Factor. It is apparent that there are insufficient staff available to properly staff the existing staffing plan. Some of this is due to CO vacancies, training, off-site hospital coverage but, more significantly, the problem relates to not accounting for accurate leave data that needs to be incorporated into the relief factor analysis in order to allow for sufficient personnel to meet the staffing needs.

Recommendations

The FCC Staffing Plan is fundamentally a good plan that is designed to address the security needs of the facility. Post locations are well-thought-out with a few exceptions. The staffing plan is impeded; however, by the minimum staffing levels, which results in leaving posts not staffed because of the unavailability of personnel.

> *Relief Factor: It is recommended that the DOC adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is typical corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is dangerous practice and can result in compromising institutional security and increasing potential liability. For example, not staffing a rover position causes delays in inmate movement and proper assistance to staff working fixed security posts.*

The CO IV (lieutenant) position has been eliminated from the facility staffing plan, and the assistant superintendent is currently serving as the acting superintendent. With two of the top three command positions being eliminated/vacant, all supervisors report directly to the acting superintendent. The position was eliminated based on a lack of acceptable candidates in the past. However, this post is critical to the overall management of the facility. Additional efforts should be made to fill the position.

> *Command Structure: Reinstate the CO IV (lieutenant) position and assign an acting assistant superintendent.*

Sergeant positions have been established and funded to supervise the jail operations. These sergeants are deployed on each of the four 12-hour shifts at the facility. The positions are not scheduled for relief; therefore, when a shift sergeant is discharging benefit leave, the records sergeant position fills in as the relief for the shift commander.

> *Shift Commander/Staff Supervision: The shift commander/sergeant position should be funded with relief to ensure 24/7 staffing of the post. This would ensure that a command position is available to manage day-to-day operations in the facility.*

There are two booking officers assigned to each shift. The day shift reportedly processes approximately 27 inmates in and out of the facility each day on average. A third officer is

assigned to booking when staffing levels permit to assist with supervision, searches, and escorts. Rarely do staffing levels permit this to happen.

> *Booking Rover: Add a booking rover position to each shift to assist booking with the processing of inmates in and out of the facility. When volume does not require their presence at Booking, this officer may be used elsewhere.*

One officer is assigned to this housing unit on each of the 12-hour shifts, and a second officer is assigned on a 1000-2200 shift. This leaves the day shift officer to manage the housing unit alone for the first four hours of the shift. A rover will assist when available, but this is not always possible.

> *Housing Unit 1: Assign two 24/7 officers to housing unit 1. The diverse mixture of inmates (intake, general population, male, female, and segregation) justifies having two officers present at all times.*

One officer is assigned to manage and supervise six areas. One of these areas houses the majority of the sex offender population in an open dormitory. As with housing unit 1, a rover will assist when available.

> *Housing Unit 2: Two officers should be assigned to housing unit 2 24-hours a day.*

The laundry is managed by a CO on the day shift, seven days a week. A CO is an expensive resource to use for a non-security post.

> *Laundry: The laundry officer post should be converted to a civilian employee.*

There are three maintenance journeymen that report to the maintenance foreman. Many difficulties result in not having specialists on staff in the areas of electrical and plumbing.

> *Maintenance: Two of the maintenance journey positions should be converted to an electrician and a plumber, and a grounds lead added for the upkeep of the outdoor property.*

Long-Term Recommendations

In addition to their regular daily duties, there are 40 acres of property that must be maintained by the maintenance staff. Grass and weed control must be maintained in the

summer months, while snow removal of the parking areas and entrances must be managed in the winter.

> *<u>Maintenance:</u> A grounds lead position should be added to oversee the upkeep of the outside grounds of the facility.*

A CJT position was recently removed from the staffing plan. This position would increase the efficiency of work for the POs without having to increase the number of POs.

> *<u>Probation:</u> A CJT position should be reinstated to provide support for the POs.*

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH
Superintendent	1.0	-	-	-	5	37.50	1955.25	No	
Subtotal Director Posts	1.0	0.0	0.0	0.0		37.5	1955.25		
Assistant Superintendent	1.0	-	-	-	5	37.50	1955.25	No	
Subtotal Asst. Director Posts	1.0	0.0	0.0	0.0		37.5	1955.25		
Custody Staff									
Lieutenants - CO IV									
Lieutenant	1.0	-	-	-	5	37.50	1955.25	No	1761.00
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		37.5	1955.3		
Sergeants - CO III									
Security	1.0	-	-	-	5	37.50	1955.25	No	1761.00
Standards/Disciplinary	1.0	-	-	-	5	37.50	1955.25	No	1761.00
Training	1.0	-	-	-	5	37.50	1955.25	No	1761.00
Records	-	1.0	-	-	7	84.00	4379.76	Yes	1761.00
Shift Supervisor	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Subtotal Sergeant Posts	3.0	2.0	1.0	0.0		364.5	19005.0		
Correctional Officers - CO I/II									
Booking									
Booking Officer Post 1	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Booking Officer Post 2	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Booking Rover Post 3	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Control Room									
Control Room Officer Post 4	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 1									
Unit 1 Officer Post 5	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 1 Officer Post 6	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 2	-	-	-	-					

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH
Unit 2 Officer Post 7	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 2 Officer Post 7A	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 3									
Unit 3 Officer Post 8	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 3 Officer Post 9	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Unit 3 Officer Post 10	-	1.0		-	7	84.00	4379.76	Yes	1761.00
Rover Post 11	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00
Rover Post 12	-	1.0	-	-	7	84.00	4379.76	Yes	1761.00
Laundry Post 14	-	-	-	-	7		0.00		
Property/Transportation Post 15	-	1.0	-	-	7	84.00	4379.76	Yes	1761.00
Recreation/Rover Post 16	-	1.0	-	-	7	84.00	4379.76	Yes	1761.00
Subtotal Custody Posts	0.0	15.0	11.0	0.0		2184.0	113873.8		
Non-Custody									
Administration									
Administrative Officer I	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Administrative Assistant II	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Accounting Clerk	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Reception/Mail	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Travel/Invoices	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
CJT	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Food Service									
Food Service Manager	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Food Service Lead	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Food Service Lead	1.0	-	-	-	5	37.5	1,955.25	No	1761.00

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH
Food Service Lead	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Maintenance									
Maintenance Lead	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Maintenance Journey	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Electrician	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Plumber	1.0	-	-	-	5	37.5	1,955.25	No	1761.00
Laundry	1.0	-	-	-	5	37.5	1955.25	No	1761.00
Education Coordinators					5	37.5	1955.25	No	1761.00
Education Coordinator	1.0	-	-	-	5	37.5	1955.25	No	1761.00
Probation Officers									
PO III (Supervisor)	1.0	-	-	-	5	37.5	1955.25	No	1761.00
PO 1: A-E	1.0	-	-	-	5	37.5	1955.25	No	1761.00
PO 2: F-K	-	-	-	1.0	4	37.5	1955.25	No	1761.00
PO 3: L-R	-	-	-	1.0	4	37.5	1955.25	No	1761.00
PO 4: S-Z	1.0	-	-	-	5	37.5	1955.25	No	1761.00
Subtotal Non-Custody Staff	19.0	0.0	0.0	2.0		825.0	43015.5		
TOTAL	25.0	17.0	12.0	2.0		3009.0	156889.3		

Goose Creek Correctional Complex

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
246	88	334	245	80	325	251	86	337

The Goose Creek Correctional Center (GCCC) is a medium-security institution with a capacity of 1,536 beds and a "hard cap" of 1,472 inmates, which allows some beds for movement flexibility. The facility is designed to house medium-security sentenced prisoners, but due to the need for pretrial beds in the correctional system, the facility also houses pre-trial inmates. The census on June 8, 2015, was 1385 inmates. Of those, roughly 400 were on pre-trial status, and the remainder sentenced inmates. 112 beds are available for administrative and punitive segregation in addition to the general population beds. A 128-bed special management unit is available to house inmates that require close custody management. A medical segregation unit is also available to house prisoners with medical needs; however, that 15-bed unit is not activated at this time. The facility consists of five buildings with a total of 435,000 ft.^{2} constructed on a 90-acre parcel within a 330-acre site. The facility was opened in July 2012 and is a modern correctional design. The perimeter is surrounded by two 14-foot fences affixed with razor ribbon along the top and monitored with a perimeter detection system. All emergency systems are monitored by the master control room.

The facility is a campus-style institution with housing units and program areas surrounding a large courtyard where inmates recreate during recreation hours. The courtyard is equipped with basketball courts and soft recreation equipment. Adjacent to the courtyard area at the rear of the facility are larger recreation areas and ball fields, which are separated from the courtyard by a single fence. This recreation area is open only during good weather and is closed in the winter. An indoor gymnasium is also available for recreation.

General population inmates are housed in one of two units, each unit consisting of five housing modules. Each housing module contains 64 double-occupancy cells, for a total of 128 inmates. A CO is placed in each housing module providing direct supervision of the inmates. For every two housing modules there is a rover assigned to assist and back up the housing officers. The two units are connected by an administration area, where civilian counseling and probation staff have their offices. Also, the staffing plan calls for the assignment of a unit team advisor CO position to cover two units. The segregation unit contains 56 double-occupancy cells and houses up to 112 inmates. These inmates are being held pending discipline, require protective custody housing, are serving a sentence of punitive

segregation, or are classified as administrative segregation status because of behavioral issues. This unit also houses administrative segregation 10 inmates, who are considered potentially violent and dangerous and require a two-person escort with the inmate being held in full restraints. A special management unit with 64 cells can house up to 128 inmates in multiple occupancy housing. These inmates are transitioning from segregation to population or are being held in close custody due to behavioral issues.

With the exception of administrative segregation and special management units, all cells in the institution do not contain toilets and running water and are considered "dry cells." Because there are no sanitary facilities, the doors to the cells must be kept unlocked at all times so inmates may travel to the unit bathroom facilities as needed. Therefore, 1,280 inmates cannot be contained within their cells, but only within the living unit itself. The facility is equipped with a large education program area, including academic education and a number of vocational training programs.

Inmate movement to and from the housing units is conducted in a controlled fashion, as movement takes place each hour for 10 minutes, at which time inmates must travel between the living units and the programmatic areas. Once the movement period ends, inmates must stay in their location until the next hourly movement takes place.

Current Staffing

There are 331 FTE positions at the facility. Of those, 243 are CO titles. Of the 243 CO titles, seven are CO IV (lieutenants) and 30 are CO III (sergeants)—of which 28 are employed on site, one is temporarily assigned to the DOC training academy, and one sergeant is on long-term military leave. There are 206 CO I and II positions. There were nine vacant CO positions at the time of this study.

In addition to the security staffing level, there are 88 non-custody positions authorized to assist in the operation of the facility. This is the largest number of non-custody staff in any adult facility within the DOC. These positions address traditional support service responsibilities commonly found in a medium-security facility. Such services provided include food services, maintenance, education, probation, human resources, technicians, warehouse/business operations and administrative support. The facility provides an expansive number of program services and encourages appropriate volunteer services. There were no double-filled, non-custody positions filled based on the documentation provided.

Most non-custody staff are scheduled to work 37.5 hours per week. There is one office assistant II post assignment where position responsibilities focus on the ongoing inventory,

maintenance, and storage of inmate property. Two staff assigned to property work a seven-day, 75-hour work week followed by seven days off. The scheduled work days and hours are consistent with peak activity levels. The remaining non-custody staff have various starting and finishing times; however, they are all based on ensuring a staff presence during peak activity periods.

The majority of the security staff works seven 12-hour shifts every other week. This affords them with a full seven days off before they return to duty and work seven days before their next set of days off. These staff work 84 hours each pay period. 12-hour shifts operate from 0700 to 1900 and 1900 to 0700. There are four teams of employees that constitute the shifts, two for the day shift and two for the night shift. There is no paid briefing time for staff to pass on information from shift to shift. There are a number of different shift patterns security staff work at the facility as follows:

- Administrators: Monday – Friday, 37.5-hour work week (includes POs)
- Shift lieutenants: 84 hours per pay period, seven days on and seven days off
- Operations lieutenants: Monday – Friday, 37.5-hour work week
- Support sergeants: Monday – Friday, 42-hour work week

Supervisor Assignments. The facility is managed by a superintendent. There are two assistant superintendents, one assigned to supervise security operations and the other responsible for administrative duties and supervising support positions to include programming, inmate records, inmate discipline, grievances, the security department, the farm program, inmate job services, and special projects. An administrative officer II oversees the warehouse and food services and performs other administrative duties. Building maintenance is managed by the maintenance superintendent.

Each security shift is supervised by a lieutenant, and there are four positions assigned to the shift teams. There is no relief position to cover for these lieutenants when they are discharging benefit leave. A sergeant is often utilized to manage the shift when the lieutenant is not working. There are two operations lieutenants, one overseas staff deployment and roster management, as well as unit team supervision, movement control, and training. The second operations lieutenant supervises the minimum-security farm. An administration lieutenant supervises the security department, inmate grievances, the inmate disciplinary process, and policy and procedure development. The two operations lieutenants report to the assistant

superintendent, operations, and the administration lieutenant reports to the assistant superintendent, administration.

Sergeants are posted in master control, housing (two), segregation, and intake 24/7 on 12-hour shifts. These positions may or may not be relieved when not present for duty, based on the availability of sergeants at any given time. There are two sergeant posts that work 12-hour shifts on the day shift only, and those are the work farm sergeant and the Records sergeant. The work farm sergeant supervises the minimum-security farm, which is at a nearby site and houses approximately 35 inmates at any given time. The records sergeant is responsible for maintenance of inmate records and time accounting (sentence calculations). There are two sergeants that perform these duties working alternate weeks, and they are assisted by two CJTs that work a 37.5-hour week, along with two office assistants that also work a 37.5-hour week. Similarly, these positions do not have relief built in for annual leave and benefit leave discharge.

In addition to the 12-hour shift personnel, there are six sergeants that work five days, 42 hours per week. They are assigned as standards/disciplinary, unit team sergeant, movement control sergeant, job services/commissary sergeant, security sergeant, and training sergeant. These staff have responsibility to oversee the inmate disciplinary process, resolve inmate grievances, supervise the unit team officers, control the inmate movement, assign inmates to jobs, and ensure that commissary orders are filled and distributed. The security sergeant is responsible for overseeing intelligence gathering and investigations at the facility, along with his four subordinate team members. The training sergeant coordinates all pre-service and in-service training for the facility. Pre-service training includes a 40-hour orientation program for most correctional employees, as well as an FTO program that provides structured on-the-job training for new employees. COs also attend a six-week correctional academy program off site at some point during their first year of employment. In-service training includes required curriculum, with a goal of training each employee 40 hours per year. The training sergeant also has two COs assigned to him to assist.

Non-custody post assignments are also under the supervision and guidance of lead positions assigned to each critical area. The following designated lead supervisory positions and their associated areas of responsibility include the following:

- Administrative officer II – warehouse, administrative support, human resources, business, food services
- Building maintenance superintendent – physical plant maintenance, laundry, environmental services

- PO III (four) – case management, classification, inmate records, and education

CO Assignments. The facility operates as a direct supervision operation, which requires housing officer assignment inside the living unit interacting with inmates. The master control has two COs deployed on the day shift that work with the sergeant. Deployment is reduced to one CO on the night shift. Master control is staffed 24/7.

Perimeter posts that provide security on the perimeter and entry gates include the perimeter rover (24/7), a mobile patrol that monitors the fence line and responds to fence alarms. The entry control position is also staffed 24/7, and this is the control room that operates pedestrian access doors and monitors key and equipment issuance. A lobby screener post is staffed 24/7. The post is responsible for conducting searches of all items entering the facility through this post and processing visitors and staff through the magnetometer. The west vehicle gate post is staffed 12 hours per day, seven days per week, and this officer operates the vehicle sallyport and searches vehicles entering the facility to deliver goods and services.

The segregation unit is staffed with either one or two officers in the control room: one post is staffed 24/7, and a second officer is an 0700-1900 post that is staffed only when that officer is available. The unusual configuration of this control center requires a single officer to travel a considerable distance to operate the control panels, which are at a considerable distance from one another. There are two floor officer posts in segregation, and these are staffed at all times. A close custody unit, the special management unit (SMU) is staffed with one officer 24/7. A unit team advisor post is available on the day shift between the hours of 0700-1900. This post assists the officers by providing guidance to inmates and resolving their minor grievances.

Intake staff have a variety of responsibilities, but they primarily transport inmates out of the institution to medical appointments, perform community service, and process newly admitted inmates and assist with inmate property, which is kept in a room adjacent to the intake holding cells. Each of these officers are prisoner transportation officers (PTO) certified for transportation duties. Intake staff work on the day shift only, 12 hours per day, seven days per week, and there are three posts.

Two housing units, as indicated previously, are located on either side of an administration area, and there are five such houses, units one through five. Each housing unit contains 64 double-occupancy cells for a total of 128 inmates. There is one officer assigned to each housing unit: A, B, C, D, E, F, G, H, J, and K. A unit rover position provides support and additional security for two units. There are five rovers assigned 24/7—one for each of the five houses.

In addition to the housing officers and rovers, there are five unit team advisors, one of which is assigned to each house. They are assigned to the day shift only, 12 hours per day, seven days per week, and are not relieved when they are discharging benefit leave. These advisors communicate with inmates to address their concerns and questions. The advisor position is assigned consistent with the unit management concept, which is designed to provide services to inmates within their housing units and attempt to address issues with inmates quickly and locally within the unit. The unit management concept was originally established and implemented in the Federal Bureau of Prisons as a method to improve inmate management and relieve tension in correctional facilities. The concept is a team approach that breaks the institution up into small groups where staff continuously communicates with inmates and directs them to services that they require. It is a decentralized management philosophy that is intended for staff to quickly make decisions about inmates that they regularly interact with. Unit management is a proven method of correctional management with a track record of success throughout United States corrections.

The rover positions provide security to common areas such as outdoor yards, ball fields, and gymnasiums, as well as to program and service areas. One specialized rover position is the SV rover. The SV rover assists the shift commander with administrative work and also is an available rover to supervise the yard and respond to emergency calls. This position is staffed 24/7. There are two outside rover positions assigned to the recreation yards and one to the gymnasium—for a total of three rover posts assigned to recreation areas. These posts are staffed 24/7 also, although the post may be closed down at times due to minimum staffing. Additional rover posts on the day shift only include the kitchen rover, education rover, and maintenance rover.

The medical clinic officer is a post that is staffed 12 hours per day, seven days per week. This officer supervises inmates attending the outpatient clinic to meet with medical staff for treatment and examinations. A medical segregation unit is planned at some point in the future. That unit will require a minimum of one officer per 12-hour shift, 24/7, with relief factor built in. That is not addressed in this study, as the post and unit have not been activated.

Inmate visitation with family and friends is supervised by three CO posts that are staffed on the day shift only, seven days per week. Two of the three posts are staffed on a regular basis, and one is left vacant when there are staffing shortages. Two of the positions work from 0800 to 2000 hours and the third works from 01030 to 2230 hours. During times when visits are not taking place, these positions are available to perform other duties, such as acting as rovers.

As indicated previously, the farm is managed by a lieutenant, and day-to-day supervision is provided by a farm sergeant. There is one officer assigned to the farm on the day shift 24/7 and two posts on the night shift 24/7. A second officer is often posted on the day shift if the sergeant is off duty or if the workload requires it.

The security team consists of two officers, 12 hours per day, seven days per week. These officers are responsible for ensuring security within the facility's perimeter by conducting investigations, gathering intelligence, and conducting searches. They operate under the supervision of a sergeant as referenced above. There are four officers assigned, and they are not relieved when absent from duty. A commissary officer is also on a similar schedule, and that position is a 12-hour post coverage seven days on the day shift only.

Five-day officer posts include the disciplinary officer and the grievance officer. The disciplinary officer conducts hearings on inmate rule violations, and the grievance officer investigates and processes grievances submitted by inmates disputing various issues.

Roster Management/Scheduling/Minimum Staffing

Roster management and scheduling duties are performed by the operations lieutenant and the shift commanders. Deployment of security personnel is restricted due to "minimum staffing" levels that are established and mandated by facility and DOC management in response to vacancies and the actual number of staff available for assignment. Minimum staffing levels are as follows:

- Day shift (0700 to 1900) = 36 total security staff
- Evening shift (1900 to 0700) = 32 total security staff

The impact of operating at minimum staffing levels is significant. For example, the day shift roster lists 45 critical positions on the daily roster. At any given time, nine of those positions are not filled. A review of the staffing plan and discussions with staff revealed that often, certain critical posts such as the yard rovers, training officer, west gate, and visiting officers are not filled because of the minimum staffing mandate. Additionally, the unit team advisors are routinely pulled from their posts and placed on critical posts such as housing units, yard rover, and other positions deemed more critical. As it was explained to the analysts during the site visit, routinely three or four of the five advisors are pulled in and placed on other vacant posts. These advisor positions have evolved into relief positions to fill in for the vacancies, and this has diluted the effectiveness of the unit management advisor program according to some staff.

Furthermore, the entire situation is exacerbated by PCN officer vacancies (nine at the time of the study), staff discharging benefit leave, staff being away at the training academy for their basic training, the need to supervise inmates in outside hospitals, and transportation that cannot be handled by the DOC's central transportation unit. These issues detract from the ability to properly staff the facility on a daily basis, thus causing posts to be closed down for the day. The use of overtime to hire additional staff is allowed, but only to bring staffing levels up to the minimum staffing number, which does not address numerous posts that are closed down.

Special Issues

There are a number of issues and problems that adversely impact executing the facility staffing plan as it is designed and filling all critical posts.

Security Position Vacancies. Data provided by the superintendent revealed that the issue of security staff vacancies has emerged in 2015. The following indicates the number of security vacancies each month from January through May:

- January 0 Vacancies
- February 3 Vacancies
- March 17 Vacancies
- April 11 Vacancies
- May 9 Vacancies

The increase in vacancies in 2015 has had a deleterious effect on staffing levels and also an increase in the cost of overtime. Overtime hours have increased significantly since February when overtime used was 98 hours for the month. In the month of March, overtime used increased to 1078.5 hours; in April, 324 hours; and in May, 213 hours of overtime were used. Furthermore, the vacancies have caused the ongoing closing of posts and reductions in staffing to minimum staffing levels in response to vacancies and the availability of staff for assignment.

Training Academy Attendance. There are currently nine CO vacancies and ongoing turnover of personnel. As recently as March 2015, there were 17 security staff vacancies. The hiring process as it was described can take up to four months from the date of application to the actual hiring date. Once the officer is hired, he/she is unavailable for three weeks of on-site

training and later on for six additional weeks for DOC academy training. Overtime hours attributed to academy training is also significant. In the month of March, 509.5 hours were attributed to backfilling for the officers in training and in April, 142.5 hours. Academy training, as well as the structured on-the-job training, takes place for newly hired staff; however, there are insufficient personnel available to fill in while these individuals are in training. The vacancies and hiring process delays, as well as job time lost due to training, are also not factored into the relief factor and positions funded to fill the void created by these vacancies.

Insufficient Relief Factor. Statistical data was not provided on vacancy overtime; however, there are currently nine security staff vacancies at the facility, and not having these positions filled results in less available staff to fill posts on a daily basis. During the months of February, March, and April, there were between 5 and 17 officers unavailable for duty at the facility, as they were away at the DOC's training academy. In addition, staff discharging benefit leave further reduces the available staff to work on posts. Workload that requires personnel beyond authorized posts further exacerbates the shortages caused by an insufficient relief factor. When staff are assigned to transportation details that are not planned for in the staffing plan, or other activities that require the establishment of a temporary post take place, personnel available through the relief factor are utilized for these extra activities, thus resulting in insufficient personnel to fill the roster. An adequate relief factor would allow for sufficient personnel to be available to backfill for these officers that are not present for duty for various reasons.

Transportation/Outside Hospital Coverage. A review of intake operations revealed that the three officers assigned to transportation duty do not typically cover the transportation needs, and officers from the shift are often pulled from their post to take on transportation duties. Although this method addresses the additional transportation personnel needed, it does remove officers from the institution during busy periods of the day, thus impacting institutional security. Data provided for the months of April, May, and June 2015 revealed that on average, four officers are needed each day to transport prisoners off site to court and medical appointments. The month of June average for officers needed was 4.4 officers per day, which probably takes into account the growing need for security coverage for off-site medical visits. This situation was not addressed in the recommendations, as inmate transportation workload cannot be accurately predicted, and there are times when fewer staff are needed than assigned. It may be more economical to utilize overtime to staff transportation needs that exceed available personnel.

Shift commander/Supervisor Posts. The shift commander lieutenant position is the uniform commander of the institution and is often first in command when administrative staff are off duty, especially on weekends and in the evenings. On each of the four operating shifts there is one lieutenant assigned. There is no relief factor built in, so when the shift lieutenant is on vacation or on some form of benefit leave, a sergeant takes over as the shift commander. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster, which would include the shift lieutenant.

Minimum Staffing/Impact on Security. Due to vacancies and often limited availability of staff for assignment, minimum staffing levels have been established that are lower than what is required by the staffing plan. This typically results in positions such as the unit team advisors not being available to perform their duties supporting the housing units, the reduction in yard rovers to supervise outdoor recreation, training officers being assigned to posts and taken away from their training activities, a reduction in the number of visiting officers to supervise visitors, and the closing of the west gate, which compromises perimeter security and can result in delayed deliveries of goods to the institution.

Virtually all staff interviewed during the course of this study expressed concern about the level of security available when minimum staffing levels are adhered to. The day shift roster identifies 45 positions considered critical to the operation; however, only 36 of those positions can be filled due to these minimum staffing restrictions. The night shift lists 38 posts that they consider critical, and 32 of those posts are allowed to be filled on a daily basis.

A review of past staffing levels and minimum staffing requirements leads to a similar conclusion that operating at minimum staffing levels without adjusting those levels to ensure safe and secure operations is a risky practice. Command staff should be afforded more flexibility to staff posts based on workload and job requirements. Additionally, staffing should be at proper levels to ensure that first and second level responses to emergencies are adequate to ensure staff and inmate safety. Operating a 1,500-bed institution with 36 staff on the day shift and 32 on the night shift is a practice that should be reconsidered.

Staffing Recommendations

The Goose Creek Correctional Complex "Staffing Plan" is a well thought out plan designed to address the security and program needs of the facility. Post locations are appropriate, and a commitment to direct supervision ensures that housing units are staffed with officers around-the-clock with no exceptions. The staffing plan is impeded; however, by the minimum staffing levels established to manage vacancies and limited staff availability, which results in leaving posts not staffed. The example used earlier of the unit team officers illustrates this

point. Unfortunately, due to vacancies and an inadequate relief factor, these and other posts are frequently closed because the officer is pulled to cover critical security posts that are vacant on any given day. In essence, these positions have become relief officers available for reassignment on a regular basis. This dilutes the unit management process and renders it less effective because the unit team officers are unavailable to address issues in the housing units.

> *Relief Factor: It is recommended that the DOC adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is acceptable corrections practice; however, reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant routinely is a risky practice and can result in compromising institutional security and increasing potential liability.*

Lieutenant positions have been established and funded to supervise operations. These lieutenants are deployed on each of the four 12-hour shifts at the facility. The positions are not scheduled for relief; therefore, when a lieutenant is discharging benefit leave, a sergeant position is often designated as the relief for the shift commander. This is a large and complex correctional institution, and when top administrators are not present—mainly in the evenings and on weekends—a lieutenant level position should be available to manage the institution.

There are four 24/7 sergeant's positions with no relief built in to ensure that there is coverage when the sergeants are unavailable due to the discharge of benefit leave. These positions are the two housing sergeants, the master control sergeant, and the segregation sergeant. Each of these positions performs critical functions and provides supervision in important operational areas. Not applying the relief factor is a questionable practice with respect to these positions.

> *Shift Commander/Staff Supervision: Provide the shift commander/lieutenant position with relief to ensure 24/7 staffing of the post. This would ensure that a command position is available to manage day-to-day operations in this complex and very active correctional facility. It is further recommended that the master control sergeant and the segregation sergeant positions be filled at all times, thus requiring the application of the relief factor to these sergeant positions.*

Segregation Control #2: Convert the segregation control #2 position to a 12-hour (0700-1900) segregation rover post to address operational needs of the two segregation units during peak activity hours.

There are three rover positions that work in the yard as movement control officers, one of which supervises the gymnasium, one the inside yard, and one on the outside yard (weather permitting). There are three posts on both the day and night shifts. It is not unusual to have large numbers of inmates recreating on these yards, as well as moving about from place to place during controlled movement. They are supported by additional officers during mass movement and meal times, which is important to safety and security in the yard. On night shift, post coverage is reduced to as few as two rovers in the yard. Also there is no medical rover after 1900 hours.

Yard Rovers/Night shift: A minimum of three yard rover positions should be posted on both the day and night shifts. These posts are in addition to the SV rover position. The additional rover on the night shift will also provide for a variety of duties including, but not limited to, assisting with the preparation of prisoner transports, filling in at different posts to insure that the DOC is meeting contractually obligated staff breaks, or other duties as assigned.

Current non-custody staffing levels based on existing operational requirements provide an optimum staffing level. Filling existing vacancies would allow ample management flexibility and aid in the facility's ability to meet long-term goals. These staffing levels, however, go beyond baseline minimum staffing requirements.

Non-Custody Staffing Reductions: In order to maximize the efficiency of the staffing plan, the following positions can be eliminated:

- *Office assistant II (inmate records). Temporarily reduce one of the two office assistant II positions assigned to inmate records. A records sergeant is responsible for the daily maintenance and operation of inmate records, as well as time accounting (sentence calculations). There are two sergeants working alternate weeks that perform these duties and they are assisted by two CJTs that each work a 37.5-hour week, along with two office assistants that also work a 37.5-hour week. In the GCCC response there is no reference to any additional dedicated positions assigned to inmate records other than the office assistant IIs. The initial recommendation by the review team was to reduce one of the two office assistant II positions on a temporary basis in an effort to operate at baseline minimum levels. The staffing complement at the time was reflective of an optimum level*

based on existing workload responsibilities at the time. Elimination of one of the office assistant II positions on a temporary basis is based on recognized workload responsibilities as shared by assigned personnel.

- *Maintenance Generalist. At the time of the staffing review, the maintenance DOC was reportedly in the process of completing a year-long transition, including adjusting select position titles, hiring staff, and having personnel serving in temporary capacities. The department head had recently been promoted from the foreman position and reported a generalist had been serving in an acting capacity as the foreman. The generalist position may not have been officially vacant at the time; however, the staff filling the position was reportedly addressing maintenance department workload responsibilities normally completed by another position title.*

In May 2014, there were 12 reported authorized maintenance positions, of which all were filled. In June 2015, there were 15 reported authorized positions, of which 14 were filled. This reflected an increase of three authorized positions. In addition, some position titles reportedly changed to include the maintenance specialist journey II/lead positions, expanding the number of maintenance generalist journeyman positions and deleting the HVAC and locksmith position titles. The maintenance department superintendent had been in his current position for less than 30 days at the time of the review. The review team interviewed the maintenance department superintendent, reviewed workload and staffing documentation, inspected the maintenance area, and interviewed additional staff assigned to the maintenance department. In an effort to identify a minimum baseline staffing level to meet minimum standards, reported workload activity supports a reduction of one maintenance generalist position, which would be consistent with the number of generalist positions authorized at GCCC prior to 2015.

Long-Term Staffing Recommendations

Transportation: With respect to prisoner transportation, there are currently three officers assigned to the intake unit that work under the supervision of a sergeant. These officers are PTO-certified and transport inmates to medical appointments, courts on occasion, and other facilities. On the day that this analysis took place, there were six COs conducting transport duty, three of which were pulled from shift duty, thus reducing CO coverage inside the institution. According to staff, medical transportation has increased since the

facility opened, which includes transporting inmates three times per week for dialysis treatment. Based on the demands caused by prisoner transportation, one additional intake position may be required to address the transportation issue, and adding this post in the future should be considered if transportation requirements continue to cause overtime and pulling officers from the shift. This will further result in fewer officers being pulled from the shift, which improves security inside the facility. The officer assigned must be PTO-certified.

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	F
Superintendent	1.0	-	-	-	5	37.5	1955.25	No	NA	1.00	
Subtotal Director Posts	1.0	0.0	0.0	0.0		37.5	1955.25			1.0	
Assistant Superintendent	1.0	-	-	-	5	37.5	1955.25	No	NA	1.00	
Assistant Superintendent	1.0	-	-	-	5	37.5	1955.25	No	NA	1.00	
Subtotal Asst. Director Posts	2.0	0.0	0.0	0.0		75.0	3910.5			2.0	
Custody Staff											
Lieutenants - CO IV											
Shift Commander	-	1.0	1.0	-	7	168	8759.52	Yes	1761.00	4.97	
Operations Lieutenant	1.0	-	-	-	5	37.5	1955.25	No	1761.00	1.11	
Operations Lieutenant	1.0	-	-	-	5	37.5	1955.25	No	1761.00	1.11	
Administration Lieutenant	1.0	-	-	-	5	37.5	1955.25	No	1761.00	1.11	
Subtotal Lieutenant Posts	3.0	1.0	1.0	0.0		280.5	14625.3			8.3	
Sergeants - CO III											
House Sergeant #1	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00	4.97	
House Sergeant #2	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00	4.97	
Master Control	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00	4.97	
Segregation Sergeant	-	1.0	1.0	-	7	168.00	8759.52	Yes	1761.00	4.97	
Intake Sergeant	-	1.0	-	-	7	84.00	4379.76	No	1761.00	2.00	
Farm Sergeant	-	1.0	-	-	7	84.00	4379.76	Yes	1761.00	2.49	
Records Sergeant	-	1.0	-	-	7	84.00	4379.76	No	1761.00	2.00	
Standards/Disciplinary Sgt.	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	
Unit Team Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	
Movement Control Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	
Job Services/Commissary Sgt.	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	
Security Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	
Training Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	
Subtotal Sergeant Posts	6.0	7.0	4.0	0.0		1176.0	61316.6			32.4	
Correctional Officers - CO I/II											
Master Control	-	2.0	1.0	-	7	252	13139.28	Yes	1761.00	7.46	
Entry Control	-	1.0	1.0	-	7	168	8759.52	Yes	1761.00	4.97	
Lobby Screener	-	1.0	1.0	-	7	168	8759.52	Yes	1761.00	4.97	
Perimeter Rover	-	1.0	1.0	-	7	168	8759.52	Yes	1761.00	4.97	
SV Rover	-	1.0	1.0	-	7	168	8759.52	Yes	1761.00	4.97	
West Vehicle Gate	-	1.0	-	-	7	84	4379.76	Yes	1761.00	2.49	
Segregation Control	-	1.0	1.0	-	7	168	8759.52	Yes	1761.00	4.97	
Segregation Control #2	-	1.0-	-	-	7	84	4379	Yes	1761	2.49	
Segregation Unit Team	-	1.0	-	-	7	84	2189.88	No	1761.00	2.00	
Segregation	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
Special Management Unit (SMU)	-	2.0	1.0	-	7	252	13139.28	Yes	1761.00	7.46	
Special Management Unit Advisor	-	1.0	-	-	7	84	4379.76	No	1761.00	2.00	
Intake	-	2.0	-	-	7	168	8759.52	Yes	1761.00	4.97	
Intake Property Officer	-	1.0	-	-	7	84	4379.76	No	1761.00	2.00	
Unit Team Officers	-	5.0	-	-	7	420	21898.80	No	1761.00	10.00	
House #1	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
House #2	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
House #3	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
House #4	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
House #5	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
Yard Rovers	-	3.0	3.0	-	7	504	26278.56	Yes	1761.00	14.92	
Kitchen Rover	-	1.0	-	-	7	84	4379.76	Yes	1761.00	2.49	
Education Rover	-	1.0	-	-	7	84	4379.76	Yes	1761.00	2.49	
Maintenance Rover	-	1.0	-	-	7	84	4379.76	Yes	1761.00	2.49	

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	F
Medical Segregation	-	-	-	-	7	0	0.00	NA	0.00	0.00	
Medical Clinic	-	1.0	-	-	7	84	4379.76	Yes	1761.00	2.49	
Visiting Officer	-	3.0	-	-	7	252	13139.28	Yes	1761.00	7.46	
Farm Officer	-	1.0	2.0	-	7	252	13139.28	Yes	1761.00	7.46	
Security Team	-	2.0	-	-	7	168	8759.52	No	1761.00	4.00	
Commissary Officer	-	1.0	-	-	7	84	4379.76	Yes	1761.00	2.49	
Grievance Officer	1.0	-	-	-	5	42	2189.88	No	1761.00	1.00	
Disciplinary Officer	1.0	-	-	-	5	42	2189.88	No	1761.00	1.00	
Training Officer	-	1.0	-	-	7	84	4379.76	No	1761.00	2.00	
Subtotal Officer Posts	2.0	54.0	30.0	0.0		6552.0	339431.45			205.6	
Non-Custody											
Administrative Officer II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Administrative Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Services Supervisor	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Services Foreman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	
Food Service Journeyman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Journeyman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Journeyman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Journeyman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Journeyman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Journeyman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Food Service Journeyman	1.0-	-	-	-	5	37.50-	1955.25	No	1761.00	00	
Stock and Parts Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Stock and Parts Services Journey I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Supply Technician I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant II	1.0	-	-	-	7	84.00	2189.88	No	1761.00	1.00	
Office Assistant II	1.0	-	-	-	7	84.00	2189.88	No	1761.00	1.00	
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant I	1.0	-	-	-	5	42.00	2189.88	No	1761.00	1.00	
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Office Assistant II	-	-	-	-	5	-	0.00	No	0.00	.00	
Criminal Justice Tech I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Criminal Justice Tech I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Criminal Justice Tech I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Criminal Justice Tech I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Criminal Justice Tech I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Criminal Justice Tech I	-	-	-	-	5	37.50	1955.25	No	1761.00	1.00	

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	F
Building Maintenance Supt.	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Maintenance Specialist Foreman	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Journey II/Lead	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Journey II/Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Journey II/Lead	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Journey II/Lead	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Electrician	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Plumber	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Electronics/Jrny	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Spec. Plumber/Jrny II	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Generalist Journey	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Maintenance Generalist Journey	-	-	-	-	4	-	0.00	No	0.00	0.00	
Maintenance Generalist Journey	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Maintenance Generalist Journey	-	-	-	1.0	4	37.50	1955.25	No	1761.00	1.00	
Mechanical Auto Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Environmental Services Lead	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Environmental Services Journey	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Environmental Services Journey	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Environmental Services Journey	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Environmental Services Journey	1.0	-	-	-	5	37.50	1955.25	No	1761.00	0.00	
Adult PO III	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Adult PO III	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Adult PO III	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Adult PO III	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00	

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO II	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO I	1.0	-	-	-	5	37.50	1955.25	No	1761.00	1.00
Adult PO I	1.0-	-	-	-	5	37.50	1955.25-	No	1761.00	0.00
Subtotal Non-Custody Posts	70.0	0.0	0.0	9.0		3004.5	156654.6			83.0
TOTAL	84.0	61.0	35.0	9.0		11041.5	604172.2			332.3

Hiland Mountain Correctional Center

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
73	22	95	79	26	105	79	30	109

The Hiland Mountain Correctional Center is a medium/minimum-security facility housing female inmates and is the primary facility housing female inmates in the DOC. Pre-trial inmates are initially booked and held until their first court appearance in the Anchorage Correctional Complex and are subsequently transported to Hiland Mountain. The main facility contains entry master control, as well as the kitchen, dining areas, laundry, vocational shop, medical clinic, admissions area, and staff offices. The segregation unit is adjacent to this main structure. Each of the housing units are individual structures connected by a series of outdoor walkways.

Housing units 1 through 4 are located adjacent to one another along the north perimeter. Housing unit 5, which at one time was a separate facility with its own entry sallyport penetrating the perimeter, is at the south end of the facility. The majority of the perimeter of the facility is surrounded by two chain-link fences with razor ribbon affixed at the top to prevent climbing; however, sections of the fence line in the vicinity of housing unit 5 consist of a single perimeter fence and present characteristics of a minimum-security unit. The facility is a program-oriented correctional center whose mission is to prepare inmates for re-entry into the community. The facility was opened in 1974 and has had numerous missions, including at one time holding male inmates, until it was converted to a female facility in 2006.

Entry is made into the institution from a pedestrian sallyport that is monitored and controlled by the master control post. Also adjacent to the master control is the intake area, where inmates are received through a sallyport entrance. Inmates are received through the admissions sallyport and processed, booked, and placed in the intake unit (house one) assuming the there are no issues requiring segregated housing, such as behavioral or mental health issues. Once classified, inmates can be placed in general population.

Housing takes place in five different units. Housing unit 1 is the intake unit, where inmates are held during their orientation to the facility in double-occupancy rooms. The unit has a capacity of 80 inmates. Unit 2, similarly, has a capacity of 80 inmates and is a restricted movement unit that operates under the principle of controlled movement. Inmates residing in unit 2 have exhibited behavioral issues and often have been cited for disciplinary infractions. Housing unit 3 has two functions: a portion of the unit participates in faith-based programming, and the unit also houses inmates suffering from some form of mental illness—

there are 36 beds dedicated to this population. Housing unit 4 is a general population unit housing up to 80 inmates. Housing unit 5 is a larger unit that has a capacity of 100 inmates and includes a four-bed segregation unit and a six-bed close supervision unit known as the "mini mod." House 5 is a program unit that contains a substance abuse treatment program and a faith-based learning program. The facility's main segregation unit contains 20 cells, 10 of which are used to house inmates with behavioral issues in need of segregation, and 10 cells for inmates in need of acute mental health services. As indicated previously, the facility offers an array of program services to assist inmates with their re-entry into society. Programs include vocational training, hobby craft, educational services, substance abuse treatment, faith-based learning, parenting, and TLC.

The maximum capacity of the facility is 395 inmates, and the facility also has an emergency capacity of 404, which is considered the maximum census capacity. The high census count according to staff interviewed was 451 inmates, with the overflow population living on plastic shell "boats" in common areas such as the chapel. On June 8, 2015, the facility census was 425. Given its role housing the vast majority of female inmates in the "Anchorage Bowl" area, the facility often is overcrowded and is forced to house inmates in emergency capacity beds that are less than desirable. Overall, housing unit capacity for females is insufficient to manage the population. The facility staff is also challenged in that they house a variety of inmate populations in a community design facility that includes segregation inmates, two classifications of mental health inmates, and noncompliant inmates that are placed in restricted housing. The facility has many blind spots that hinder observation and inmate supervision, and areas of the perimeter are considered no more than minimum-custody suitable. This adds to the challenges as this facility houses all classifications of inmates.

Current Staffing

There are 95 positions (PCN) assigned to the institution and three double-filled positions. 71 of those are security positions and 24 positions are designated as support positions. With regard to the security positions, 1 position is a CO IV (lieutenant), 11 are CO III (sergeants) positions, and 59 officers are a combination CO II and I positions. On June 9, 2015, when this study was conducted, 5 of the CO positions were vacant.

The majority of the security staff works seven 12-hour shifts every other week. This affords them with a full seven days off before they return to duty and work seven days before their next set of days off. These staff work 84 hours each pay period. The 12-hour shifts operate from 0600 to 1800 and 1800 to 0600. There are four teams of employees that constitute the

shifts, two for the day shift and two for the night shift. There is no paid briefing time for staff to pass on information from shift to shift. There are a number of different shift patterns:

- Administration: Monday – Friday, 37.5-hour work week (includes POs)
- Operations lieutenant: Monday – Friday, 37.5-hour work week
- Shift sergeants: 84 hours per pay period, seven days on and seven days off
- Support sergeants:10.5-hour shifts, four days, 42-hour work week

The majority of the non-security positions work five 7.5-hour days per week for a total of 37.5 hours each week. There are no non-security staff assigned to the 12-hour shifts, and one staff member (office assistant I) works four 9.5-hour days each week.

Supervisor Assignments. The facility is managed by a superintendent. There is one assistant superintendent, although the position is vacant at this time and the operations lieutenant is acting assistant superintendent. The assistant superintendent is acting superintendent at this timed. Each security shift is supervised by a sergeant, and there are four positions assigned to the shift teams. There is no relief position to cover for these sergeants when they are discharging benefit leave, and either an available sergeant (10.5 hour sergeants) is reassigned to supervise the shift, a sergeant is hired on overtime, or a senior CO performs the duties of shift supervisor in the sergeant's absence.

There are seven sergeants that work 10.5-hour shifts four days per week that have specialized assignments. The segregation sergeant is responsible for managing segregation operations and house 2 (H-2), which is the restricted movement unit. The house 5 (H-5) sergeant is responsible for supervising H-5, a unit which includes general population, inmates involved in structured programs, a close-custody unit, and a small segregation unit. A sergeant is assigned to units 1, 3, and 4, and that position oversees mainly general population units, including the intake unit. A security sergeant is responsible for facility security, including managing the armory, acting as a liaison with outside law enforcement, security equipment, investigations, and intelligence gathering. The special project and commissary sergeant supervises outside work crews and manages the commissary ordering and distribution process. The administration sergeant is responsible for developing standard operating procedures and facility policies. This sergeant is also responsible for managing the urinalysis drug testing program and assists with training. The training sergeant manages and coordinates institutional training (pre-service and in-service) for existing employees. The training sergeant coordinates all training for the facility. Pre-service training includes a 40

hour orientation program for most correctional employees, as well as an FTO program, which provides structured on-the-job training for new employees. COs also attend a six-week correctional academy program at some point during their first year of employment. In-service training includes required curriculum, with a goal of training each employee 40 hours per year. Current practice does not achieve the 40 hour goal due to staffing shortages.

What is noteworthy regarding supervisor assignments is that the shift supervisor position has no relief assigned to ensure that a sergeant is supervising shift operations every day. During their absences, a 10.5-hour sergeant is assigned as the shift supervisor or a senior CO fills in.

CO Assignments. As noted previously, with few exceptions, the facility operates as a "direct supervision" operation, which requires housing officers to be assigned inside the living unit interacting with inmates. The two exceptions to that are H-5 close custody and segregation, where officers are only available to make periodic checks of those units. Additionally, due to staffing shortages, house officers are often pulled from their assignments to cover other job responsibilities that need to be attended to. In those cases, a roving officer assigned to a different unit makes rounds of the unit that isn't staffed.

Inmates are received in the admissions department. There are two COs assigned to this responsibility, and the posts are covered 12 hours per day, seven days per week. These officers are responsible for maintaining the inmate records, processing new admissions, ensuring that all legal paperwork is in order, and calculating their sentences—a process known as "time accounting". The staff is also responsible for processing bails, developing the court list, and processing inmate property. There is no coverage from 2200 hours to 0600 hours.

A three-person team, known as the operations group, staffs three positions: the master control, the perimeter roving patrol, and the institution rover. Each member of the team rotates through each post every two hours. The master control controls main entry pedestrian access doors, answers telephones, observes video monitors, and controls doors that lead to the visiting room and segregation. Emergency systems, such as fire and perimeter alarms, are also monitored in the control center. The perimeter roving patrol is a mobile patrol that monitors the perimeter fence line. The rovers supervise facility operations in common areas and make rounds of the houses when an officer is not present. Rovers also relieve officers for their rest and meal breaks. A second rover position is listed on the facility staffing plan, but is seldom posted due to staffing shortages. A position that is often posted is the visiting rover, a position that screens visitors to the facility and performs security searches to ensure that no

contraband is being conveyed into the institution. This position is filled from 1000 to 2200 hours.

The staffing plan also calls for the assignment of a CO to each of the units H-1 to H-4. When minimum staffing levels are adhered to, there are times when one or more of these posts are vacant, and the rover and other house officers are required to conduct security and welfare checks of those units. In H-5 there is a second post assigned, day shift only, and that officer works from 1000 to 2200 assisting with the supervision and oversight of that unit. The posting of a second officer is important in that this unit contains a close supervision unit and a segregation unit. Additionally, the fence line outside of this unit is a single perimeter fence, and additional supervision of the area is needed.

The segregation unit has two officers assigned. One operates the security and cell doors from a secure control room, and the second officer is responsible for supervising the cellblock. This unit contains inmates with disciplinary issues, those requiring protection from others, and an acute mental health population.

A CO is assigned to process and maintain inmate property that arrives at the institution. This position is staffed 10.5 hours per day, four days per week. Property not allowed must be stored and inventoried, and inventory of approved property that the inmates are allowed to have in their possession inside the facility must be maintained. This function can also be managed by a civilian title as is done in many other jurisdictions. This will be addressed in our recommendations.

Currently the CO working the property post is not counted against the day shift minimum and is available to escort unscheduled medical transports to the emergency room. The number of unscheduled hospital transports has recently grown dramatically due to the increased number of detoxing or seriously ill females received from the Anchorage Complex.

Finally, a disciplinary officer is assigned to the inmate disciplinary process, as well as carrying out special project functions. The disciplinary officer conducts inmate disciplinary hearings as well as oversees the hobby craft area and greenhouse. This officer also performs classification phase reviews. There are 15-20 disciplinary hearings held per week according to the incumbent officer.

Roster Management/Scheduling/Minimum Staffing

Roster management and scheduling duties are performed by the operations lieutenant. Deployment of security personnel is restricted due to "minimum staffing" levels that are

established and mandated by facility and department management. Minimum staffing does not necessarily account for job tasks and responsibilities, but is more driven by vacancies and limited staff availability. Minimum staffing levels do not include administrative personnel or the 10.5-hour sergeants. Minimum staffing levels are as follows:

- Day shift (0600 to 1000) = 11 total security staff
- Day shift (1000 to 1800) = 13 total security staff, (11 plus H-5 #2 and visiting rover)
- Evening shift (1800 to 0600) = 8 total security staff

The impact of operating at minimum staffing levels is significant. For example, the day shift roster lists 14 positions on the daily roster. At any given time, 4 or 5 of those positions are not filled. A review of the staffing plan and discussions with staff revealed that often certain critical posts, such as the second rover post, are seldom filled because of insufficient staffing, and whenever there is an unanticipated event such as a medical trip, a post has to be closed so the officer can take the inmate to the medical appointment. The situation becomes particularly problematic after 2200 hours when the minimum staffing number is reduced to eight officers on post. When staffing levels are as low as eight officers, two housing units are left uncovered, and rovers, with the remaining housing officers, are required to make security and wellness checks of the vacated units. When evening staffing is at nine officers, one housing post is vacant, and the inmates receive intermittent supervision.

The shortage of personnel exists due to CO (PCN) vacancies (of which there are five), staff discharging benefit leave which exceeds the level allowed utilizing the existing relief factor, staff being away at the training academy for their basic training, the need to supervise inmates in outside hospitals, and transportation that can't be handled by the DOC's central transportation unit. Additionally, if the perimeter alarm system is dysfunctional due to weather-related issues, a second officer needs to be posted on the perimeter to maintain security of that area. These issues detract from the ability to properly staff the facility on a daily basis, thus causing posts to be closed down for the day. The use of overtime to hire additional staff is allowed, but only to bring staffing levels up to the minimum staffing number, which does not address posts that are closed down.

The most significant problem caused by adhering to minimum staffing is a lack of housing coverage on the night shift. Inmates can move freely about the housing unit as the cell doors do not lock, and this is when it is more likely for assaults and disturbances to take place.

There is one administrative officer I position that is responsible for overseeing the majority of the non-custody staff with the exception of the POs.

The administration section of the facility currently has one administrative assistant II that supervises one accounting clerks, one office assistant I, an office assistant II, and one mail services courier. Staff in the administrative section process payroll for administrative staff, custody staff, and the inmate population. The mail services courier sorts and inspects all inmate mail as well as travels to Anchorage daily to collect and deliver mail, pick up medications for the inmates, and retrieve parts and supplies for the maintenance section. This position frequently needs assistance from other staff to complete their work.

As with the security staffing, the non-security staff seemed to be staffed at or below minimum levels. At first glance, many of the areas such as food service and education seem to be properly staffed. But where the security staff has inadequate relief, the non-security staff has no relief factor at all. Therefore, as an example, food service must work overtime when an employee takes vacation or is ill.

POs are each assigned to a different inmate house, and their caseloads consist of all inmates assigned to that House.

Special Issues

There are a number of issues and problems that adversely impact executing the facility staffing plan as it is designed and filling all critical posts.

Staff Vacancies/Academy Training. There are currently five CO vacancies and ongoing turnover of personnel. The hiring process as it was described can take up to four months from the date of application to the actual hiring date. Once the officer is hired he/she is unavailable during three weeks of on-site training and later on for six additional weeks for DOC academy training. These vacancies and hiring process delays, as well as job time lost due to training, are also not factored into the relief factor, and positions are not funded to fill the void created by these vacancies.

Shift Commander/Supervisor Posts. The shift commander sergeant position is the uniform commander of the institution and is often first in command when administrative staff is off duty, usually on weekends and in the evenings. On each of the four operating shifts there is one sergeant assigned. There is no relief factor built in so that when the shift sergeant is on vacation or benefit leave, a 10.5-hour sergeant takes over as the shift commander, or a senior CO is assigned as shift supervisor. There is also a shortage of sergeants available to

step up to take on the role of shift commander. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster.

Minimum Staffing/Impact on Security. Vacancies and limited staff availability results in posts not being filled on a regular basis. As a result, minimum staffing levels have been established that are lower than what is required by the staffing plan. This typically results in position rover #2 not being staffed to assist with daily operations. When the second post is not filled, there is only one available housing rover to respond to disturbances as the first responder, as well as cover for meal and break relief for the officers assigned to the housing units. Additionally, the visiting rover post is often left vacant, which effects pedestrian entrance security and the screening of visitors.

The most significant issue identified as it relates to minimum staffing is on the night shift between the hours of 2200 and 0600 hours. During that time, staffing levels are often reduced to 8 officers including the shift commander sergeant. Management is not authorized to hire staff on overtime above 8 officers to staff the institution. When there are 8 officers, two of the five housing units are not staffed and the single rover and remaining 3 house officers must conduct security rounds and welfare checks of the unstaffed units. It takes 10 officers to ensure that all critical posts are staffed on the night shift, including each of the five housing units.

Numerous staff interviewed during the course of this study expressed concern about the level of security available when minimum staffing levels are adhered to, especially on the night shift when there are no administrative sergeants available in the institution. A review of past staffing levels and minimum staffing requirements leads to a similar conclusion that operating at minimum staffing levels without adjusting those levels to ensure safe and secure operations is a practice fraught with risk. Command staff should be afforded more flexibility to staff posts based on workload and job requirements. Additionally, staffing levels should be at proper levels to ensure that first and second level responses to emergencies are adequate to ensure staff and inmate safety. At a minimum, all housing positions, two segregation officers, visiting rover, master control, and rover #1 and #2 should be staffed. This allows for housing unit coverage, perimeter patrol, and all control rooms to be staffed, along with two rovers to provide meal/rest relief and essential security duties. The availability of two rovers is important to ensure inner perimeter security, emergency response, and availability of at least one officer to respond to unscheduled events.

The current staffing pattern at HMCC also does not account for the high acuity level of the female offender population. The high number of detoxing prisoners, the mix of short-term

pre-trial prisoners with long-term sentenced prisoners causes an increased need for medical transports that have to be conducted by on-duty correctional staff. This takes an officer out of the facility for extended periods of time and it periodically causes the staffing to fall below minimum coverage requirements.

Insufficient Relief Factor. It is apparent that there are insufficient staff available to properly fill the existing staffing plan. Some of this is due to CO vacancies, training, and off-site hospital coverage, but more significantly, the problem relates to not accounting for accurate leave data that needs to be incorporated into the relief factor analysis in order to allow for sufficient personnel to meet the staffing needs. This will be addressed in our staffing recommendations.

Availability of Female Staff. The superintendent indicated that facility management is faced with an insufficient number of female staff to operate the institution. With the advent of the Prison Rape Elimination Act (PREA) guidelines and standards and to address privacy concerns, it is critical that most, if not all, housing posts be staffed by female officers, as well as areas where inmates need to be searched as they move about the institution. This provides inmates with an appropriate level of privacy that they require and also ensures that there are staff making unscheduled routine searches of inmate living areas and persons. Male officers must announce their presence and are not able to conduct pat searches of female inmates. This calls into question having a large number of male staff working in a female institution. It was reported that less than 50 percent of the CO staff of the facility are female officers. Although not specifically addressed in our recommendations, there needs to be a concerted effort to increase the number of female CO staff in this institution to address operations and security concerns.

Staffing Recommendations

The Hiland Mountain Correctional Center "Staffing Plan" is fundamentally a good plan that is designed to address the security needs of the facility. Post locations are well-thought-out, and a commitment to direct supervision ensures that housing units are staffed with officers around-the-clock with few exceptions. Although this is the plan design, minimum staffing levels become problematic, as the staffing plan is impeded by the minimum staffing caused by vacancies and limited staff availability.

> *Relief Factor: The DOC should adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is acceptable corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the*

institution are left vacant as a matter of course is questionable practice and can result in compromising institutional security and increasing potential liability. For example, not staffing housing units in a relatively open institution in the evenings can result in disruptive behavior and violence that is more likely to occur when staff are not in the vicinity.

Sergeant positions have been established and funded to supervise the jail operations. These sergeants are deployed on each of the four 12-hour shifts at the facility. The positions are not scheduled for relief; therefore, when a sergeant is discharging benefit leave, a CO may be filled as the relief for the shift commander, especially on nights and weekends.

Shift Commander/Staff Supervision: It is recommended that the shift commander/sergeant position be funded with relief to ensure 24/7 staffing of the post. This would ensure that a command position is available to manage day-to-day operations in this complex and very active jail facility.

There are two rover positions listed on the roster, rover #1 and rover #2. Rover #1 is usually staffed, and that position is important to providing assistance to the housing officers and providing inner perimeter security services. That position is also a first responder during emergencies. Also listed on the staffing plan is rover #2. This post provides similar services to the rover #1 post and is also available to transport inmates off-site for unscheduled trips, assist with two person transports of violent inmates in need of additional supervision during movement, and taking performing drug testing services and other tasks that arise during the course of the day. The rover #2 is not part of the minimum staffing and is only staffed when a "surplus" of officers is available above minimum staffing levels. In essence, this post is considered nonessential and, as a result, is frequently not staffed.

Rover Posts: Both rover positions should be staffed at all times and be considered minimum staffing level posts. This will provide proper relief and backup to the housing officers, allow for an adequate response to emergencies, assist supervising the medical clinic, and provide a staff member to handle unscheduled activities that occur frequently in the correctional environment. These are clearly critical posts that should be funded and staffed.

The property officer processes and manages inmate property. This includes searching the property, inventorying the property, and distributing allowable property to inmates. Property that is not allowable is either stored or sent to family and friends. In many jurisdictions, civilian staff that are paid a lesser rate than COs handle responsibilities of this nature. COs

are better suited to perform security-related tasks, and utilizing a civilian title for this purpose will likely result in a cost savings.

> *Property Officer: Convert the property officer position to a CJT position, and return the CO assigned to security duties.*

On the day this study was conducted, there was an inmate admitted to an outside hospital that required a CO to be present to supervise and provide security. This is a rather frequent occurrence and is responsible for pulling officers from the shift and causing the hiring of overtime staff to supervise these inmates. Data provided for December 2014 through May 2015 (see table below) illustrates that 126 hours per month on average are spent supervising inmates in outside community hospitals. It must be noted that there are no security posts on the staffing plan to provide this service and, as a result, staff are reassigned from the facility roster to perform these functions, or the facility must hire staff on overtime so that the post can be filled. The overtime numbers do reflect significant overtime hiring for this purpose.

HMCC Hospital/Medical Hours	
December 2014	108
January 2015	215.05
February 2015	108.5
March 2015	220.5
April 2015	43.25
May 2015	63.25

> *Security Supervision of Inmates Admitted to Community Hospitals: Off-site medical coverage of inmates in hospitals is an ongoing issue that causes staff to the pulled from their regular assignments to provide this supervision. However, the number of hours dedicated to this function is not significant enough to warrant the assignment of posts on the staffing plan. It is more efficient to hire staff on overtime if there are no available personnel to cover these responsibilities than establish a post that would not be utilized on a regular basis. Therefore, no position is recommended for supervising inmates in outside community hospitals.*

Under the current staffing plan, POs are each assigned to a different inmate house, and their caseloads consist of all inmates assigned to that house. Therefore, when an inmate is reassigned to a different house, they then receive a different PO. This can result in additional burdens on the POs and a lack of continuity of case management for the inmates.

PO Assignments: Caseload assignments should be evaluated to ensure more continuity between the POs and the inmates. Additional factors should be considered other than where the inmate is housed.

House #1 is a high-traffic, high-turnover location, as it is the intake housing module. The PO assigned to this post is responsible for initial classification, orientation, records checks, and criminal histories, etc., for all new inmates.

PO House #1: A second PO should be assigned to house #1.

The office assistant I is a new employee that manages supplies for the office and staff equipment. She often has trouble completing her work due to helping with the mail and other duties due to staffing levels.

Administration: The staff analysis team recommends the addition of a supply tech to assist the office assistant I in managing the inventory and distribution of supplies.

The maintenance staff manages the majority of the repairs and upkeep on the multiple buildings and systems. The facility is 42 years old, and the locks have been in place for 30 years. Some projects must be contracted to outside vendors, such as maintaining the perimeter lighting. The maintenance department does not have anyone with security electronics knowledge and expertise. There are new electronics items in inventory to replace old, outdated equipment, but there is no one on staff with the ability to install the equipment.

Maintenance: Add an electronics tech to handle installation and repairs to the security electronics system.

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Superintendent	1.0	-	-	-	5	37.5	1955.25	No		1.00
Subtotal Director Posts	1.0	0.0	0.0	0.0		37.5	1955.3			1.0
Assistant Superintendent	1.0	-	-	-	5	37.5	1955.25	No		1.00
Subtotal Asst. Director Posts	1.0	0.0	0.0	0.0		37.5	1955.3			1.0
Custody Staff										
Lieutenants - CO IV										
Operations Lieutenant	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		37.5	1955.3			1.0
Sergeants - CO III										
Shift Supervisor	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
Segregation/H-2 Sergeant	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
H-5 Sergeant	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
H-1, 3, 4 Sergeant	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
Security Sergeant	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
Special Projects and Commissary	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
Administration Sergeant	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
Training Sergeant	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
Subtotal Sergeant Posts	0.0	1.0	1.0	7.0		434.0	22628.8			12.1
Correctional Officers - CO I/II										
Master Control	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
Roving Patrol	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
Rover #1	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
Rover #2	-	1.0	1.0	-	7	168	8759.52	No	1728.00	4.00

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
House - 1	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
House - 2	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
House - 3	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
House - 4	-	1.0	1.0	-	7	84	4379.76	Yes	1728.00	2.53
House -5 #1	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
House - 5 #2	-	1.0		-	7	84	4379.76	Yes	1728.00	2.53
Segregation Unit	-	1.0	1.0	-	7	168	8759.52	Yes	1728.00	5.07
Segregation Rover (ST Rover)	-	1.0	-	-	7	84	4379.76	Yes	1728.00	2.53
Visiting Rover (VR)	-	1.0	-	-	7	84	4379.76	Yes	1728.00	2.53
Admissions #1	-	1.0	-	-	7	84	4379.76	Yes	1728.00	2.53
Admissions #2	-	1.0	-	-	7	84	4379.76	Yes	1728.00	2.53
Property Officer	-	-	-	-	4	-	-	No	1728.00	0.00
Disciplinary/Special Projects	-	-	-	1.0	4	38	1981.32	No	1728.00	1.00
Medical Clinic	1.0	-	-	-	5	38	1955.25	Yes	1728.00	1.13
Subtotal Officer Posts	1.0	15.0	10.0	1.0		2176.0	113430.6			61.87
Non-Custody										
Administrative Officer I	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00
Administrative Assistant II	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00
Inmate Accounting	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00
Mail Clerk/Courier	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Payroll (Staff)	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00
Office Assistant I		-	-	1.0	4	37.5	1,955.25	No	1728.00	1.00
Supply Tech	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00
Food Service										
Food Service Manager	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Food Service Lead	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Food Service Lead	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Food Service Lead	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Maintenance										
Maintenance Lead (HVAC)	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Maintenance Journey	2.0	-	-	-	5	75.0	3910.50	No	1728.00	2.00
Electrician	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Plumber	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Electronics Tech	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Education Coordinators										
Education Coordinator	2.0	-	-	-	5	75.0	3910.50	No	1728.00	2.00
Probation Officers										
PO III (Supervisor)	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
PO House 1	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
PO House 1	1.0	-	-	-	5	37.5	1,955.25	No	1728.00	1.00
PO House 2	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
PO House 3	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
PO House 4	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
PO House 5	1.0	-	-	-	5	37.5	1955.25	No	1728.00	1.00
Subtotal Non-Custody Staff	25.0	0.0	0.0	1.0		975.0	50836.5			26.0
TOTAL	29.0	16.0	10.0	9.0		3697.0	192761.58			102.9

Ketchican

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
28	7	35	33	7	40	33	7	40

The Ketchikan Correctional Center (KCC) is located in Ketchikan, Alaska, and is a state-operated regional facility designed to hold adult sentenced and unsentenced felons and misdemeanants. KCC is a multi-level facility that is located in the southern portion of southeast Alaska. The facility provides Ketchikan and the surrounding region with pre-trial and short-term sentenced incarceration and offers a variety of education, religious, life skills, and re-entry programs.

The Ketchikan Correctional Center was opened in 1983, has a recognized maximum housing capacity of 58, and normally operates near capacity. During the first eight months of the current fiscal year, the average daily population was 58. KCC is designed to house both males and females, and on the date of the review approximately 82.5 percent of the population was male. Approximately 28 percent of the total population was reported as sentenced on the day of the interview. Staff report that 30% of the population comes from Prince of Wales Island and other surrounding communities. Inmates are transported to and from these islands to the facility by air. Access to/from major facilities is not an option unless by ferry or plane.

The physical plant consists primarily of one building that contains both inmate housing and program/support functions. The perimeter of the facility is protected by partial security fencing for a section of the building.

The program/support areas located within the facility include the following:

- Booking
- Classroom
- Kitchen and inmate dining
- Visitation
- Exercise yard

- Medical screening and exam
- Laundry
- Maintenance and garage (separate building)
- Property and records storage
- Housing units

Inmate housing is provided in four primary housing areas. The living areas within the housing units are referred to as dorms.

The primary general population housing unit is referred to as A-dorm and consists of 20 double-occupancy cells and an adjacent dayroom equipped with tables, chairs, television, telephones, book shelves and showers. All cells contain toilets, sinks and property storage. Additional smaller housing units include B-dorm (8 beds), C-dorm (6 beds) and X-dorm (15 beds). X-dorm is used to house inmates assigned to segregation and/or intake, C-dorm is used for females, and B-dorm is used for inmate workers. The booking officer is tasked with supervision of B, C, and X-dorms as well as booking duties. KCC has a maximum capacity of 58 and uses "boats" for housing when the facility census exceeds this level. KCC has accommodated as many as 81 inmates at a given time.

Housing placement is determined by both security and probation staff. Once the classification is completed, inmates are normally housed based on their security and program status. Close-custody inmates are generally housed separate from minimum-custody inmates. Females are generally housed in a separate unit from males.

Security personnel assigned to the master control post provide back-up visual security support to floor officers throughout the facility and provide electronic access into and out of the housing units. The master control post assignment is considered a mandatory post and is continuously staffed throughout the day.

During the interview, the superintendent expressed concern with the limited number of housing options available to maintain appropriate separation. The population consists of un-sentenced, sentenced, civil commitments, males, females, and various custody levels—all who present separation challenges for the small facility.

Current Staffing

There are 35 full-time equivalent staff positions authorized for the facility. This does not include medical, mental health or contractual positions. The administrative core positions include a facility superintendent, CO IV, adult PO II, administrative officer I, and a CJT. The shift commander positions are normally filled by a sergeant (CO III), and key department lead positions include a security sergeant, records sergeant, food service lead, and maintenance journeyman.

On the date of the review, all of the authorized administrative and lead positions were filled. The only vacant position was found in the CO I/II positions (one vacancy). This position has been vacant since January 2015. There were a total of 19 CO I/II positions filled, representing 95 percent of the authorized level.

Administrative personnel reported staff turnover is normally not a significant issue at KCC. The current unfilled position has been vacant since January 2015.

Facility administrative staff reported that current security and non-security authorized staffing levels have been approved by central office personnel in conjunction with discussions with staff assigned to the facility at the time the review was completed. A total of 35 positions, excluding medical, mental health and contractual have been authorized for the Ketchikan Correctional Center including the following positions:

- Superintendent (1)
- CO IV (1)
- Administrative officer I (1)
- Adult PO II (1)
- CO III (6)
- CO I/II (20)
- Non-Custody (5)

Facility staff report concerns regarding the impact of staff shortages have on the facility, the amount of time it takes to fill a vacancy, access to training, and insufficient number of trained female staff on shift. In view of the limited number of staff that work at the facility and the

requirement to operate on a 24-hour basis, every position is required to be filled and serves a vital role in meeting the mission of the facility. A single vacancy at KCC due to its size of and limited number of staff has a great impact on overall operations. As a result, facility managers find it difficult to deviate from covering minimum post coverage in order to accomplish necessary additional functions such as providing adequate training to all staff members and conducting pro-active non-routine security initiatives.

The CJT serves as the primary clerical/administrative support position at the facility and is responsible oversight of the electronic monitoring program. There are no authorized office assistant or accounting clerk positions assigned to the facility.

There are two food service positions authorized and assigned to the facility. Each position is scheduled to work 37.5 hours per week. One staff member is assigned to work from 0400-1200 and one is assigned to work from 0600-1400. Scheduled regular days off normally allow for seven-day coverage.

A concern at the Ketchikan Correctional Center stems from the fact that both male and female offenders are housed at the facility. Security procedures require qualified female staff to conduct search and shakedown procedures on female inmates. On the date of the site visit there were three female CO I/IIs assigned to the facility. One shift has no female officer. When unscheduled call-ins occur or female staff have approved time off, qualified female supervisory staff, if available, are required to conduct the search or staff are called-in at an overtime rate. Shift scheduling is also complicated by the ongoing need for certified booking officers and prisoner transportation officers.

Roster Management/Scheduling/Minimum Staffing

Roster management and staff scheduling at KCC are considered critical elements of the daily operation of the facility. Roster management for security positions and scheduling duties are performed primarily by the administrative officer in concert with the lieutenant and shift commanders. Non-security scheduling is completed by the appropriate lead staff member for each area.

A master roster for security personnel has been developed that identifies the personnel assigned to each shift and their position classification. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day, hours of coverage, shift, and when applicable, if the staff person was temporarily assigned or working overtime and the reason why.

A review of one month of daily shift rosters from April 2015 revealed there were always at least four CO I/IIs assigned to the facility and one CO III (or CO II serving in an acting supervisor capacity) assigned as the supervisor.

When operating at a minimum staffing level there is very little room for flexibility and oftentimes post responsibilities for non-mandatory post assignments are not met.

At the KCC, basic roster management elements consisting of identifying post assignments by shift, establishing post orders, balancing staff scheduling based on workload and activity schedules, providing relief as needed, and staff accountability are in place. The existing roster management system provides accountability and reflects the initial deployment of security personnel based on meeting "minimum staffing" levels as identified in the authorized staffing plan.

In respect to security positions, a detailed, one-page illustrated plan entitled "Ketchikan Staffing Plan," dated May 2015 was provided for review. The plan identified approved security post assignments, the frequency the post was required to be filled, and whether the post required relief or not. In addition, recognized bed space capacities and minimum staffing levels were established and identified for various times during the day. The non-custody assignments were not identified in the plan.

Current staffing practices appear to be similar to what has been outlined in the May 2015 plan:

- The current central office authorized security staff plan identifies 28.5 security positions required when applying a relief factor to select security post assignments. The budgeted number of security positions authorized for the facility is 27. The difference between the authorized plan and the budgeted level is in the number of sergeants and officers. The plan requires 7 sergeants, and 6 sergeant positions have been budgeted. The number of CO I/IIs in the plan requires 20.5, and 20 are budgeted. Not a significant difference; however, when vacancies are taken into consideration, including one CO I/II, the difference can impact operational requirements. There were a total of 19 CO I/IIs assigned to the facility on the date of the interview, and the authorized staffing plan required 20.5 CO I/IIs.

- The post assignments authorized for line staff officers according to the May 2015 central staffing plan includes one 24/7 master control post, a 24/7 A-dorm post, 24/7 rover, and 24/7 booking post. This requires a minimum of 20.5 officers to meet

the minimum staffing requirements. 19 officers were assigned on the date of the interview, and the one unfilled position had been vacant since January 2015.

The facility continues to operate at a minimum staffing level in respect to the CO I/II positions. These staffing levels are defined as follows:

- 0600-1800 = 5 CO I/IIs
- 1800-0600 = 4-5 CO I/IIs

Operating at a baseline minimum level provides little opportunity for flexibility. When unexpected additional responsibilities are required to be met, i.e. inmate transport, outside medical trips, the shortage in staff only increases. If there are any vacancies, facility management has to determine how to best address the requirements to operate the facility. Unscheduled staff may have to be contacted to work at an overtime rate, post assignment responsibilities may have to be absorbed by staff already filling other post assignments, staff in alternative position classifications may be required to fill post assignments outside their classification, or services and/or scheduled program activities may have to be temporarily closed.

Current staffing levels reflect the largest number of vacant authorized positions is found in the CO I/II position. On the date of the site visit there were four CO I/II vacancies. Spread out over four primary shifts, each shift is operating at one position short of the minimum required. Delays in filling a position are often the result of applicants not passing either the psychological or medical exam, rendering a need to repost the recruitment because the timeframes for the recruitment pool have expired.

The facility is also affected by Title 47 holds. The booking area lacks 24-hour medical coverage, so COs must often perform the duties normally assigned to medical staff during the hours no medical staff is present. This includes detoxification monitoring, medication distribution, blood pressure checks, and assisting with diabetic monitoring. When a Title 47 hold is accepted at the facility, the booking officer is responsible for oversight in addition to his/her duties related to intake of new remands and monitoring of the intake unit.

Work Schedule/Responsibilities. At KCC there are a total of three security positions that are not normally scheduled to work the 12-hour shift schedule. This includes the operations lieutenant, records/discipline/property sergeant and security/standards/training sergeant. The two sergeants are assigned to a 42-hour work week and the operations lieutenant is assigned to a 37.5-hour work week.

Administrative Positions. Staff assigned to administrative positions are scheduled to work 37.5 hours over a five-day work week. Based on the nature of the position responsibilities it is not uncommon for staff assigned to these positions to work well in excess of 37.5 hours per week.

Lead Positions. The shift commander positions are normally filled by a CO III, which is commonly referred to as a sergeant. The sergeant serving as the shift commander is scheduled to work 84 hours every other week. They work seven consecutive 12-hour shifts followed by seven days off. There are four sergeants, two of which are scheduled to work from 0600-1800 hours, and two are scheduled to work from 1800-0600. The shift commander routinely is present well before their scheduled starting times.

In addition to the shift commander positions as noted above, there is one sergeant assigned to a "security" position scheduled to work 42 hours over a period of five days and one sergeant assigned to a "records " position also scheduled to work 42 hours in a five-day work period. The focus of these positions is to address specialized security-related functions at the facility. Each of the positions appears essential based on established post responsibilities. The two sergeants assigned to the 42-hour work schedule are trained as prisoner transport officers (PTOs) and assist when needed.

The remaining lead positions include non-custody positions scheduled to work a 37.5-hour weekly schedule. Starting and finishing times for lead positions may vary to meet operational activity requirements.

Security Line Staff. CO I/IIs are primarily scheduled to work seven consecutive 12-hour days followed by seven days off. Normal starting and finishing times are either 0600-1800 or 1800-0600. The staff alternate work weeks to ensure 12-hour post coverage seven days per week.

Key post assignments include master control, booking officer, main housing unit officer and roving officer. With the exception of the master control post assignment, a great deal of flexibility is placed on the remaining three floor positions to meet operational requirements. KCC is consistent with nationally recognized best practices, as the facility provides staffing on a continuous basis in critical posts such as master control and mandates security personnel to be assigned to the housing unit areas.

The number of line posts filled varies based on the shift; however normally, a minimum of five line staff are assigned during the day shift (0600-1800) and at least four are assigned on the

night shift (1800-0600). The night shift routinely has at least five line staff scheduled, however will operate with four when staff are unable to fill a post.

When medical or court-related transfers are required, staff are routinely pulled from the upper roving position or a 42-hour sergeant post to meet operational responsibilities.

Non-Security Line Staff. Non-security line staff positions are scheduled to work 37.5 hours over five days each week. Most staff work Monday through Friday; however, there are staff assigned to alternative work days and hours to meet specific activity level requirements. Non-security staff is assigned to a variety of areas including primarily the following:

- Administrative support (human resources, timekeeping, payroll, procurement, invoicing, mail processing, accounting, information technology, commissary, warehouse and clerical)
- Food services
- Facility maintenance
- Inmate case management
- Education

Non-security positions serve a critical need in meeting operational requirements, as the responsibilities involved are required to be met to operate the facility. If non-custody personnel were not available, the responsibilities would have to be met by security personnel working outside their position classification.

Staffing Recommendations

Relief Factor: The DOC should adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is acceptable corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is questionable practice and can result in compromising institutional security and increasing potential liability. For example, not staffing housing units in a relatively open institution in the evenings can result in disruptive behavior and violence that is more likely to

occur when staff are not in the vicinity. Providing adequate relief will require adding five COs to the staffing plan.

Post/Position	8-Hr Day Shift	12-Hr Day Shift	12-Hr Night Shift	10-Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	Rounded FTEs
Superintendent	1.0	-	-	-	5	37.50		No		1.00	
Subtotal Superintendent Posts	1.0	0.0	0.0	0.0		37.50				1.0	1
Custody Staff											
Lieutenants - CO IV											
Chief of Operations (lieutenant)	1.0	-	-	-	5	37.50		No		1.0	
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		37.50				1.0	1
Sergeants - CO III											
Post 7	1.0	1.0	1.0	-	7	168.00	8759.5	Yes	1776.0	4.9	
Records Sergeant	1.0	-	-	-	5	42.00		No		1.0	
Security Sergeant	1.0	-	-	-	5	42.00		No		1.0	
Subtotal Sergeant Posts	3.0	1.0	1.0	0.0		252.0	8759.5			6.9	7
Correctional Officers - CO I/II											
Post 1	-	1.0	1.0	-	7	168.00	8759.52	Yes	1776.0	4.9	
Post 2	-	1.0	1.0	-	7	168.00	8759.52	Yes	1776.0	4.9	
Post 3	-	1.0	1.0	-	7	168.00	8759.52	No	1776.0	4.0	
Post 4	-	1.0	1.0	-	7	168.00	8759.52	Yes	1776.0	4.9	
Post 5	-	1.0	1.0	-	7	168.00	8759.52	Yes	1776.0	4.9	
Subtotal Officer Posts	0.0	5.0	5.0	0.0		840	43797.6			23.7	24
Subtotal Custody Posts	4.0	6.0	6.0	0.0		1129.5	52557.12			32.7	33
Non-Custody											
Administrative Officer I	1.0	-	-	-	5	37.50	-			1	
Adult PO II	1.0	-	-	-	5	37.50	-			1	

Post/Position	8-Hr Day Shift	12-Hr Day Shift	12-Hr Night Shift	10-Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs	Rounded FTEs
Education Coordinator	1.0	-	-	-	5	37.50	-			1	
CJT I	1.0	-	-	-	5	37.50	-			1	
Food Service Lead	1.0	-	-	-	5	37.50	-			1	
Food Service Foreman	1.0	-	-	-	5	37.50	-			1	
Maintenance Generalist Journey	1.0	-	-	-	5	37.50	-			1	
Subtotal Non-Custody Posts	7.0	0.0	0.0	0.0		262.5	0.00			7	7
TOTAL	12.0	6.0	6.0	0.0		1429.5	140152.12				40

Lemon Creek Correctional Center

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
55	19	74	60	19	79	66	22	88

The Lemon Creek Correctional Center (LCCC) is located in Juneau, Alaska and houses adult sentenced and un-sentenced felons and misdemeanants. The facility houses all classification levels of inmates, contains a significant female population, and hosts a significant sex offender treatment program. LCCC opened in 1969 and has a maximum housing capacity of 232, of which 36 beds are dedicated to the female population. The facility normally operates at or near capacity.

Inmate housing, booking, and the clinic are located on the first floor of the facility, with program staff offices and dietary services on the second floor. The perimeter of the facility is protected by security fencing surrounding the building and a tower which staffed on an intermittent basis.

Inmate housing is provided in eight primary housing areas. The primary general population housing unit are E/F-dorm (48 beds), G-dorm (26 beds), H-dorm (18 beds), J-dorm (16 beds), I-dorm (8 beds), the female offender tent (20 beds), B/D module (52 beds), and A/C module (52 beds). The facility utilizes indirect supervision, with officers making regular rounds to monitor inmate activity within the housing units.

Housing placement is determined by both security and probation staff. Once the classification is completed inmates are normally housed based on their security and program status. Close-custody inmates are generally housed separate from minimum-custody inmates. Females are housed in a separate unit from males.

Current Staffing

There are 74 FTE staff positions authorized for the facility. This does not include medical, mental health, or contractual positions. The administrative core positions include a facility superintendent, assistant superintendent, lieutenant (CO IV), adult PO III, and an administrative officer I. The shift commander positions are normally filled by a sergeant (CO III) and key department lead positions including a training sergeant, records sergeant, property/discipline sergeant, a food service foreman and a maintenance foreman.

On the date of the review, all of the authorized administrative and lead positions were filled. The facility had four vacant CO positions that they were in the process of filling.

Authorized staffing for LCCC includes the following positions:

- Superintendent (1)
- Assistant superintendent (1)
- CO IV (1)
- Administrative officer I (1)
- Adult PO III (1)
- CO III (7)
- CO I/II (40)
- Adult PO I/II (3)
- CJT I/II (2)
- Maintenance (5)
- Food service (3)
- Education coordinator (2)
- Correctional industry production manager (1)
- Office assistant (1)
- Supply tech (1)

Roster Management/Scheduling/Minimum Staffing

Roster management and staff scheduling at LCCC are considered critical elements of the daily operation of the facility. A master roster for security personnel has been developed that identifies the personnel assigned to each shift and their position classification. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day, hours of coverage, shift, and (when applicable) if the staff person was temporarily assigned or working overtime and the reason why.

Minimum staffing levels call for nine officers on day shift and eight officers on the night shift. These mandatory posts on day shift include:

- Shift supervisor/booking sergeant
- Booking
- Post 2 - North hallway (supervises E-dorm, F-dorm, and the gym)
- Post 3 – Mods officer (supervises A, B, C, and D mods)
- Post 4 – South hallway (supervises G-, H-, J-, and I-dorms, tent, and the clinic)
- Post 5 – 2nd floor dining hall and hobby shop (this post is closed on night shift)
- Main control
- Max officer – Ad seg and control unit
- Perimeter patrol

These posts are staffed 24/7 and require relief. With relief, maintaining minimum required staffing requires 42 COs. Additional posts at the facility that do not require relief, or may be filled on a periodic basis if staff are available, include lobby/visiting, recreation, work crew, A-tower, and laundry.

When operating at a minimum staffing level there is very little room for flexibility, and often post responsibilities for non-mandatory post assignments cannot be met. When unexpected additional responsibilities are required to be met (i.e. inmate transport, outside medical trips), the shortage in staff only increases. If there are any vacancies, facility management has to determine how to best address the requirements to operate the facility. Unscheduled staff may have to be contacted to work at an overtime rate, post assignment responsibilities may have to be absorbed by staff already filling other post assignments, staff in alternative position classifications may be required to fill post assignments outside their classification or services and/or scheduled program activities have to be temporarily closed.

Moreover, the operational responsibilities required under minimum staffing levels are very demanding. For example, the mods officer supervises over 100 inmates, and the post 4 officer supervises five different housing units over a large area. Operating a 232-bed facility with nine housing units (including females and all classifications of offenders) with eight

officers pushes the limits of acceptable security supervision. At minimum, it is absolutely essential that adequate relief staff be provided to assure that these minimum levels of staff coverage can be maintained.

In addition, the non-security positions serve a critical need in meeting operational requirements, as the responsibilities involved are required to be met to operate the facility. If non-custody personnel were not available, the responsibilities would have to be met by security personnel working outside their position classification.

The LCCC staffing plan addresses the security needs of the facility. Post locations, although stretched thin, provide basic coverage of key areas throughout the facility. However, the staffing plan provides nothing more than minimum coverage. Staff absences, filling in for breaks or vacancies can create serious operational issues and necessitate ongoing reliance on overtime to meet operational responsibilities.

Hiring for vacant positions is an issue due to the location of the facility and the limited pool of potential employees. The length of the hiring process and the high number of failures relating to the psychological exams also make filling vacancies difficult. The facility also houses Title 47 inmates which require suicide precautions. This results in an officer being called in off of shift to cover the security needs relating to the inmate. Ongoing medical transports also place a strain on staff resources.

Staffing Recommendations

Relief: The DOC should adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is acceptable corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is questionable practice and can result in compromising institutional security and increasing potential liability. Providing adequate relief adds five additional COs to the facility's staff count.

Long-Term Staffing Recommendations

Rover Post: An additional 24/7 rover post to support A, B, C, and D mods, E-dorm and F-dorm, and ad seg would provide valuable operational backup to the largest concentration of inmates in the facility. This would require an additional 4.88 FTEs.

Sex Offender Treatment: The facility's sex offender treatment program is provided by a counselor in a separate building with no security supervision. The facility has space and offenders to double the size of the program. However, this level of population requires CO supervision. Adding this post on the day shift would provide this coverage. When treatment is not being provided, the CO would be available to supplement security coverage and non-mandatory duties throughout the facility.

Post/Position	8-Hr Days	12-Hr Days	12-Hr Nights	10-Hr Days	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Tot FTE
Superintendent	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Subtotal Director Posts:	1.0	0.0	0.0	0.0		40.0	1794.00			1.
Assistant Superintendent	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Subtotal Asst. Director Posts:	1.0	0.0	0.0	0.0		40.0	1794.00			1.
Custody Staff										
Lieutenants - CO IV										
Operations Lt	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Subtotal Lieutenant Posts:	1.0	0.0	0.0	0.0		40.0	1794.00			1.
Sergeants - CO III										
Shift Supervisor	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Standards Sgt.	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Training Sergeant	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Records Sergeant	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Subtotal Sergeant Posts:	3.0	1.0	1.0	0.0		288.0	14141.52			7.
Correctional Officers - CO I/II										
Master Control	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
North Hallway	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Post 3 - Mods	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
South Hallway	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Dining	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Control	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Ad Seg	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Perimeter	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Laundry	1.0	-	-	-	5	42	2189.88	Yes	1794.00	1.2
Lobby	-	-	-	-	7	28	1459.92	No	1794.00	0.0
Recreation	-	1.0	-	-	7	84	4379.76	No	1794.00	2.0
Work Crew	1.0	-	-	-	5	42	2189.88	No	1794.00	1.0

A Tower	1.0	-	-	-	5	42	2189.88	No	1794.00	1.0
Booking Officer	-	1.0	1.0	-	7	168	8759.52	Yes	1794.00	4.8
Subtotal Custody Posts:	3.0	10.0	9.0	0.0		1750.0	91245.0			49.
Non-Custody										
Admin Manager	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Office Assistant	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Maintenance Foreman	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Maintenance Specialist	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Maintenance Generalist	3.0	-	-	-	5	40	5382.00	No	1794.00	3.0
Food Service Foreman	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Food Service Lead	2.0	-	-	-	5	40	3588.00	No	1794.00	2.0
Supply Tech	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Program Supervisor	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
PO	3.0	-	-	-	5	40	5382.00	No	1794.00	3.0
Prison Industries Manager	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
CJT II	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
CJT II	1.0	-	-	-	5	40	1794.00	No	1794.00	1.0
Education Coordinator	2.0	-	-	-	5	40	3588.00	No	1794.00	2.0
Subtotal Non-Custody	20.0	0.0	0.0	0.0		560.0	35880.0			20.
TOTAL	29.0	11.0	10.0	0.0		2718.0	146678.5			80.

Mat-Su Pre-Trial Facility

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
29	7	36	39	7	46	40	8	48

The Mat-Su Pre-Trial Facility houses inmates held in pre-trial status while awaiting court appearances and adjudication of their charges. The facility was constructed in 1987 and is the main facility housing pre-trial inmates arrested in the Mat Su borough, which is a landmass roughly the size of the state of West Virginia. There has been significant population growth in this section of the state and, as a result, this facility has insufficient capacity to manage all the pre-trial inmates, many of whom now reside in the Goose Creek Correctional Center and Hiland Mountain Correctional Center. The facility is operated as a close custody unit because it holds inmates awaiting trial on serious felonies as well as misdemeanors. It holds primarily male inmates, but there is a small female unit within the facility as well.

The facility is somewhat bifurcated, in that the main jail facility contains a secure pedestrian sallyport for entry into the facility as well as a vehicle sallyport for vehicle deliveries. Contained within the main structure is a secure Master Control Room that operates the majority of the security doors in the facility, including cell doors within the living units. The master control sits at the center of a rotunda surrounded by a secure corridor and living units that are accessed from the secure corridor through security doors.

This is an indirect supervision facility where officers make periodic security rounds of the living units at 30 or 45 minute intervals, but mainly communicate with inmates separated by security barriers. Inmates can communicate with the master control through an intercom system. The main building also contains an administrative area where the superintendent and administrative staff offices are located. Also contained in the main building are offices occupied by the operations lieutenant, five day sergeants, the PO, the education coordinator, and maintenance supervisor. The kitchen facility is also located in this main building. A program area and library, where inmates are allowed to attend programs and study, is also located adjacent to the rotunda.

The booking or admissions area located in a different building at a considerable distance from the main rotunda that is accessed through a secure pedestrian walkway connects the buildings. This is where newly admitted inmates are received and processed. There are three holdings cells in the booking area that can hold between 6 and 10 inmates each. There is also a secure cage that is used to hold newly admitted prisoners while they await processing. A secure control room is located in the booking area and security doors, including the vehicle

sallyport, are controlled from here. Inmates are received at this institution through the booking vehicle sallyport and are processed and searched by the booking officer. Large buses enter through the sallyport in the main building because the booking sallyport is too small to accommodate them. Inmates are then placed in one of the holding cells until a determination is made on their placement within the main facility.

Inmates are then placed in the intake unit, Echo mod, which contains 10 double-occupancy cells, for a total of 20 inmates. Units A, B, and C are identical double-occupancy 8-cell units that can house up to 16 inmates. D-unit is a segregation unit containing 8 cells, also double-occupancy, for a total of 16 inmates. A small dorm, F-unit, houses six inmates, three to a room, and there are two rooms. C-unit (previously the gymnasium), now houses female inmates, and there are 16 bunks in this open dormitory.

Although the facility is a pre-trial unit, there are a number of program services offered and coordinated by the education coordinator. These programs include GED testing, Criminal Attitudes, anger management, and parenting.

The maximum capacity of the facility is 102 inmates, although the facility was originally designed to house 85 inmates. The facility has an emergency capacity of 140 inmates, but has held as many as 160 inmates, those being held to appear in court. When the census exceeds 102, inmates are placed on plastic shells known as "boats" on the floor. On June 8, 2015, the facility census was 86 inmates.

Current Staffing

There are 36 positions (PCN) assigned to the institution. Of those, 28 are security positions and 8 are designated as support positions. With regard to the security positions, one position is a CO IV (lieutenant), 7 are CO III (sergeants) positions and 20 are a combination CO II and I positions. One of the CO positions was vacant on June 12, 2015, when this study was conducted. It should be noted that the superintendent position is vacant following the retirement of the previous superintendent. At the present time, the superintendent of the Palmer Correctional Center is responsible for managing the facility. Key Palmer staff are managing some of the responsibilities related to Mat-Su at this time. It should be noted that the Palmer Correctional Center's assistant superintendent has supervisory oversight of the daily facility operations.

The following civilian staff provides services at the institution. The administration officer I is responsible for facility finances and accounting. The position is also responsible for supervising food services, facility maintenance, and supplies. He is supported by an

accounting clerk that answers telephone calls and keeps track of inmate financial accounts. The clerk also manages inmate finances and makes deposits into the bank, in addition to other administrative duties.

A maintenance specialist is responsible for maintaining all institution buildings. The facility was constructed in 1987, and there are numerous physical plant problems that the maintenance specialist is responsible for addressing and repairing. In addition, the maintenance specialist is also responsible for tool control and that function is in need of attention; however, the incumbent maintenance specialist has only recently been hired and is attempting to address the issue.

Management of the kitchen and food services is the responsibility of the food service foreman. The foreman is assisted by a food service worker, and they plan and prepare the meals. Having two staff available doesn't allow for coverage by a food service worker in the kitchen at all times, and at times the inmates are left alone in the kitchen to prepare the meals without being directly supervised.

A PO II is responsible for facility classification of inmates, preparing transfer lists, conducting administrative segregation hearings every 30 days, performing time accounting, and managing other case management and counseling functions. One education coordinator is responsible for supervising the inmate library and coordinating inmate programming as well as conducting educational and program classes.

The majority of the security staff works seven 12-hour shifts every other week. This affords them with a full seven days off before they return to duty and work seven days before their next set of days off. These staff work 84 hours each pay period. 12-hour shifts operate from 0600 to 1800 and 1800 to 0600, although one CO works from 0800 to 2000. There are four teams of employees that constitute the shifts, two for the day shift and two for the night shift. There is no paid briefing time for staff to pass on information from shift to shift. There are a number of different shift patterns employees work at the facility as follows:

- Administration – Monday – Friday, 37.5-hour work week (includes PO)
- Operations lieutenant - Monday – Friday, 37.5-hour work week
- Shift sergeants – 84 hours per pay period, seven days on and seven days off
- Support sergeants – Five days - 42-hour work week

Supervisor Assignments. As noted previously, the facility is designed to be managed by a superintendent. There is no assistant superintendent position assigned. However, Palmer Correctional Center's assistant has been assigned to the facility. The previous superintendent retired recently and the facility is currently being managed by the Palmer Correctional Center Superintendent, assisted by her key staff. Day-to-day operations are managed by the operations lieutenant.

Each security shift is supervised by a sergeant and there are four positions assigned to the shift teams. There is no relief position to cover for these sergeants when they are discharging benefit leave, and either an available 42-hour sergeant is reassigned to supervise the shift, a sergeant is hired on overtime, or a senior CO performs the duties of shift supervisor in the sergeant's absence. There are three sergeants that work five days per week that have specialized assignments. The records sergeant is responsible for maintaining inmate records and performing time accounting functions (sentence calculations). A disciplinary/standards sergeant manages the inmate grievance system and compliance with policy and procedures. The security sergeant is responsible for facility training, inspections, and intelligence gathering. The sergeant is also a liaison with outside law enforcement. This sergeant coordinates all training for the facility.

Pre-service training includes a 40-hour orientation program for most correctional employees, as well as a Field Training (FTO) program, which provides structured on-the-job training for new employees. COs also attend a six-week correctional academy program at some point during their first year of employment. In-service training includes required curriculum, with a goal of training each employee 40 hours per year. Current practice does not achieve the 40 hour goal due to staffing shortages.

Both the disciplinary/standards and security sergeant are also prisoner transportation officers (PTO) and assist with transporting inmates off site. All of the 42-hour sergeants pitch in and work shift posts when the facility is short staffed.

CO Assignments. As noted previously, the facility operates as an "indirect supervision" jail operation, in which COs observe inmates from behind security barriers except when conducting counts and security checks inside the housing unit. There are no house officers, but instead rovers supervise housing unit operations.

Inmates are received in the booking area. There are two COs assigned to this responsibility, and the posts are covered 24/7. These officers are responsible for controlling ingress and egress into the institution, maintaining the inmate records, processing new admissions, and ensuring that all legal paperwork is in order. These staff are also responsible for processing

bails, developing the court list, preparing inmates for court, and processing inmate property. One of the booking officers is stationed inside the secure control room and the second officer works the floor processing inmates in and out of the institution, ensuring that meals are served and conducting security rounds and wellness checks of the holding area and Echo module.

Master control controls ingress and egress into the main building of the facility. Additional duties include monitoring emergency systems, answering outside telephone calls, monitoring video feed from the facility and housing units, monitoring radio transmissions, and coordinating facility movement. This is a "hard" post, meaning it is manned at all times. Staffing levels within the facility make it difficult to relieve this officer for meal and rest breaks.

There are two housing rover positions in the staffing plan. These rovers are responsible for a multitude of duties. The rover processes visitors and conducts security and wellness checks of the housing units (which there are six units that the rovers are responsible for). General population units need to be toured once every 45 minutes and the Delta segregation unit once every 30 minutes. Rovers also conduct building security checks at least twice per shift. Post Orders indicate that the rovers should also make frequent and unscheduled security checks of the housing units. Although there are two rovers listed on the staffing plan, staffing shortages often result in only one rover position being filled, as was the case on June 12, 2015, when this study was conducted.

In all, there are five posts listed on the staffing plan for this facility, including the shift supervisor. When all these posts are staffed there is a shift supervisor in charge of the shift, two officers in the booking area, one in master control, and two rovers. This is a relatively lean staffing plan to supervise a 100+ bed facility, especially given the fact that two of those officers are located at quite some distance from the main facility and typically cannot assist supervising the main facility cellblocks. When factoring those officers out of the equation there are three officers remaining to supervise 90 inmates, one of which is in a hard post in master control and cannot leave the control center for any reason. This results in two officers supervising six housing units. It should be noted that one of the day shift posts works from 0800 to 2000 hours, which results in a single rover being available for the first two hours of the shift. This results in reduced coverage during the first two hours of the day shift, with only five officers to operate the shift in the best of circumstances. This becomes more problematic when there is only one rover posted on a given day, which is often the case when minimum staffing levels are adhered to.

Roster Management/Scheduling/Minimum Staffing

Roster management and scheduling duties are performed by the operations lieutenant. Deployment of security personnel is restricted due to "minimum staffing" levels that are established and mandated by facility and department management. Minimum staffing does not necessarily account for job tasks and responsibilities, but is more driven by vacancies and limited staff availability. Minimum staffing levels do not include administrative personnel or the 42-hour sergeants. Minimum staffing levels are as follows:

- Day shift (0600 to 1800) = Five total security staff (one is scheduled from 0800 to 2000)
- Evening shift (1800 to 0600) = Four total security staff

The impact of operating at minimum staffing levels is significant. For example, the day shift roster lists six positions on the daily roster. Often one of those positions is not filled. A review of the staffing plan and discussions with staff revealed that the second rover post is seldom filled because of insufficient staffing, and whenever there is an unanticipated event (such as a medical trip), a post has to be closed so the officer can take the inmate to the medical appointment. The same number of positions is listed on the night shift roster; however, there are times when the staffing is reduced to four COs to operate the institution during the evenings. This is particularly problematic, in that there are no administrators or 42-hour sergeants available to assist. This is a very low staffing level that results in no staff being available to relieve officers for their rest/meal breaks, leaving only one or two staff to respond to emergency calls. It is apparent that when staffing levels are reduced to the point where there is only one rover in the main institution to supervise the housing units, security checks cannot be conducted as required in the post orders, as there just is not sufficient time available to make those rounds/checks and perform other duties of the position. Minimum staffing has also caused the facility administrators to cancel outdoor recreation for inmates quite frequently, as there is no officer available to supervise the inmates when they are in the recreation area.

The shortage of personnel exists due a CO (PCN) vacancy, staff discharging benefit leave, which exceeds the level allowed utilizing the existing relief factor and staff being away at the training academy for their basic training. Outside hospital supervision of inmates by correctional staff is also required for the first three days an inmate is in a community hospital, and this requires the assignment of at least one CO.

Special Issues

There are a number of issues and problems that adversely impact executing the facility staffing plan as it is designed and filling all critical posts.

Staff Vacancies/Academy Training. There is currently one CO vacancy and ongoing turnover of personnel. The hiring process as it was described can take up to four months from the date of application to the actual hiring date. Once the officer is hired, he/she is unavailable for three weeks of on-site training and later on for six additional weeks for DOC academy training. These vacancies and hiring process delays, as well as job time lost due to training, are also not factored into the relief factor and positions are not funded to fill the void created by these vacancies.

Shift Commander/Supervisor Posts. The shift commander sergeant position is the uniform commander of the institution and is often first in command when administrative staff is off duty, usually on weekends and in the evenings. On each of the four operating shifts there is one sergeant assigned. There is no relief factor built in, so that when the shift sergeant is on vacation or on some form of benefit leave, a 42-hour sergeant takes over as the shift supervisor or a senior CO is assigned as shift supervisor. There is a shortage of sergeants available to step up to take on the role of shift supervisor. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster.

Minimum Staffing/Impact on Security. Posts are not being filled on a regular basis because of lack of staff to fill them. As a result, minimum staffing levels have been established that are lower than what is required by the staffing plan. This typically results in rover #2 not being staffed to assist with daily operations. When the second post is not filled, there is only one available housing rover to respond to disturbances as the first responder, as well as to cover for meal and break relief for other officers.

The most significant issue identified as it relates to minimum staffing is on the night shift between the hours of 1800 and 0600 hours. During that time, staffing levels are often reduced to four officers, including the shift commander sergeant. Management is not authorized to hire staff on overtime above four officers to staff the institution. When there are four officers, the single rover is burdened and must conduct security rounds and welfare checks of the housing units. It takes a minimum of five officers (including the shift supervisor) to ensure that all critical posts are staffed on the night shift.

Numerous staff interviewed during the course of this study expressed concern about the level of security available when minimum staffing levels are adhered to, especially on the night shift

when there are no administrative 42-hour sergeants available in the institution to assist. A review of past staffing levels and minimum staffing requirements leads this reviewer to a similar conclusion that operating at minimum staffing levels without adjusting those levels to ensure safe and secure operations is a practice fraught with risk. Command staff should be afforded more flexibility to staff posts based on workload and job requirements. Additionally, staffing levels should be at proper levels to ensure that first and second level responses to emergencies are adequate to ensure staff and inmate safety. At a minimum, staffing should include the shift supervisor, two booking officers, master control, and two rovers.

Insufficient Relief Factor: It is apparent that there are insufficient staff available to properly staff the existing staffing plan. Some of this is due to a CO vacancy, training, and off-site hospital coverage, but more significantly, the problem relates to not accounting for accurate leave data that needs to be incorporated into the relief factor analysis in order to allow for sufficient personnel to meet the staffing needs. This will be addressed in our staffing recommendations.

Staffing Recommendations

The Mat Su Pre-trial "Staffing Plan" is a bare bones plan that provides limited coverage within the institution, utilizing the principle of indirect supervision. Indirect supervision is characterized by staff supervising inmates from behind security barriers, having limited contact with the inmates. When the facility is fully staffed per the staffing plan, there are sufficient staff to manage the indirect supervision operation, although indirect supervision does reduce staff's ability to monitor inmate conduct and gauge tension levels. The situation is exacerbated by adherence to minimum staffing levels, which further reduces staff's ability to supervise inmates because they are distracted by other duties that take them away from focusing on inmate management.

> *Relief Factor: The DOC should adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need elsewhere is acceptable corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is questionable practice and can result in compromising institutional security and increasing potential liability. For example, not staffing the rover position reduces inmate supervision, does not allow for relieving officers for their breaks, and reduces the response force during an emergency call. Providing adequate relief will three officers to the staffing plan.*

Sergeant positions have been established and funded to supervise the jail operations. These sergeants are deployed on each of the four 12-hour shifts at the facility. The positions are not scheduled for relief; therefore, when a sergeant is discharging benefit leave, a CO likely acts as the relief for the shift commander, especially on nights and weekends.

> *Shift commander/Staff Supervision: The shift commander/sergeant position should be funded with relief to ensure 24/7 staffing of the post. This would ensure that a command position is available to manage day-to-day operations in this very active jail facility.*

There are two rover positions listed on the roster. One post is usually staffed and that post is important to ensure there is coverage and supervision of the inmate living areas. Rovers have significant responsibilities conducting security/welfare checks of the inmates (at a minimum every 45 minutes), processing visitors into the institution, conducting searches, escorting inmates between booking and the main building, and responding to emergencies. The

second rover is not part of the minimum staffing and is only staffed when a "surplus" of officers is available above minimum staffing levels. In essence, this post is considered nonessential and, as a result, is frequently not staffed.

> *Rover Posts: Both rover positions should be staffed at all times and be considered minimum staffing level posts. This will provide proper relief and backup to allow for an adequate response to emergencies, supervise the inmate living areas and provide a staff member to handle unscheduled activities that occur frequently in the correctional environment. These are clearly critical posts and should be funded and staffed.*

As indicated previously, this is an indirect supervision operation, where inmates are only periodically checked on to monitor their behavior and well-being. This facility houses a wide array of inmate classifications, including those awaiting trial for low-level, as well as serious, crimes. A number of inmates are involved in gang activity as well as illicit activity that should be monitored closely. This facility also has a segregation unit where inmates are observed once every 30 minutes, time permitting. It is recommended that one housing unit be supervised as a direct supervision unit to house more difficult inmates and be staffed 24/7. Facility leaders agree with this recommendation and believe that inmate management at Mat Su Pre-trial will be enhanced by the addition of this post.

> *Housing #1: Housing #1 post should be established and staffed 24/7. The presence of a difficult to manage population in this facility justifies having one unit set aside for direct supervision of the inmates.*

The kitchen is supervised by a lead foreman assisted by a food service worker. Kitchen operations typically cover a 10-hour period, seven days per week. In order to have a staff member present in the kitchen during preparation and food delivery, a minimum of three staff covering 10 hours/day is required with some relief built into the plan. The availability of only two staff (as is the current case) results in inmates preparing and delivering meals unsupervised during certain portions of the week. It is understood that this is a relatively small facility and dedicating three staff members to food service is rather expensive; however, it is undesirable to have inmates working in the kitchen unsupervised by kitchen workers or COs, and there are no CO posts available to supervise the kitchen. Therefore, best practices calls for staff coverage of the kitchen whenever it is open and inmates are present. The DOC may wish to consider an alternative method to prepare and deliver meals to inmates at this facility. Transporting food from another correctional facility is one option, or contracting food service to a local provider is a second option.

Kitchen: A third food service position should be added to the facility staffing plan to ensure there is coverage whenever meal service is being conducted. This will ensure that inmates are supervised at all times during preparation and food service delivery. Staff working 10-hour shifts, four days a week is the preferred method of scheduling to address this need. The foreman can continue to work five days per week, eight hours per day and also fill in to relieve the workers for their vacation and other benefit leave. As indicated above, if this approach is deemed too expensive, the DOC should consider an alternative means of food service at this facility.

Inmates are frequently admitted to an outside hospital for treatment that requires a CO be present to supervise and provide security. This is a rather frequent occurrence and is responsible for pulling officers from the shift and causing the hiring of overtime to supervise these inmates. Data provided for December, 2014 through May, 2015 (see table below) illustrates that 46 hours per month on average are spent supervising inmates in outside community hospitals. It must be noted that there are no security posts on the staffing plan to provide this service and, as a result, staff are reassigned from the facility roster to perform these functions, or the facility must hire staff on overtime so that the post can be filled. The overtime numbers do reflect overtime hiring for this purpose.

MSPT Hospital/Medical Hours	
December 2014	72.5
January 2015	54.75
February 2015	28.5
March 2015	12.5
April 2015	0
May 2015	105.5

Security Supervision of Inmates Admitted to Community Hospitals: The data provided above indicates that off-site medical coverage of inmates in hospitals is an ongoing issue that causes staff to be pulled from their regular assignments or hired on overtime to provide this supervision. However, the number of hours dedicated to this function is not significant enough to warrant the assignment of posts on the staffing plan. It is more efficient to hire staff on overtime if there are no available personnel to cover these responsibilities than to establish a post that would not be utilized on a regular basis. Therefore, no position is recommended for supervising inmates in outside community hospitals.

Post/Position	8-Hr Days	12-Hr Days	12-Hr Nights	10-Hr Days	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Superintendent	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Subtotal Director Posts	1.0	0.0	0.0	0.0		40.0	1729.00			1.0
Assistant Superintendent	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Subtotal Asst. Director Posts	1.0	0.0	0.0	0.0		40.0	1729.00			1.0
Custody Staff										
Lieutenants - CO IV										
Operations Lt	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		40.0	1729.00			1.0
Sergeants - CO III										
Shift Supervisor	-	1.0	1.0	-	7	168	8759.52	Yes	1729.00	5.07
Disciplinary/Standards Sgt.	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Security Sergeant	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Records Sergeant	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Subtotal Sergeant Posts	3.0	1.0	1.0	0.0		288.0	13946.52			8.1
Correctional Officers - CO I/II										
Master Control	-	1.0	1.0	-	7	168	8759.52	Yes	1729.00	5.0
Housing Rovers	-	2.0	2.0	-	7	336	17519.04	Yes	1729.00	10.13
Housing #1	-	1.0	-	-	7	84	4379.76	Yes	1729.00	2.53
Booking Officer	-	1.0	1.0	-	7	168	8759.52	Yes	1729.00	5.07
Booking Rover	-	1.0	1.0	-	7	168	8759.52	Yes	1729.00	5.07
Subtotal Custody Posts	0.0	6.0	5.0	0.0		924.0	48177.4			27.9
Non-Custody										
Admin Officer I	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Accounting Clerk	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Maintenance Specialist	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Food Service Foreman	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00

Post/Position	8-Hr Days	12-Hr Days	12-Hr Nights	10-Hr Days	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Food Service Lead	1.0	-	-	2.0	5	40	1729.00	No	1729.00	1.00
Adult PO II	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Education Coordinator	1.0	-	-	-	5	40	1729.00	No	1729.00	1.00
Subtotal Non-Custody	7.0	0.0	0.0	2.0		280.0	12103.0			7.0
TOTAL	13.0	7.0	6.0	2.0		1612.00	79413.9			46.00

Palmer Correctional Center

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
78	28	106	56	24	80	58	24	82

The Palmer Correctional Center (PCC) is located approximately 45 miles north of Anchorage, and on the date of the site visit, the facility contained both a separate medium and minimum-security section of the facility operated under the supervision of one administration. Executive personnel reported the minimum security section of the facility was scheduled to be closed in the near future. As a result, the following report describes current practices; however, the recommended staffing levels presented are based on immediate needs assuming the minimum unit will be closed.

The reported mission of the Palmer Correctional Center is to integrate security and programs into a comprehensive unit that assists the inmates in developing attitudes and conduct that are consistent with established community values. The Palmer Correctional Center provides an expansive number of program services to the inmate population.

The medium security section of the facility has a reported housing capacity of 338, and the minimum security section located next to the medium facility has a capacity of 176. When combined, the total housing capacity of the Palmer Correctional Complex is 514. The correctional center provides housing for male offenders, and the average daily inmate population during the first four months of calendar year 2015 was 504. Sentenced and un-sentenced inmates are housed at PCC; however, most of the un-sentenced inmates previously housed at the facility have been moved to the Goose Creek Correctional Center or Mat Su Pre-Trial Facility. Approximately 99 percent of the population at PCC was sentenced on the date of the site visit.

Medium Security Facility

The medium security facility is secured by a double perimeter security fence reinforced with a shaker/motion system alarm, security surveillance cameras and continuous staff patrol. The facility contains inmate housing and support service areas traditionally found in mid-size medium security correctional facilities.

Inmate housing is provided primarily through ten detached single-story housing units all located within close proximity to one another. Seven of the housing units contain 20 cells and three of the housing units contain 10 cells. A minimum of at least one single cell is located in

each of the housing units, and the remaining cells are designed for double occupancy. Two of the cells have been converted into study areas.

Housing placement is determined by the unit team and is generally based on a combination of program/work assignments and security classification. At the time of the site visit separate housing was being provided for inmates with the following focus: mental health, sex offender treatment, residential substance abuse treatment (RSAT), transformational living community (TLC), general population, and kitchen workers. The sex offender program is currently on hold pending completion of assessments of new service providers.

In addition to general housing, the medium security facility has a segregation housing unit and a small medical unit. This housing option provides appropriate living areas for individuals who may need to be more closely supervised and/or separated from others. The segregation unit consists of detention-grade furnishings including surveillance cameras, a secure control area, detention grade doors, gates, and locks.

Minimum Security Facility

The minimum security facility is located a short walk from the medium security facility outside the secure perimeter fence. The minimum security facility consists primarily of two main buildings, housing and programs/support. There is no perimeter fence around the facility, which is designed to house strictly minimum security classified inmates. A large outdoor open recreation area is available to the minimum security inmates and is located adjacent to the minimum security program building and inmate housing.

Inmate housing is provided in one multi-level building consisting of two primary wings. Inmate cells are located on both the first and second floor of each wing. An elevated security control center is positioned at the front end of the building, strategically located and designed to monitor the living unit hallways and the dayroom space, which is located at the front of the building. The inmate housing building is shaped in the form of a "V" and provides a housing capacity of 176. Each wing contains 22 cells originally designed for two individuals.

The minimum security program/support building is a separate building located a few steps away from housing and provides a wide variety of service space. This building contains both a main floor and an expansive basement area that is well used.

There are additional buildings on the grounds of the PCC, including the administration building, warehouse, vehicle maintenance, maintenance shop, and a receiving center located at the front entry point of the facility. The receiving center, commonly referred to as the HRC,

is used as a secure entry point onto the grounds of the facility, monitors vehicle traffic, processes visitors and scans incoming mail and packages.

Current Staffing

There are currently 111 FTE non-medical/mental health positions authorized for the facility. This does not include two CO II positions which were double-filled in an attempt by facility management to meet existing responsibilities. The administrative core positions include a facility superintendent, assistant superintendent (operations/security), adult PO III, operations lieutenant, and administrative officer I. The shift commander positions are normally filled by a sergeant and key department lead positions include a food service supervisor, maintenance foreman, security sergeant, disciplinary/property sergeant, compliance/training sergeant, and a records sergeant.

On the date of the site visit, all of the authorized administrative and lead positions were filled. Vacant positions were found in one CO III position which had been vacant for over a year, CO I/II positions (seven vacancies), education coordinator (one vacancy) and office assistant I (one vacancy). There were a total of 57 CO I/II positions filled, representing 89 percent of the authorized level for that position classification. On the date of the site visit six of the vacant CO I/II positions and the one vacant CO III position were "on hold status for another location" and were no longer intended to be used at PCC.

Staff turnover appears to be an issue, however not at the same level as in the past. In the recent past a high number of staff were transferring to the Goose Creek Correctional Center as it was becoming fully operational. In FY 15 the turnover rate has been reduced, as five COs (7 percent) have separated from the DOC, and six had transferred at the time of this report.

A review of the June 2015 staff roster reflected the least senior CO I had a seniority date of September 2014, reflecting few recent new hires in the CO I position at PCC. In view of the pending closure of the minimum security section of the facility and reduction in the number of post assignments required to be filled it is expected the turnover rate may continue to remain at a lower level. The number of filled CO I/II positions appears to have decreased slightly in the past year. In August 2014 there were 61 filled positions, in March 2015 there were 60 and in June 2015 there were 57. As noted, six of the current CO I/II vacant positions are currently on hold status to be used for another location. With the pending closure of the minimum security section of the facility the continued reduction in CO I/II positions appears appropriate.

Facility administrative staff reported that current security and non-security authorized staffing levels have been approved by central office personnel in conjunction with discussions with staff assigned to the facility at the time the review was completed. A total of 111 positions, excluding medical, mental health, and contractual, have been authorized for the Palmer Correctional Center including the following positions:

- Superintendent (1)
- Assistant superintendent (operations) (1)
- Administrative officer I (1)
- PO III (1)
- CO IV (lieutenant) (1)
- CO III (sergeant) (11)
- CO I/II (officer) (69)
- Non-Custody: (26)

The most significant concern regarding current staffing levels at the Palmer Correctional Center is the limited number of security personnel assigned to the medium security facility between the hours of 2200 and 1000 and that in the support service areas there was an inconsistent presence of on-site security personnel during peak activity periods. Current staffing levels allow for two CO I/IIs to patrol the inside of the medium security facility during the time period of 2200-1000 which has an operating capacity of over 330. Any ability to address emergencies, conduct pro-active security measures, or respond to unusual occurrences is limited by the number of flexible personnel available within the medium security portion of the facility. The most evident concern was during the period of 0600 and 0800 when facility activities normally begin and internal inmate movement is accelerated.

During the on-site inspection conducted, medical services were being provided to inmates in the medical unit by non-custody staff/contractors while inmates were present and in the education building, inmates were attending classes/sessions with only non-custody staff/contractors present. In both situations, no security personnel were on site. Current staffing levels and existing post orders make it difficult to provide a sufficient level of security presence consistently in all critical areas.

At the minimum security unit, security staffing levels are limited to one sergeant on the day shift serving as a unit team manager, three CO I/IIs assigned to each shift and two CO I/IIs on the day shift assigned as unit team members. With the pending closure of the minimum security unit, these security post assignments will no longer be required to be filled.

Roster Management/Scheduling/Minimum Staffing

Effective roster management and staff scheduling at PCC are considered critical elements of the daily operation of the facility. Roster management for security positions and scheduling duties are performed primarily by the assistant superintendent in concert with the shift commanders. Non-security scheduling is completed by the appropriate lead staff member for each area.

A master roster for security personnel has been developed that identifies the personnel assigned to each shift and their position classification. Weekly and daily shift rosters are also maintained that identify in more detail actual staff assigned by day, their post assignments and hours of coverage.

A review of available daily shift rosters during April 2015 revealed that required post assignments were consistently being filled on a routine basis, and non-mandatory and essential posts were being filled when additional personnel were available. The daily shift rosters document how staff are being used and provides necessary accountability.

At the PCC, the fundamental roster management elements of identifying and establishing post assignments by shift, developing post orders, balancing staff scheduling based on workload and activity schedules, applying relief as needed, and staff accountability are in place. The only noted concern was in the scope of responsibilities identified in some of the post orders. For example, the stated areas of responsibilities for post 7 (medium security programs rover) include the following:

"The primary area of responsibility (AOR) for post 7 includes the shift office, the upstairs education hallway and associated rooms, the gym, booking area and other administrative offices in the booking hallway, club sales, lower computer room, law library, kitchen and dining areas and the visiting areas. When only one floor rover is assigned due to minimum manning, the post 7 officer will assume responsibility for all post 7 and 8 duties and responsibilities and will extend their AOR to encompass post 8's AOR." Post 8 responsibilities include providing security to the medical area and serving as the segregation rover.

The Palmer Correctional Center offers a number of program services and activities. If all of the AORs mentioned in the post order were in one location, the workload would be at least a full-time responsibility for one or more individuals.

Since the AORs include several different locations within the facility, i.e. kitchen, booking, law library, upstairs education, and visiting, the scope of the responsibilities exceeds the work of one position. The scope of responsibilities identified in the post order is too expansive for one position. All of the post orders should be reviewed to determine the appropriateness of workload responsibilities based on established work hours and the existing daily activity schedule.

Minimum Staffing Level

The initial deployment of security personnel is based on meeting "minimum staffing" levels as identified in the authorized staffing plan.

The central office authorized plan identified the approved post assignments, the frequency the post was required to be filled, and whether the post required relief or not. The non-custody assignments were not identified in the plan; however, based on a review of the authorized position control summary report, 28 positions ranging from PO III to office assistant I are currently authorized. A detailed list of non-custody positions is identified in the attached spreadsheet.

The current security staffing plan identifies eight 24-hour CO I/II post assignments and one CO III 24-hour post assignment for a total of nine 24-hour post assignments. The 24-hour post assignments include the following:

- Post 3 - Shift supervisor (sergeant)
- Post 1 - Master control
- Post 2 - Segregation control
- Post 5 - Medium security housing 1/2/3
- Post 6 - Medium security perimeter
- Post 9 - Medium security housing 4/5/6
- Post 12 - Minimum security podium

- Post 13 - Minimum security workstation
- Post 14 - Minimum security rover

In addition to the above posts during the day shift, the following additional 12-hour post assignments are routinely filled:

- Post 7 – Programs rover (1000-2200)
- Post 8 – Segregation, medical rover (1000-2200)
- Post 10 – Housing 7/8/9/10 (1000-2200)
- Post 4 – HRC, intake and release (1015-2215)
- PTO – Inmate transportation (0600-1800)
- PSO – Minimum security inmate labor supervision, minimum unit team (0600-1800)

On the night shift, posts 7 and 10 are routinely filled for the first four hours of the shift as staff begin their shift at 1000 and complete their shift at 2200.

Post 8 (segregation rover) is filled from 1000-2200 only when sufficient staff are available. As a result of existing staffing levels, very few correctional staff are assigned to patrol the interior of the medium security facility between the hours of 2200 and 1000.

The daily activity schedule reflects few activities between 2200 and 0600 other than conducting institutional counts, completing wellness checks, activating a small inmate work detail, and moving inmate kitchen workers—all of which are important. Other functions performed on this shift include staff training, inmate mail, distribution, creating court/transportation lists, and readying inmates for transport. However, between the hours of 0600 and 1000 the level and intensity of activities is different. Having only two scheduled line officers available to move around the interior of the facility appears inconsistent with meeting operational responsibilities.

Operating at a baseline minimum level provides the opportunity for little flexibility. When unexpected additional responsibilities are required to be met, i.e., inmate transport, outside medical trips, the shortage in staff only increases. If any vacancies occur, facility management has to determine how to best address the requirements to operate the facility. Unscheduled staff may have to be contacted to work at an overtime rate, post assignment

responsibilities may have to be absorbed by staff already filling other post assignments, staff in alternative position classifications may be required to fill post assignments outside their classification or services and/or scheduled program activities have to be temporarily closed. Current staffing levels reflect the highest number of vacancies were in the CO I/II position. On the date of the site visit there were seven CO I/II vacancies.

Work Schedule/Responsibilities

Administrative positions. Staff assigned to administrative positions are scheduled to work 37.5 hours over a five-day work week. Based on the nature of the position responsibilities it is not uncommon for staff assigned to these positions to work well in excess of 37.5 hours per week.

Lead positions. The shift commander positions are normally filled by a CO III, which is commonly referred to as a sergeant. The shift commander provides supervision over the minimum and medium security facilities and each shift commander is scheduled to work 84 hours every other week. They work seven consecutive 12-hour shifts followed by seven days off. There are four sergeants, two of which are scheduled to work from 0600-1800 hours and two sergeants are scheduled to work from 1800-0600. The shift commander routinely is present well before their scheduled starting times. There is no formal pre-shift briefing provided for staff to attend prior to the shift. Post orders state that staff is not to begin duty until seven minutes prior to start duty time, nor leave later than seven minutes after duty end time. As of November 2015, training/formal briefings occur at 0815 hours each Thursday for shift, and 0800-0815 on Monday for 42-hour staff at both facilities.

In addition to the shift commander positions, there are six additional sergeant positions authorized at the facility, including one records sergeant position currently on hold. Each of these positions is scheduled to work 42 hours over a period of five days. The additional sergeant positions include the following:

- Post 11 Medium unit team supervision
- Post 15 Minimum unit team supervision
- Disciplinary/property sergeant
- HRC/training/compliance/grievance sergeant
- Security sergeant

- Records sergeant

These are all posts where the staff assigned have a more concentrated focus on addressing specific requirements of the facility. All of the positions appear essential based on established post responsibilities with the exception of post 15, which is assigned to the minimum security unit and is scheduled to be closed. The remaining lead positions include non-custody positions and are scheduled to work a 37.5-hour weekly schedule. Starting and finishing times for lead positions may vary to meet operational activity levels.

Security line staff. Most CO I/IIs at PCCC are scheduled to work seven consecutive 12-hour days followed by seven days off. Normal starting and finishing times are either 0600-1800 or 1800-0600. There are a small number of officers that are scheduled to work from 1000-2200 to address specific needs of the facility. These posts include the following:

- Post 7 – Programs rover (1000-2200). The programs rover post is responsible for the upstairs education hallway, the gym, booking area, law library, computer lab, and kitchen and dining areas. Based on the physical design, location of services, and the facility activity schedule, it is impossible for one individual to meet the required post responsibilities while normal scheduled activities are occurring. Many of the programs begin prior to 1000. As a result, sensitive areas and activities go unsupervised by trained security personnel. Post 7 is currently scheduled to be filled at 1000 and is considered an essential post. Posts 7 and 8 are combined at this time. Each post is filled separately only when sufficient officers are available.

- Post 8 – Segregation, medical rover (1000-2200). A review of sample daily shift rosters for the entire month of April 2015 showed six days when the post was not filled. The post order states the individual filling the post responsibilities include: shift office; medical segregation; medical/dental/mental health offices, private visiting and segregation. Routine medical services including mental health, medical, and dental begin before 1000. Post 8 is currently scheduled to be filled at 1000 and is considered an essential post. Posts 7 and 8 are combined at this time. Each post is filled separately only when sufficient officers are available.

- Post 10 – Housing 7/8/9/10 (1000-2200). Post 10 primary responsibilities include providing security supervision for housing units 7, 8, 9, 10, and the chapel. The post is routinely filled from 1000-2200. The concern is the post is not considered a 24-hour post. As a result, there are only two CO IIs assigned to rove the medium security facility between 2200-0600 seven days per week. Considering the physical plant

design, security level of the inmates, total number of inmates, and number of detached housing units, two CO I/IIs appear insufficient considering the scope of work to be completed. Post 10 is considered an essential post.

There are six CO I/IIs positions that are designated as five day, 42-hour posts. This provides staff coverage to areas of responsibility only when necessary. The objective is to make more efficient use of available staff resources. Operational security, unit teams and property inventory, maintenance, and storage post assignments are all included in the 42-hour portion of the line officer work schedule.

Non-security line staff. Non-security line staff positions are scheduled to work 37.5 hours five days each week. Most staff work Monday through Friday; however, there are staff assigned to alternative work days and hours to meet specific activity level requirements. Non-security staff are assigned to a variety of areas, including primarily the following:

- Administrative support (human resources, timekeeping, payroll, procurement, invoicing, mail processing, accounting, information technology, warehouse and clerical support)
- Food services
- Facility maintenance
- Inmate case management
- Education
- Certified time accountant and ancillary services support

Non-security positions serve a critical need in meeting operational requirements as the responsibilities involved are required to be met to operate the facility. If non-custody personnel were not available the responsibilities would have to be met by security personnel working outside their position classification.

Overall the assigned staff are scheduled in a manner that most effectively addresses the current operational requirements. The authorized staffing levels meet basic security and operational needs at a minimal staffing level when fully staffed. When the baseline staffing level is at a minimum very little flexibility is provided to effectively address non-routine responsibilities, initiate unexpected pro-active security measures or properly manage emergency situations when they occur.

Special Issues

Administrative Responsibilities. On the date of the site visit and including at least 30 days after the visit, the current administration at the Palmer Correctional Center has assumed responsibilities for the administration and operations of the Mat Su Pre-Trial Facility. There is an operations lieutenant managing day-to-day responsibilities at Mat-Su working under the direction and guidance of the Palmer administrative staff. The Superintendent routinely conducts site visits twice per week the assistant superintendent three times per week and the PO III is responsible for the probation staff assigned to the Mat-Su Pre-Trial Facility. This additional responsibility on a short-term basis appears appropriate; however, staff reports it impacts the volume and level of work that can be completed at the main facilities. As of August 2015 PCC's assistant superintendent was assigned supervisory oversight of MSPT five days per week, and PCC's superintendent conducts a site visit at the facility one day per week.

Pending Closure of Minimum Security Unit. The DOC executive staff reported the minimum security unit of the facility is scheduled to be closed. As a result the Palmer Correctional Center administrative staff should experience a significant change in overall workload responsibilities and the number of post assignments required to be filled should be reduced.

Program Opportunities. The Palmer Correctional Center offers expansive evidence-based program services that are designed to enhance overall facility operations and provide individuals with opportunities to return to the free community better prepared for the challenges they may face. Existing program services include the following:

- Intensive outpatient substance abuse treatment (IOPSAT)
- Residential substance abuse
- Adult basic education
- General education diploma
- Alaska re-entry
- Computer lab
- Criminal attitude program (CAP)
- Parenting

- Post-secondary classes
- Workplace and community transition grant program
- Alaska Department of Environmental Conservation food handler program
- Building trades
- Small engine repair
- Transformational living community
- Sex offender treatment (assessments only)
- Batterer's intervention program
- Welding
- AutoCad

Many of the programs require inmate movement throughout the facility. There are a limited number of security post assignments within the facility, including providing direct security staff supervision in the program area. This is a heavy program facility that requires an appropriate security presence to be integrated with program services.

Food Service Areas. On the dates of the on-site visit the PCC was operating two separate kitchens and dining halls, one at the minimum security unit which has a housing capacity of 176 and one at the medium security unit which has a housing capacity of 338. Four food service staff are authorized to work in the food service department. One staff member is the supervisor and three are line staff. At least one staff member is scheduled to be present at the facility from 0600 to 1730. No food service personnel are present at the facility from 1730 to 0600 seven days per week. With the pending closure of the minimum security unit a more cost effective food service operation should be achieved.

Road Crew and Pilot Programs. The facility supports the community and during the summer months an inmate road crew is activated into the community to assist in completing various labor-intensive projects. As a result on Saturday and Sunday two CO I/IIs are routinely used to provide transport and security supervision of the community work crew. In addition, various short-term pilot programs involving inmates being assigned to approved off-site grounds are initiated that require security staff transport and security supervision. With the pending closure

of the minimum security unit serious consideration should be provided to eliminate the road crew and pilot programs.

Staffing Recommendations

The Palmer Correctional Center applies an effective roster management plan that includes the development of a master roster that identifies all staff including their position classification. Daily shift rosters are used that identify in more detail specific post assignments, the number of hours the post is required to be filled and the personnel scheduled to fill the post. Staff accountability was documented in a manner that clearly identified shift hours, post assignments and staff assigned.

The primary concerns identified in the staffing review were in the filling of authorized vacant positions, lack of required post assignments being filled at times consistent with activity peak levels, inability to consistently meet existing responsibilities in specific areas, and scope of select post orders. On the date of the site visit six of the vacant CO I/II positions and one vacant CO III position were "on hold status for another location" and were no longer intended to be used at PCC. These "on-hold" positions should be removed from the PCC staffing plan. In addition due to the pending closure of the minimum security unit additional post assignments should be reduced.

In order to meet the immediate needs of the facility considering the closure of the minimum security unit a total of 82 properly classified staff are required to effectively meet the immediate operational needs of the facility. Operating with fewer staff may result in a combination of increased overtime expenditures, staff fulfilling responsibilities that exceed the level of one individual and/or responsibilities not being met.

On a long-term basis additional staff will be required based on the level of involvement the facility serves in regards to providing vocational education to the inmate population and providing community road crew and special project coverage.

> *Post Orders: Review post orders to ensure the AORs identified in the order are realistic. Analyze all post orders to determine whether the identified AORs can realistically be completed considering the identified program and service activity schedule, physical plant design and employee work schedule. Specifically evaluate the post order for post 7 to ensure the scope of responsibilities can be met by the number of staff assigned during their designated work hours.*

Rover: Establish one 84-hour essential post assignment (7A) at the medium security facility to assist in providing security as a program area rover. Recommended shift hours (0600-1800). The scope of responsibilities identified in Post 7 are too expansive for one individual to meet based on the size and physical design of the facility, current activity schedule, number of inmates involved and work schedule. Education, gymnasium, recreation, medical, library and inmate movement all begin prior to 1000 when post 7 is scheduled to be filled. As a result sensitive areas and activities go unsupervised by trained security personnel.

Post 10: Expand the post coverage hours of post 10 to include 24/7 coverage. Current practice is to fill post 10 from 1000-2200. Post 10 primary responsibilities include providing housing and area security at the medium security unit. Current staffing practices allow for two CO I/IIs to be roving within the facility from 2200 to 1000. Additional staff assigned to seven-day posts are present; however, they may be assigned to stationary posts where they have to be relieved in order to leave the post, located outside the interior of the facility or assigned to a supervisory post. In view of the average daily population and capacity of the medium security facility, physical design, number of detached housing units and current daily schedule the scheduled staffing level from 2200 to 1000 is insufficient to meet operational requirements.

Minimum Security Unit Closure: Eliminate the following post assignments as a direct result of the closure of the minimum security unit.

- *Post 15. Post 15 (minimum unit team sergeant) is an essential 8 hour post assigned Monday through Friday normally during the day shift. The minimum unit team sergeant is responsible for the minimum security unit operations including staffing, housing, programs, supply, and maintenance and associated out-buildings. With the pending closure of the housing and program buildings which are the primary responsibilities the post is no longer required to be staffed.*

- *Post 12. Post 12 (podium) is a mandatory 24-hour post required to be filled by a CO I/II seven days per week. The podium post is located in the minimum security unit and is designed to provide security control and observation in the*

central core area of the inmate housing area. With the pending closure of this unit the post is no longer required to be staffed.

- *Post 13. Post 13 (minimum rover) is an essential 24-hour post required to be filled by a CO I/II seven-days per week. The primary responsibility for post 13 is the minimum security programs building. With the pending closure of this unit the post is no longer required to be staffed.*

- *Post 14. Post 14 (minimum housing rover) is an essential 24-hour post required to be filled by a CO I/II seven-days per week. The primary responsibility for post 14 is to provide roving security functions in both the housing and programs building. With the pending closure of this unit the post is no longer required to be staffed.*

- *Minimum Security Unit Team Member (two). The minimum security unit team member post consists of two CO I/IIs that are each assigned to a 42-hour post and serve in the capacity of a "counselor" to inmates housed at the minimum security unit. With the pending closure of this unit and the removal of inmates the posts are no longer required to be staffed.*

- *Adult PO I. An adult PO I was assigned to the minimum security unit to assist in pre-release preparation for inmates assigned to the minimum security unit. With the pending closure of this unit the post is no longer required to be filled.*

- *Maintenance Generalist Lead. The position currently is designed to provide general maintenance to the Palmer Correctional Center. The pending closure of two major buildings will not eliminate all physical plant maintenance work required to be completed however the overall workload will be reduced. Based on the availability of five remaining maintenance staff, excluding the foreman and auto mechanic sufficient maintenance personnel appear to be available to meet remaining responsibilities.*

- *Office Assistant I. Current post responsibilities include providing clerical support for the minimum security unit, providing miscellaneous clerical responsibilities and assisting administrative personnel. With the pending closure of the minimum security unit and request for minimum staffing recommendations the position is recommended for elimination.*

- *Education Coordinator. Currently there are two academic education coordinator positions one assigned to the minimum unit and one assigned to the medium unit. The position control summary report identifies two authorized education coordinator positions. The medium education coordinator is responsible for the cognitive programs while the minimum education coordinator is responsible for the ABE/GED programs. With the pending closure of the minimum security unit the minimum education coordinator position is recommended for elimination.*

Post/Position	8-Hr. Days	12-Hr. Days	12-Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	T F
Superintendent	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Subtotal Superintendent Post	1.0	0.0	0.0	0.0		37.50	1955.25			
Assistant Superintendent	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Subtotal Asst. Superintendent Post	1.0	0.0	0.0	0.0		37.50	1955.25			
Custody Staff										
Lieutenants - CO IV										
Operations Lieutenant	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		37.50	1955.25			
Sergeants - CO III										
Post 3	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 11	1.0	-	-	-	5	42.00	2189.88	No	1778.00	
Post 15	-	-	-	-	5	-	-	No	-	
Disciplinary/Property/Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1778.00	
HRC/Training/Compliance	1.0	-	-	-	5	42.00	2189.88	No	1778.0	
Security Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1778.00	
Records Sergeant	1.0	-	-	-	5	42.00	2189.88	No	1778.00	
Subtotal Sergeant Posts	5.0	1.0	1.0	0.0		378.00	19708.92			
Correctional Officers - CO I/II										
Post 1	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 2	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 4	-	1.0	-	-	7	84.00	4379.76	No	1778.00	

Post/Position	8-Hr. Days	12-Hr. Days	12-Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	T F
Post 5	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 6 (601)	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 7	-	1.0	-	-	7	84.00	4379.76	Yes	1778.00	
Post 7A. Medium Program Rover	-	1.0	-	-	7	84.00	4379.76	Yes	1778.00	
Post 8	-	1.0	-	-	7	84.00	4379.76	No	1778.00	
Post 9	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 10	-	1.0	1.0	-	7	168.00	8759.52	Yes	1778.00	
Post 12 (Podium)	-	-	-	-	7	-	-	Yes	-	
Post 13	-	-	-	-	7	-	-	Yes	-	
Post 14	-	-	-	-	7	-	-	Yes	-	
Post 16 (PSO)	-	1.0	-	-	7	84.00	4379.76	No	1778.00	
Post 17	1.0	-	-	-	5	42.00	2189.88	No	1778.00	

Post/Position	8-Hr. Days	12-Hr. Days	12-Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	T F
Security Officer	1.0	-	-	-	5	42.00	2189.88	No	1778.00	
PTO	-	1.0	-	-	5	84.00	4379.76	No	1778.00	
Unit Team Medium	2.0	-	-	-	5	84.00	4379.76	No	1778.00	
Unit Team Minimum	-	-	-	-	5	-	-	No	-	
Subtotal Officer I/II Posts	4.0	12.0	6.0	0.0		1680.00	87595.20			4
Subtotal Custody Posts	10.0	13.0	7.0	0.0		2095.50	109259.40			5
Non-Custody Staff										
Adult PO III	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Adult PO I/II	4.0	-	-	-	5	37.50	7821.00	No	1778.00	
Maintenance Specialist Foreman	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Maintenance Specialist Plumber Journey II	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Maintenance Specialist Jrny II	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Maintenance Specialist Elect. Journey II	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Maintenance Generalist Lead	-	-	-	-	5	-	-	No	-	
Maintenance Generalist Journey	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Maintenance Specialist	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Mechanical Auto Adv. Journey	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Stock and Parts Services Lead	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Administrative Officer I	1.0	-	-	-	5	37.50	1955.25	No	1778.00	

Post/Position	8-Hr. Days	12-Hr. Days	12-Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	T F
Food Services Supervisor	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Food Service Lead	3.0	-	-	-	5	37.50	5865.75	No	5334.00	
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Office Assistant I	-	-	-	-	5	-	-	No	-	
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1778.00	
Education Coordinator	-	-	-	-	5	-	-	No	-	
Subtotal Non-Custody Posts	24.0	0.0	0.0	0.0		712.50	46926.00			2
TOTAL	36.0	13.0	7.0	0.0		2883.00	160095.90			8

Spring Creek Correctional Center

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
136	39	175	132	40	172	132	40	172

The Spring Creek Correctional Center (SCCC) is a state operated maximum security facility located approximately 125 miles south of Anchorage in the town of Seward. The facility was built in 1988 and serves as Alaska's only maximum security adult male correctional facility. The housing capacity at SCCC is reported as 551 and the average daily population during May 2015 was 529. All of the inmates housed at the Spring Creek Correctional Center at the time of the site visit were sentenced felons.

While most of Spring Creek's inmate population is considered close and/or medium custody a small percentage of inmates housed at the facility are minimum custody and serve as part of an outside inmate work cadre. Rehabilitative programs integrated with appropriate security measures are expansive at the facility and include ABE/GED, parenting, cognitive skills, anger management, substance abuse, faith-based programming, vocational training, step-down transition and pre-release programs. Spring Creek which is designed for maximum security inmates also offers housing and services for special programs including administrative segregation and a sub-acute care special needs housing unit.

The physical plant consists of a large multi-purpose building containing administrative, program and support space, three inmate housing units and an open recreation yard which are all surrounded by a double perimeter security fence, barbed wire, surveillance cameras and a continuously staffed elevated perimeter tower. High security detention hardware and surveillance cameras are found throughout the facility.

Inmate housing is provided in three secure multi-level housing units. The living areas within the units are referred to as "mods" as they represent one of four housing areas that surround an elevated secure control station which is staffed on a continuous basis. The housing areas contain either single or double occupancy cells and all contain a toilet and wash basin. Most of the cells are designed for double occupancy.

Diverse inmate populations may be assigned within the same unit; however, they are housed in separate housing "mods." Housing placement is determined by the unit team and is generally based on a combination of program/work assignments and security classification. The housing unit capacities and typical classification of offender assigned to each unit on the date of the site visit include the following:

- Housing Unit 1: 96 (protective custody, administrative segregation step-down program, administrative segregation maximum, and substance abuse)
- Housing Unit 2: 252 (mental health, segregated mental health, honor module, programming/multi-faith module, and general population pending program placement)
- Housing Unit 3. 25 (administrative and punitive segregation, general population)

There is no dormitory style housing available in the main housing units. In addition to the three main housing units there is a six-bed housing area available for minimum security work cadre inmates located in the administration/program/support building (APS).

The largest building located at the SCCC is the APS, which serves as a multi-purpose building hosting a variety of functions for the facility. As a result of the diverse number of functions located in the building there are several interior hallways and doors providing service separation within the APS.

The APS serves as the main building within the facility. Additional utility, sallyport, warehouse and service buildings are located outside the perimeter fence. The 17-year-old facility appeared to be well maintained, spacious and equipped with appropriate security detention equipment/fixtures consistent with the established level of security. Electronic enhancements were being completed in the control units and previous concerns identified with the telephones had been corrected.

Current Staffing

There are currently 175 FTE staff positions approved for the SCCC. This does not include medical, mental health or contractual positions. There was also one double-filled CO II position filled by facility management personnel due to the limited number of staff authorized which was not included. The administrative core positions include a facility superintendent, assistant superintendent (operations/security), adult PO III, administrative officer I, and administrative lieutenant. The shift commander positions are normally filled by a lieutenant and key department lead positions include a food service supervisor, maintenance foreman, administrative assistant I, correctional sergeant (property, education/job service), disciplinary sergeant, compliance sergeant, and a training sergeant.

On the date of the site visit all of the authorized administrative and lead positions were filled. Vacant positions were in the CO I/II positions (10 vacancies) and in food services where there

was one vacant food service lead position. There were a total of 105 CO I/II positions filled representing 91.3 percent of the authorized level. Overall the number of staff positions filled when compared to the overall authorized level was approximately 93 percent. (The number of filled positions and percentages can fluctuate on a regular basis.)

Staff turnover appeared to be an ongoing issue during calendar year 2014, as there were 36 positions turned over, of which 27 were security positions (four were a result of transfers). The staff turnover rate has slowed in 2015 in comparison with the recent past, as a total of 6 security positions turned over during the first five months of 2015. Personnel continue to be hired and as of June 18, 2015, there were 14 CO I's assigned that had a seniority date starting during calendar year 2015. Staff reported the fact that Goose Creek Correctional Center was becoming fully staffed was having a positive impact on their staffing levels.

In view of a combination of several factors including the size and remote location of the facility, the high local housing costs, limited alternative employment options in the area for family members and the maximum security work environment maintaining a low staff vacancy rate can be a challenge. Progress appears to being made in this area; however, a dedicated focus on filling vacancies needs to remain a high priority.

Facility administrative staff reported that current security and non-security authorized staffing levels have been approved by central office personnel in conjunction with discussions with staff assigned to the facility at the time the review was completed. A total of 175 positions, excluding medical, mental health and contractual have been authorized for the Spring Creek Correctional Center including the following positions:

- Superintendent (1)
- Assistant superintendent (operations) (1)
- Administrative officer I (1)
- PO III (1)
- CO IV (lieutenant) (5)
- CO III (sergeant) (10)
- CO I/II (officer) (115)
- Non-Custody (41)

Current staffing levels appear to most deficient in the CO I/II and CO III positions.

Roster Management/Scheduling/Minimum Staffing

Maintaining an effective roster management system is considered a critical element of the daily operations of the facility. Roster management for security positions and scheduling duties are performed primarily by the assistant superintendent in concert with the shift commanders. Non-security scheduling is completed by the appropriate lead staff member for each area.

In respect to security positions a detailed one page plan entitled "SCCC Housing Plan (Blended)" was provided. The plan dated March 4, 2014, identified approved post assignments, the frequency the post was required to be filled and whether the post required relief or not. In addition recognized bed space capacities and minimum staffing levels were established and identified for various times during the day. The non-custody assignments were not identified in the March 4, 2014, plan provided. Based on administrative feedback, modifications have since been made to the March 4, 2014, recognized staffing plan including having lieutenants serving as shift commanders instead of sergeants and reducing the number of sergeant positions filled.

A master roster for security personnel has been developed and is currently being used that identifies the personnel assigned to each shift and their position classification. Daily shift rosters are also maintained that identify in more detail specific post assignments, the number of hours the post is required to be filled and the personnel scheduled to fill the post. The daily roster format used at SCCC was one of the better formats reviewed when compared with four other facilities. All facilities do not use the same format and all shifts within the same facility do not use the identical format.

In addition to the information presented the daily shift rosters at SCCC also identify the following:

- Minimum staffing requirement during specific times of the day, i.e., 0600-1000, 1000-1800, 1800-2200 and 2200-0600
- Staff designated as primary and secondary responders to significant incidents
- Scheduled staff on "leave" status
- Staff assigned as a result of overtime and the number of hours required

- Staff scheduled to alternative shift hours, i.e. 1000-2200
- Staff assigned as FTOs

The fundamental roster management elements including identifying post assignments by shift, developing post orders (responsibilities), establishing staff schedules, applying relief as needed and ensuring staff accountability are all in place at SCCC. This current practice is consistent with nationally recognized best practices.

The initial deployment of security personnel is based on meeting "minimum staffing" levels as identified in the central office March 4, 2014 security plan. Modifications have been made to the plan since it was distributed and the changes primarily involved the number of sergeants and lieutenants authorized and their areas of responsibility. Current staffing practices appear to be similar to what has been outlined on the plan however not identical. The following routine post assignment adjustments have been made:

- The March 2014 central office plan required in total one non-relief lieutenant position. The current practice is to have a non-relief lieutenant assigned as the shift commander during all four shifts and to have one non-relief lieutenant assigned as the administrative lieutenant. As a result four additional lieutenants have been authorized and assigned to the facility, resulting in a total of five lieutenants. This change was implemented in the spring of 2014.

- The March 2014 plan required 16.5 sergeant positions when a relief factor is applied. SCCC is currently budgeted to have 10 sergeants. As a result of the addition of four lieutenants to serve as shift commanders, the number of sergeant positions has decreased. In March 2014 there were 15 filled sergeant positions and 1 lieutenant. In August 2014 there were 12 sergeants and 5 lieutenants, and in June 2015 there were 10 sergeants and 5 lieutenants. Based on the initial March 2014 central office plan, there were a combined total of 17.5 sergeants/lieutenants approved. In June 2015, there were 15 filled.

- Initially the staffing plan included the following: a separate non-relief "property" sergeant and "inmate services" sergeant post; relief was required for the "security" sergeant post and one 24/7 post with relief was required as a shift sergeant. Current practice has resulted in the "property" and "inmate services" sergeant post assignments merging, no relief personnel for the "security" sergeant post and the shift sergeant post becoming an offender management services post. The additional four lieutenant positions that have

been established have replaced the shift sergeants serving as the primary shift commander.

- The central office March 2014 staffing plan required 112 (rounded from 111.42) CO I/IIs. SCCC is currently authorized to have 115 CO I/II positions, of which 10 were vacant on the date of the site visit. Current practice is to have one non-relief post assigned on the day shift specifically to provide security in the program/education/job service area when sufficient staff are available. The plan called for one CJT to be assigned to that area.

The adjustments made by the facility administrative staff to the modified March 2014 plan appear appropriate based on the number of staff resources approved for each position classification. The number of security staff required in the initial central office plan was 128.92, and after the adjustments were made in the number of positions for each classification the overall total number of positions remained the same. The concern, as will be discussed, is in the number of CO I/II and CO III post assignments approved and filled to meet existing operational responsibilities.

Work Schedule/Responsibilities

The Spring Creek Correctional Center staffing model for shift scheduling generally allows for the concentration of staffing levels to be available at times when the workload and activity levels at the facility are generally higher. The objective of this change is to make more efficient use of available staff resources.

Administrative Positions. Staff assigned to administrative positions are scheduled to work 37.5 hours over a five-day work week. Based on the nature of the position responsibilities it is not uncommon for staff assigned to these positions to work well in excess of 37.5 hours per week.

Lead Positions. The shift commander positions are normally filled by a CO IV, which is commonly referred to as a lieutenant. The shift commander lieutenants are scheduled to work 84 hours every other week. They work seven consecutive 12-hour shifts followed by seven days off. There are four lieutenants assigned as shift commanders two of which are scheduled to work from 0600–1800 hours and two are scheduled to work from 1800-0600 resulting in 24-hour coverage. The shift commander is routinely present well before their scheduled starting times. Each shift commander is supported by a CO III, (sergeant), who serves as an offender management services sergeant (OMS). The OMS starting and finishing hours differ slightly from the shift commander. At the time of the site visit they were scheduled to work

either from 0800–2000 or from 1000–2200, maximizing supervisory staff resources during peak activity hours.

The concern with the current scheduling of the shift commander and the OMS position is the availability of a sufficient number of on-site supervisory staff assigned to the facility at all times. As noted SCCC houses primarily close custody, administrative segregation and sub-acute mental health inmates. These individuals can be considered some of the highest at-risk individuals under the care of the DOC. The potential for concern is greater at SCCC than most other facilities due to the size and mission of the facility. In addition because of the physical plant design, capacity and type of inmate housed at the facility the number of line staff assigned may be larger than others. As a result recognizing the application of an effective span of control and the value of chain-of-command is critical to meet operational responsibilities.

The current schedule and deployment of shift supervisory personnel results in one operational security supervisor being present for 10 hours each day. As noted in the table below there is one security supervisor focusing on shift operations scheduled to be at the facility from 2200 to 0800 seven days per week. This deployment practice based on the size and mission of the facility is inconsistent with nationally recognized best practices.

The schedule leaves the facility extremely vulnerable and the span of control of supervisor-to-line staff is extremely high during select times, and the line staff are required to report directly to a lieutenant at least 10 hours per day. This practice is all contrary to recognized best practices in the corrections industry.

Security Supervisor Schedule

Security Supervision	0000-0600	0600-0730	0730-0800	0800-1000	1000-1630	1630-1800	1800-2000	2000-2200	2200-0000
Shift Commander (Lieutenant)	1	1	1	1	1	1	1	1	1
Offender Management (Sgt.)	0	0	0	1	2	2	2	1	0
Total	1	1	1	2	3	3	3	2	1
CO I/IIs Scheduled	17	24	24	24	27	27	20	20	17

At 0730 additional security supervisors arrive at the facility, however they are assigned to specific areas such as training, compliance/policy development, disciplinary hearing coordinator and prisoner services all recognized as five-day post assignments.

In addition to the shift and offender management services positions there are two sergeants assigned to a "security sergeant" position scheduled to work seven 12-hour days every other week. The two sergeants alternate work weeks. Starting and finishing times are generally 0800-2000. The primary focus of this position is addressing specialized security related functions such as STG activity, monitoring potential threat intelligence information, investigations, reviewing surveillance data, and updating SOPs. On a national basis these are recognized post assignments identified as being essential especially in maximum security environments.

In reviewing the deployment of security supervisors during specific time periods, several lead security supervisor positions appear to be noticeably absent based on current practices. This includes an administrative segregation sergeant, assistant shift commander and a unit team sergeant.

Due to the nature of the type of individual placed in administrative segregation, especially AS-10 inmates, a security supervisor is normally recommended to provide on-site direction and guidance to staff and inmates during peak activity hours. On a national basis, depending upon the size of the administrative segregation population it is common practice to see a dedicated administrative segregation security supervisor post filled during peak hours.

There is no assistant shift commander assigned to the facility during all hours. As a result the number of security supervisors focused on shift operations is limited to one individual 10 hours a day. Line staff assigned to shift operations from 2200 to 0600 report to a lieutenant as no sergeant is scheduled. Most staff assigned to non-housing units are required to report directly to the shift commander (lieutenant) as there is no sergeant assigned to shift operations. This practice can lead to concerns regarding maintaining the integrity of the chain-of-command. Prior to establishing the lieutenant position as the shift commander, both a shift commander post assignment and assistant shift commander post assignment were routinely filled.

In respect to the unit team at SCCC the team currently consists of probation staff and probation and mental health staff based on the inmate population being reviewed. What is absent at SCCC is the presence of a security staff member. At Goose Creek and Palmer the unit team leaders were CO IIIs. At SCCC a maximum security facility, there is no security staff person considered part of the unit team.

The remaining lead positions are scheduled to work either a 37.5-hour weekly schedule or a 42-hour weekly schedule. The lead security positions are scheduled to work 42 hours over a five-day period followed by two consecutive days off. The non-security lead positions are

scheduled to work 37.5 hours over a five day period followed by two consecutive days off. These are all posts where the staff assigned have a more concentrated focus on addressing specific requirements of the facility. Starting and finishing times for lead positions may vary to meet operational activity levels.

Security Line Staff. CO I/IIs are primarily scheduled to work seven consecutive 12-hour days followed by seven days off. Normal starting and finishing times are either 0600-1800 or 1800-0600. There are a small number of officers that are scheduled to work from 1000-2200 to address specific roving security needs of the facility.

Post assignments are clearly identified as mandatory, essential or non-essential posts. Mandatory posts are considered post assignments that are required to be filled during the shift, i.e. master control, tower, perimeter patrol and housing control. Essential posts are not always required to be filled and staff assigned to essential posts can be temporarily pulled to assist in other areas to meet operational requirements. Non-essential posts are posts that are filled only when sufficient staff are available. Operating with 10 security line staff vacancies, 3 additional staff on light duty status, and 1 on Workman's Compensation status results in very few occasions when a non-essential post is filled.

Critical post assignments that are required to be continuously filled at SCCC include master control, perimeter, tower, housing control units and select housing floor posts. The number of additional posts filled varies based on the number of mandatory posts required, staff availability and operational activity levels.

In respect to CO I/II posts the facility normally operates at a minimum staffing level. These staffing levels are defined as follows:

- 0600 to 1000 = 23 CO I/IIs
- 1000 to 1800 = 27 CO I/IIs
- 1800 to 2200 = 22 CO I/IIs
- 2200 to 0600 = 18 CO I/IIs

Based on the 10 CO I/II vacancies and current staff scheduling a minimum of two approved post assignments identified in the staffing plan are routinely not being filled as intended.

In order to maintain operations, overtime is required, assigned staff are absorbing additional responsibilities or the responsibilities are not being met. In a maximum security facility this is a practice that should be avoided as much as possible and not considered routine.

The post assignments that appear to be most impacted by the existing staffing level are a combination of housing unit floor officers and APS rovers. APS rover positions serve a critical role in providing area security as a large percentage of non-custody personnel work in the APS many of which are in direct contact with inmates. Most of the inmates assigned to SCCC are considered close custody. Ensuring a security presence in the education, laundry, maintenance, medical, hobby craft, kitchen and gymnasium area is fundamental to providing effective security measures. The APS rover positions are not considered mandatory posts and are often pulled to meet short-term responsibilities, relieve mandatory posts or back-fill vacant post assignments. The housing unit floor officer post is also frequently used to meet short-term responsibilities, i.e. inmate transport.

Non-Security Line Staff. Non-security line staff positions are scheduled to work 37.5 hours over five days each week. Most staff work Monday through Friday however there are staff assigned to alternative work days and hours to meet specific activity level requirements. Non-security staff are assigned to a variety of areas including primarily the following:

- Administrative support (human resources, timekeeping, payroll, procurement, invoicing, mail processing, accounting, information technology, warehouse and clerical support)
- Food services
- Facility maintenance
- Inmate case management
- Education
- Certified time accountant and ancillary services support

Non-security positions serve a critical need in meeting overall operational requirements as the responsibilities identified are required to be met to operate the facility. If non-custody personnel were not available the responsibilities would have to be met by security personnel working outside their position classification. There is no evidence to indicate there is an excess in the number of non-custody positions assigned to the facility.

Operating a maximum security facility at a baseline minimum level provides the opportunity for little flexibility. At a maximum security facility the unexpected can often happen. When unexpected additional responsibilities are required to be met, i.e. inmate transport, emergency response, implementing pro-active initiatives or outside medical trips the on-site staff shortage only increases and less gets done. There are no designated relief post assignments where the primary responsibility is to provide relief to staff or to meet short-term responsibilities. When vacancies are prevalent it only makes things more difficult to meet operational responsibilities. Facility management has to establish a plan to determine how to best address the requirements to operate the facility. Unscheduled staff may have to be contacted to work at an overtime rate, post assignment responsibilities may have to be absorbed by staff already filling other post assignments, staff in alternative position classifications may be required to fill post assignments outside their classification or services and/or scheduled program activities have to be temporarily closed.

Current staffing levels reflecting the highest number of vacancies were in the CO I/II position. On the date of the site visit there were 10 CO I/II vacancies. Spread out over four primary shifts, based on current vacancies each shift starts off operating at between two and three positions short of the minimum. When complimented with one security supervisor assigned to shift operations 10 hours per day, SCCC is currently operating at less than acceptable minimum staffing levels.

Special Issues

Administrative Segregation. The Spring Creek Correctional Center is a maximum security facility that provides housing and program services for inmates assigned to administrative segregation including AS-10 inmates. AS-10 inmates are individuals that have demonstrated through their actions that they require the maximum level of supervision within the facility. These individuals may be considered escape risks, assaultive, predatory, riotous, disruptive, or a combination of one or more of the above. Four housing modules have been dedicated to house inmates classified as AS-10.

As part of the administrative segregation housing placement plan a step-down program has been developed to allow an opportunity for inmates to earn their way into general population. Through a graduated housing, program and privilege process inmates are provided an opportunity to return to general population.

Managing inmates that are considered the greatest threat takes proper planning, procedures, staff, supervision and administrative support. These high risk individuals have demonstrated their ability to not comply with the most serious rules. Currently no dedicated security

supervisor post is authorized for the administrative segregation housing unit at the SCCC and only one security supervisor is scheduled to be assigned to overall shift operations 10 hours each day.

Close Custody Inmates. Close custody inmates are individuals that do not meet institutional standards for medium custody placement based on their current charges, criminal history, and/or lack of a substantial period of appropriate institutional behavior. Close custody individuals are eligible for restricted work assignments within the secure confines of the facility and have access to most education and treatment programs within the facility. Close custody inmates require housing in facilities with secure perimeter fencing but can be managed and housed in general population with enhanced regular and direct staff supervision. SCCC is a maximum security facility where the majority of inmates are considered close custody requiring by policy enhanced regular and direct staff supervision. In the housing units COs are assigned on a continuous basis. The initial number assigned may be reduced when additional responsibilities are required, such as for inmate transport or escort or during break periods.

In program and support areas based on current practices, enhanced regular and direct staff supervision as required by policy may not always be the practice. Limited staff resources, the scheduling of activities and services, and the physical plant design prevents security personnel from regular and direct supervision at all times in the education, hobby craft, recreation and job service areas. These are areas that frequently have non-custody staff assigned while inmates are present. Existing post orders identify APS rover position responsibilities to include relieving mandatory post assignments which would pull the assigned rover from their post.

Mental Health. Spring Creek provides the largest sub-acute care special needs housing unit within the DOC. 60 beds are dedicated to inmates considered seriously mentally ill. No dedicated security supervisor is assigned to the unit.

Staff Vacancies. The number of vacancies in staff positions continues to be a challenge as a result of a combination of factors. The remote and unique location of the facility, availability of affordable housing in the immediate area, maximum security work environment, and limited employment opportunities for family members not interested in working in a prison.

In July 2012, the blended staffing model took effect that increased the number of staff scheduled to work an eight-hour day, five days per week. This model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels at the facility are generally higher. The objective of this change was to make more efficient use of available staff resources. Providing efficient staffing levels when activity levels are down

or when area responsibilities are only required during specific hours is less effective when applying strictly 12-hour shifts. The use of variable shift schedules to efficiently align staff resources with operational requirements is a recognized best practice in the corrections industry.

One of the primary concerns expressed with the implementation of the blended work schedules was that reducing the number of 12-hour post assignments may reduce the potential number of applicants considering employment at SCCC. Security staff that work a 12-hour work week are scheduled to work seven consecutive days followed by seven consecutive days off. This allows staff who may live in a more populous area the opportunity to temporarily stay in the Seward area during their seven working days and return home during their off week. Staff may have homes in the more populous area or family members may have jobs in areas with more opportunities. Reducing the number of 12-hour post assignments which would allow potential candidates living outside the Seward area to consider employment at SCCC without moving limits the number of opportunities available.

The distance from Anchorage to Seward is approximately 125 miles. The drive can become very difficult and when combined with working in an understaffed maximum security facility it can make for a very strenuous day. Working in a maximum security facility is not like working at any correctional facility. The demands are greater and the inmates are more challenging. It can be very stressful and provides a unique environment that may not be replicated to the same degree at all other facilities. Adding on a two to three hour commute each way can become overwhelming.

As a result, filling vacancies at SCCC can expect to be a challenge. Efforts have been made to recruit potential applicants from both in-state and out-of-state to help address this concern. Additional initiatives should be further considered as this issue should remain a high priority.

Staffing Recommendations

The Spring Creek Correctional Center applies an effective roster management plan that includes the development of a master roster that identifies all staff including their position classification. Daily shift rosters identify in more detail specific post assignments, the number of hours the post is required to be filled and the personnel scheduled to fill the post. The daily roster format used at SCCC was one of the best formats reviewed when compared with other facilities. Total staff accountability was documented in a manner that clearly identified shift hours, minimum staffing requirements, primary and secondary responders, if needed, FTOs, scheduled staff on "leave" status and staff working overtime.

The staff scheduling model efficiently schedules staff resources to meet established responsibilities. Overall applying an effective roster management plan appeared to be considered a high priority at SCCC.

The concern identified in the overall staffing review was in the number of security supervisors assigned to shift operations during select time periods, lack of specific post assignments being filled, number of staff vacancies and the inability to consistently meet existing responsibilities in specific work areas. If a minimum staffing model is going to continue to be applied, reducing the number of vacancies is essential. SCCC, on the dates of the on-site review, was operating at a minimum staffing level and was relying on a combination of merging post assignments and working staff overtime to meet existing responsibilities.

In order to meet baseline minimum responsibilities in the most efficient manner possible a total of 172 properly classified staff are required to be assigned and available to meet immediate responsibilities, including in part 6 CO IVs, 16 CO IIIs, and 108 CO I/IIs. In an effort to address long-term operational responsibilities, the addition of staff specifically assigned to relieve staff that are scheduled to work 12 hours without having to close post assignments should be seriously considered.

> *Assistant Shift Commander: Establish an assistant shift commander sergeant post as an essential 84-hour post to be filled on both days and nights. Establish one 24-hour assignment shift commander post to be filled by a sergeant during the shift hours of 0600-1800 and 1800-0600 to assist the shift commander in overall shift operations and maintain the integrity of ensuring DOC policies are enforced.*
>
> *Based on the fact that the current deployment practice at the only adult maximum security facility is to have one security shift operations supervisor present during 10 hours each day limits the ability to successfully meet the primary responsibility of ensuring the lawful, orderly and efficient daily operations of the facility. Based on the existing scope of responsibilities as identified in the post order it becomes extremely difficult to perform all of the tasks required. As a result all the responsibilities are not routinely completed. In addition the span of control (effective communication) between supervisor and line staff is inconsistent with recognized practices in the corrections industry and the recognized chain of command is fractured due to the lack of a sergeant being present. The addition of the assistant shift commander post would resolve these issues.*

Offender Management Sergeant: Reduce the offender management services sergeant post from two 84-hour essential posts to one 84-hour sergeant post. The creation of an assistant shift commander would address the issue of sufficient security supervisor presence at the facility during all hours, span of control, chain of command and reduce the workload of both the shift commander and the offender management services sergeant. During peak hours there still needs to be a security supervisor presence in the "back", living, and outdoor recreation areas.

A single 84-hour essential sergeant post is recommended to provide a security supervisor presence from 0600-1800 (peak activity periods) for the primary purpose of providing supervision, guidance and direction in housing units 2 and 3 including inmate movement and use of the open recreation area.

Administrative Sergeant: Establish an 84-hour administrative sergeant post. There is no dedicated security supervisor assigned to the administrative segregation unit. There is a shift commander responsible for the overall daily security operations of the entire facility and two 84-hour "security sergeant" posts, however no dedicated sergeant for the administrative segregation program.

The Spring Creek Correctional Center provides housing and program services for inmates assigned to administrative segregation including AS-10 inmates. AS-10 inmates are individuals that have demonstrated through their actions they require the maximum level of supervision within the facility. These individuals may be considered escape risks, assaultive, predatory, riotous, disruptive, or a combination of one or more of the above. Four housing modules have been dedicated to house inmates classified as administrative segregation 10. These inmates generally provide challenges that are not consistent with the rest of the population. Successful management of a difficult population requires proper planning, focus, implementation of pro-active initiatives, consistency and staff supervision. Not having a dedicated sergeant focusing on a living area that houses the highest threat individuals in the department is inconsistent with nationally recognized best practices. The Goose Creek Correctional Center in comparison has a total of 30 sergeants, one of which is dedicated to segregation.

Unit Team Sergeant Post. Establish a 42-hour unit sergeant post. The Spring Creek Correctional Center is a maximum security facility housing some of the highest risk offenders in the department. The current unit team at Spring Creek does not include a security representative. Based on the mission of the facility security should be considered a high priority and input from security personnel should be emphasized. The unit team currently consists of a representative of the probation department and mental health. Goose Creek has a unit team sergeant coordinating team efforts and Palmer has a unit team sergeant coordinating efforts. A security presence should be added to the unit team at SCCC.

Education Rover. Change the status of the 84-hour education/job service rover post to essential. The physical layout of the APS provides separation between multiple functions through a number of hallways, interior doors and potential blind spots. Separate vocational programs, academic classes and job service activities occur throughout the day in this area. Non-custody staff are present; however, security staff are not. A review of post assignments reflect posts 5A, 7, 8, 13, 14, 15, 16, 17, 18, 19 and 19A all include APS rover related responsibilities. None of the posts are considered mandatory and all but posts 5A, 7, 8, 19 and 19A are considered non-essential posts. A review of the daily shift rosters for April 2015 reflects an insufficient number of staff are available to routinely fill non-essential post assignments.

The essential rover posts that are routinely filled include the following: post 5A's primary responsibilities include providing rover security in the medical area; posts 7 and 8 provide security for support staff in the gym area and posts 19 and 19A provide roving security in the kitchen, maintenance and laundry. The concern is that staff assigned are often pulled from their post to meet short-term responsibilities outside their area. Education is located in a separate area and normally has several non-custody staffing present. In view of the type of inmates housed at Spring Creek, an essential 84-hour CO I/II post should be established to provide appropriate security in the education/job service area.

Post 13: Change the status of post 13, APS rover, from a non-essential post to an 84-hour essential post. Post 13 is an APS rover post that is considered a non-essential post. Very seldom are non-essential posts filled as a result of the staffing level available. The APS is an active area that requires on the floor

roving security presence, especially due to the number of non-custody staff that are assigned to the area and the fact that inmates are present. Change the status of post 13 to an 84-hour essential post to be filled from the hours of 0600-1800.

Post/Position	8-Hr. Days	12-Hr. Days	12- Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Tot FTE
Superintendent	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Subtotal Superintendent Post	1.0	0.0	0.0	0.0		37.50	1955.25			1.
Assistant Superintendent - Operations	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Subtotal Asst. Superintendent Post	1.0	0.0	0.0	0.0		37.50	1955.25			1.
Custody Staff										
Lieutenants - CO IV										
Administration Lieutenant	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Shift Commander	-	1.0	1.0	-	7	168.00	8,759.52	Yes	1774	4.
Subtotal Lieutenant Posts	1.0	1.0	1.0	0.0		205.50	10714.77			5.
Sergeants - CO III										
Assistant Shift Commander	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
Offender Management Services	-	1.0	-	-	7	84.00	4379.76	No	1774	2.
Security	-	1.0	-	-	7	84.00	4379.76	No	1774	2.
Compliance and Standards	1.0	-	-	-	5	42.00	2189.88	No	1774	1.
Prisoner Services	1.0	-	-	-	5	42.00	2189.88	No	1774	1.
Training	1.0	-	-	-	5	42.00	2189.88	No	1774	1.
Disciplinary	1.0	-	-	-	5	42.00	2189.88	No	1774	1.
Administrative Segregation		1.0			7	84.00	4379.76	No	1774	2.
Unit Team	1.0	-	-	-	5	42.00	2189.88	No	1774	1.

Post/Position	8-Hr. Days	12-Hr. Days	12- Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Tot FTE
Subtotal Sergeant Posts	5.0	4.0	1.0	0.0		630.00	32848.20			15.
Correctional Officers - CO I/II										
Non-Housing										
Education/Job Service	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Property Officer	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Master Control	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
Visiting Control	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Tower	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
Medical Rover	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Operation Rover	-	1.0	1.0	-	7	168.00	8759.52	No	1774	4
Perimeter Patrol	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	
Kitchen Control	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Kitchen Receiving	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Kitchen Receiving/Rover	1.0	-	-	-	5	42.00	2189.88	No	1774	1.
Post 7	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Post 8	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
Post 13	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.

Post/Position	8-Hr. Days	12-Hr. Days	12- Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Tot FTE
Housing										
House I Post 21	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House II Post 31	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House III Post 41	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House I Post 22	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House I Post 23	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House I Post 24	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
House II E Mod	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House II F Mod	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House II G Mod	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House II H Mod	-	1.0	1.0	-	7	112.00	5839.68	Yes	1774	3.
House III J Mod	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House III JA	-	1.0	-	-	7	84.00	4379.76	Yes	1774	2.
House III K Mod	-	1.0	1.0	-	7	112.00	5839.68	Yes	1774	3.
House III L Mod	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
House III M Mod	-	1.0	1.0	-	7	168.00	8759.52	Yes	1774	4.
Subtotal Officer I/II Posts	1.0	28.0	17.0	0.0		3710.00	193439.40			107.
Subtotal Custody Posts	7.0	33.0	19.0	0.0		4545.50	240912.90			131.
Non-Custody										
Administrative Officer I	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Micro/Network Technician II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Administrative Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Supply Technician II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Accounting Clerk	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.

Post/Position	8-Hr. Days	12-Hr. Days	12- Hr. Nights	10-Hr. Days	Days/ Week	Hours/ Week	Coverage Hrs./Year	Relief	NAWH	Tot FTE
Office Assistant II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Office Assistant I	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Education Coordinator	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Food Service Supervisor	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Food Service Foreman	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Food Service Lead	6.0	-	-	-	5	37.50	1955.25	No	1774	6.
Maintenance Specialist Foreman	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Maintenance Specialist Journey II Lead	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Maintenance Spec. Electrician Journey II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Maintenance Plumbing Journey II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Maintenance Spec. Electronics Journey II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Auto Mechanic Advanced Journey Lead	1.0	-	-	-	5	37.50	1955.25	No	1774	1
Maintenance Generalist Lead - Locksmith	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Maintenance Spec. Journey I	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Stock and Parts Services Journey II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Adult PO III	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Adult PO II	6.0	-	-	-	5	37.50	1955.25	No	1774	6.
CJT II	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
CJT I	1.0	-	-	-	5	37.50	1955.25	No	1774	1.
Subtotal Non-Custody Posts	40.0	0.0	0.0	0.0		1,125.00	58657.50			40.
TOTAL	49.0	33.0	19.0	0.0		5745.50	299570.4			171.

Wildwood Correctional Complex

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
88	30	118	97	30	127	102	30	132

Wildwood Correctional Complex (WCC) is a renovated military base that was originally constructed in the 1950s. The main facility opened in October 1983. The pre-trial facility was opened in 1985 and the Wildwood Transition Program began in 2010.

WCC has three distinct facilities in the complex—each with a separate core mission and function. These include the following:

- Long-term Institutional housing – WCC (building 10)
- Pre-trial booking and housing – WPT (building 5)
- Wildwood Transitional Program – WTP (building 15). Inmates are permitted to leave the facility on work release opportunities.

The WCC facility total capacity is 447. The average quarterly population of the complex for the period from January 2015 to March 2015 was 438. A review of the monthly average daily population indicates that the facility is generally at or near capacity most of the year.

WCC staff reported that building 10 has a capacity of 264, the WPT has a capacity of 121, and the WTP minimum security building has a capacity of 62. This is a total rated capacity of 447 for the complex. During the summer months, the WTP capacity is increased to 94 (an additional 32) to accommodate the increased demand for inmate labor in the community.

The mission of the units within the complex is described as follows:

- *Long-Term Institutional Housing* is located in building 10. It is also the largest building in the complex holding the longer-term sentenced inmates. Inmates are minimum and medium custody levels residing in double cells on three floors of the building. Inmates have keys to their rooms (cells). There are more than a dozen program offerings including faith-based studies, substance abuse, anger management, crafts and hobbies, vocational and GED, and computer skills. There are 12 administrative segregation beds located in the lower level of this building. The administrative offices are located in building 10.

- *Pre-Trial* is located in building 5 and serves as the jail and detention lockup for the cities on the peninsula and the entire borough of Kenai. Alaska State Troopers and local police department officials bring their arrested offenders to this unit. This unit houses males and female offenders who have been arrested and awaiting arraignment, those that are not eligible or able to bail out, and those remanded to the custody of the DOC.

The pre-trial population is mostly made up of non-sentenced offenders, with many offenders brought in by the local police and booked and held until they sober up (Title 47 non-criminal holds). Many offenders (90 percent or so) are released out the door or may be transported by plane for long-term housing. Released offenders receive cash (up to $500) or a check based on the balance in their accounts. The balances can be quite high and the facility keeps a substantial amount of cash ($5,000 but they were unsure if that is the standard everywhere).

- Building 15 houses the minimum custody transitional unit. The housing configuration in this building consists of open dormitory rather than rooms or cells. Inmates participate in local community work release programs and leave daily to jobs and projects in the community. The major employer of the inmate's work release program is the fishery plant in Seward that offers inmates a chance to work and earn a traditional wage. Other inmates serve on public service projects in the Kenai area.

In addition to the assigned security staff, the buildings have institutional POs assigned to work with inmates on their programming needs, other transitional needs, classification issues, and other issues that may arise as the inmates work to be released back in to the community.

POs, with the assistance of assigned COs, are also assigned to manage and supervise the electronic monitoring program (EM) that operates under the auspices of the WCC. It was reported that there are typically 12-15 offenders on this program. This is unique in that at other locations in the state, with the exception of Ketchikan, EM functions under the probation division staff of the department. The superintendent reported that the program functions efficiently but does divert authorized staff from their assigned duties.

Staffing Summary

The authorized staffing level for this fiscal year is 128. It was confirmed through discussion and a review of staffing documents that four PCNs from this authorized level have been reallocated, which has reduced the available staffing complement to 124. An additional 5

positions were vacant or the employee was on extended leave at the time of the site visit. The authorized level includes 85 CO positions less the four reallocated positions for a total of 81.

The staffing rosters for the three units are combined onto one consolidated roster. Normally a complex with three distinct units would have three separate rosters that function independently from one another. This does permit the shifting of resources when additional staffing is required. This practice does however often leave units short of critical staff.

Staffing in building 10 consists of four crews of 12-hours shifts. Each seven-day work period has one crew on days and one on nights, while the other two crews are on their seven days off. Each crew has a CO III (shift supervisor) and seven CO I or IIs. Minimum staffing is one shift supervisor and five COs. When staffing falls below the required minimum, staff are required to work overtime. There are two 8-hour shifts during days and evenings on Wednesday through Sunday to provide relief and help supervise visitation.

Building 5, the pre-trial facility, similarly has four 12-hour shifts rotating every seven days. Each shift has a shift supervisor (CO III) and five COs. The booking/control center is located in building 5 and is very small. It serves as the post for the shift supervisor and a booking CO. The other assigned COs are rovers without fixed posts and move throughout the housing areas and assist with searches, property control, inmate transport, and assist with numerous other booking functions. There is also PO with a desk in the booking office to facilitate inmate processing and a time accounting administrative staff person.

Building 11, the transition unit, functions with a minimum of two, except on the graveyard shift where one officer is assigned. The existence of a single-person assignment for 62 (94 in summers) inmates is problematic.

There is one kitchen that feeds inmates in all three housing units. It is staffed with a food service supervisor and five food service leads. The medical unit has a nurse III and five nurse II positions and administrative staff. There is also a maintenance shop with a maintenance foreman and a staff of seven skilled craftsmen. In addition, there are several administrative staff and CJTs. In total, the facility has 129 positions (WCC-119, micro tech-1, and medical-9). On the day of our visit, there were 5 vacant positions and 2 staff on extended leave.

Staffing Recommendations

Relief Factor: The DOC should adopt the relief factor developed for this study and provide the proper number of correctional staff to fill the staffing plan. Occasionally leaving a position vacant to address an operational need

elsewhere is acceptable corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is questionable practice and can result in compromising institutional security and increasing potential liability. For example, not staffing the Rover position reduces inmate supervision, does not allow for relieving officers for their breaks, and reduces the response force during an emergency call. Providing adequate relief will add two officers to the staffing plan.

Camp Rover: Add one officer on the night shift. The assignment of a single officer on the night shift at the transition unit presents serious concerns given the fact the housing unit is an open dormitory and there is no lock-up capability.

Housing Unit Floor Rover: Add a 24/7 post to provide a rover for building 10.

Long-Term Staffing Recommendations

Facility security would be improved by adding rover/relief post to the pre-trial building.

Post/Position	8-Hr Day Shift	12-Hr Day Shift	12-Hr Night Shift	10-Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH
Superintendent	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Subtotal Director Posts	1.0	0.0	0.0	0.0		37.5	1955.3		
Assistant Superintendent - Pre-trial	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Assistant Superintendent	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Subtotal Asst. Director Posts	2.0	0.0	0.0	0.0		75.0	3910.6		
Custody Staff									
Lieutenants - CO IV									
Chief of Operations (Lieutenant)	1.0	-	-	-	5	-	-	No	1747.00
Subtotal Lieutenant Posts	1.0	0.0	0.0	0.0		0.0	0.0		
Sergeants - CO III									
Compliance Sergeant	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Training Sergeant	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Security Sergeant	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Sergeants - CO III	1.0	-	-	-	5	37.5	1955.3	No	1747.00
Sergeants - CO III	-	1.0	1.0	-	7	168.0	8759.52	Yes	1747.00
Sergeants - CO III	-	1.0	1.0	-	7	168.0	8759.52	Yes	1747.00
Subtotal Sergeant Posts	4.0	2.0	2.0	0.0		486.0	25340.0		
Correctional Officers - CO I/II									
CO	1.0	-	-	-	5	37.5	-	No	1747.00
Operations Officers	1.0	-	-	-	5	37.5	-	No	1747.00
CO	1.0	-	-	-	5	37.5	-	Yes	1747.00
CO	-	2.0	-	-	7	168.0	-	No	1747.00
CO	-	2.0	-	-	7	168.0	-	Yes	1747.00
CO	-	2.0	-	-	7.00	168.0	-	No	1747.00

Post/Position	8-Hr Day Shift	12-Hr Day Shift	12-Hr Night Shift	10-Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH
CO	1.0	-	-	-	5	37.5	-	No	1747.00
CO	-	1.0	1.0	-	7	168.0	-	No	1747.00
CO	1.0	-	-	-	5	37.5	-	No	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0		-	7	84.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	2.0	2.0	-	7	336.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
CO	-	1.0	-	-	7	84.0	-	Yes	1747.00
CO	-	-	1.0	-	7	84.0	-	Yes	1747.00
CO	-	1.0	1.0	-	7	168.0	-	Yes	1747.00
Subtotal Custody Posts	5.0	20.0	13.0	0.0		2959.5	0.0		
Non-Custody									
Administration									
Administrative Officer I	1.0	-	-	-	5	37.5	1747.00	No	1747.00
Accounting Clerk	1.0	-	-	-	5	37.5	1747.00	No	1747.00
CJT	2.0	-	-	-	5	75.0	3494.00	No	1747.00
Office Assistant I	3.0	-	-	-	5	112.5	5241.00	No	1747.00

Post/Position	8-Hr Day Shift	12-Hr Day Shift	12-Hr Night Shift	10-Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH
Office Assistant II	1.0	-	-	-	5	37.5	1747.00	No	1747.00
Maintenance									
Foreman	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Maintenance Specialist Plumber	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Maintenance Specialist Mechanical	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Maintenance Specialist Electronics	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Maintenance Specialist B/F/C	-	-	-	1.0	4	37.5	1955.25	No	1747.00
General Maintenance	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Stocks and Parts	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Maintenance Specialists Electrician	-	-	-	1.0	4	37.5	1955.25	No	1747.00
Food Service									
Food Service Supervisor	1.0	-	-	-	5	37.5	1955.25	No	1747.00
Food Service Lead	8.0	-	-	-	5	187.5	9776.25	No	1747.00
Probation Officers									
PO III	1.0	-	-	-	5	37.5	1955.25	No	1747.00
PO	10.0	-	-	-	5	187.5	9776.25	No	1747.00
Education Coordinators									
Education Coordinator	2.0	-	-	-	5	75.0	3910.50	No	1747.00
Subtotal Non-Custody Posts	30.0	0.0	0.0	8.0		1125.0	56991.5		
TOTAL	43.0	22.0	15.0	8.0		4168.5	123392.8		

Yukon Kuskokwim Correctional Center

Current Staffing			Recommended Short Term			Recommended Long Term		
Custody	Support	Total	Custody	Support	Total	Custody	Support	Total
30	10	40	47	10	57	47	11	58

Yukon Kuskokwim Correctional Center houses all classifications of prisoners, including sentenced offenders and those arrested by law enforcement authorities held in pre-trial status to await adjudication of their charges. The facility is a close security institution that serves as an intake facility for Western Alaska and also provides sentenced prisoner housing. The facility houses both male and female prisoners in pre-trial and sentenced status of all custody levels. The facility is comprised of a single building that opened in 1986, and provides detention services for 56 villages in the Western region.

The facility contains a master control center, as well as an admissions area, kitchen, central dining, laundry, small medical clinic, recreation yard, classroom and staff offices. Due to space shortages inmate property and facility tools and supplies are stored in shipping-type containers located outside the building.

The facility is rated for 207 inmates, but has as many as 232 beds, including 60 bunks in the gymnasium. The average daily population is currently about 180 inmates, but has reportedly been as high as 200. The majority of the inmates are in pre-trial status, and inmates sentenced to one year or less may complete their sentences in this facility.

Entry is made into the institution from a pedestrian sallyport that is monitored and controlled by the master control post. Also adjacent to the master control is the intake area, where inmates are received through a sallyport entrance. Inmates are received through the admissions sallyport, processed, booked and placed into one of four holding cells (or one of two detox cells if needed), until they are fully processed and cleared for housing.

WD1 and WD2 total 23 beds and house general population female inmates. A-max and B-max totals 19 beds and houses male segregation inmates. There are six dormitories that house between 14 and 26 beds each. Four of the dorms house general population male inmates, one is used for housing special general population males, and one dorm houses the newly remanded males that are awaiting classification. A gymnasium has been converted to house 60 bunks for general population inmates and inmate workers.

Medical services are provided by one nurse that is in the facility for approximately 10.5 hours daily. Therefore, many cases are referred to the emergency room by default. There are few

admissions to the hospital, however. Serious medical cases are transferred to the Anchorage Complex.

Current Staffing

There are 51 positions (PCN) assigned to the institution. Of those, 39 are security positions and 12 are designated as support positions. With regard to the security positions, there are no CO IV (lieutenants), 6 are CO III (sergeants) positions and 33 officers are a combination CO II and I positions. One food service position was vacant on June 11, 2015, when this study was conducted.

The majority of the security staff work seven 12-hour shifts every other week. This affords them with a full seven days off before they return to duty and work seven days before their next set of days off. These staff work 84 hours each pay period. 12-hour shifts operate from 0600 to 1800 and 1800 to 0600. There are four teams of employees that constitute the shifts, two for the day shift and two for the night shift. There is no paid briefing time for staff to pass on information from shift to shift. There are a number of different shift patterns employees work at the facility as follows:

- Administration – Monday – Friday, 37.5-hour work week (includes POs)
- Shift sergeants – 84 hours per pay period, seven days on and seven days off
- Support sergeants – Monday – Friday, 42-hour work week
- All of the non-security positions work five, 7.5-hour days per week for a total of 37.5 hours each week

Supervisor Assignments. The facility is managed by a superintendent and one assistant superintendent. There is no CO IV (lieutenant) assigned to this facility. Each security shift is supervised by a sergeant. Three shifts have six COs I/IIs and one shift has seven COs I/IIs. There is no relief position to cover for these sergeants when they are discharging benefit leave. In addition to the shift sergeants, there is a records sergeant and a security sergeant that works Monday through Friday. There is no relief assigned to these positions.

There is one 24/7 sergeant assigned to the 12-hour shifts. The shift sergeant oversees the daily operations of the institution. As there is only one booking officer assigned to each shift, the shift sergeant primarily works at booking, and is essentially the second booking officer. This substantially limits the ability of the sergeant to supervise their staff and manage the operations of the facility.

The records sergeant is responsible for inmate records and time accounting (sentence calculations), and fills in for the shift sergeants as needed. What is noteworthy regarding supervisor assignments is that the shift sergeant position has no relief position assigned to ensure that a sergeant is supervising shift operations every day.

The records sergeant reviews all completed booking files, manages inmate accounting, release dates, parole eligibility, and court documents. The security sergeant fills the role of security, training, discipline and institutional standards. This is the only facility where one person fills all of these roles.

The security component requires the maintenance of all keys, equipment, and conducting facility searches and inspections.

The training sergeant is the only trainer assigned to the facility. There are no certified FTOs on staff. Staff volunteers assist with orienting new staff. The training sergeant coordinates all pre-service and in-service training for the facility. Pre-service training includes a 40 hour orientation program for most correctional employees, as well as an FTO program, which provides structured on-the-job training for new employees. COs also attend a six week correctional academy program at some point during their first year of employment. In-service training includes required curriculum, with a goal of training each employee 40 hours per year. Current practice does not achieve the 40-hour goal due to staffing shortages.

The disciplinary component requires hearing all inmate disciplinary boards. In the month of May 2015, the sergeant convened 48 disciplinary boards averaging 45-90 minutes each.

The institutional standards component requires maintaining policies and responding to inmate grievances, of which there were 46 in the first six months of 2015.

In addition to these four major areas of responsibility, this sergeant also helps to provide breaks to the COs.

CO Assignments. The facility operates as an indirect supervision operation, which means officers are not assigned inside the living unit interacting with inmates. Instead, officers circulate through the units at 45-minute intervals.

The booking process requires the presence of two COs 24/7 to process commitments and releases from the facility. As mentioned earlier, the shift sergeant typically serves as the second booking officer.

One officer is assigned to the control room. This assignment is a 24/7 post and the officer monitors the video feed from throughout the facility, as well as emergency systems, including fire and panic alarms. Security doors are controlled from the control room and keys are also issued from this location.

There is no dedicated housing for inmates with medical issues. If an inmate has a medical condition that requires special housing, they are usually transferred to the Anchorage Complex.

Post 4 floor officer is staffed by a CO that is assigned to WD1 and WD2, which houses up to 23 general population female inmates. There is not always a female officer on duty.

The Post 5 floor officer supervises the six dormitories that house up to 130 male inmates, including all custody levels from newly remanded, to general population, to close custody.

The Post 6 floor officer supervises the gymnasium which houses general population inmates as well as inmate workers.

There is no dedicated escort staff. When inmates require movement to/from medical, visitation, or recreation, a floor officer must be pulled for this duty.

The outside work crew is a position that is staffed seven days on, seven days off from 0800 to 2000. This CO manages the inmate commissary, yard maintenance, snow removal, and outside errands, checks in daily deliveries, manages inmate clothing exchanges and inmate payroll, logs and distributes inmate mail, supervises inmate work crews, relieves officers for breaks, serves as a rover inside the facility, and assists the kitchen staff.

Roster Management/Scheduling/Minimum Staffing

Roster management and scheduling duties are performed by the security sergeant. The assistant superintendent develops the shift rosters 3-4 weeks in advance, while the shift supervisor schedules where each officer works. Deployment of security personnel is restricted due to "minimum staffing" levels that are established and mandated by facility and Department management. Minimum staffing does not necessarily account for job tasks and responsibilities, but is more driven by limitations on available staffing. Minimum staffing levels are as follows:

- Day shift (0600 to 1800) = Six total security staff
- Evening shift (1800 to 0600) = Six total security staff

The impact of operating at minimum staffing levels is significant. Three of the four shifts have only seven officers assigned, while the fourth shift has eight officers. This leaves minimal room to staff the facility properly when an officer calls in sick or takes vacation without having to use overtime staffing.

There is one administrative officer I position that is responsible for overseeing the non-custody staff (with the exception of the POs). The administration section of the facility currently has one administrative assistant II that supervises an office assistant I. These staff manage the budget, director's report, invoices and payments, payroll, inmate and staff travel, inmate mail, and facility supplies.

The Maintenance staff report through the administrative officer I. This section consists of two staff, both of which are maintenance generalists. The majority of the maintenance and repairs in the facilities are handled by this staff. They often encounter difficulties by not having specialists on staff. Maintaining the door locks is a problem, and keeping up with preventative maintenance is a problem.

The kitchen has two staff assigned, but one position is currently vacant. There is an effort to use approximately 24 inmates for food preparation, delivery and cleaning.

There are two PO II staff that handle the full caseload of inmates—approximately 140 cases each. There is not a PO III supervisor on-site. Instead, the PO IIs report to a PO III that is located in Anchorage. The POs work 7.5 hours Monday through Friday. All cases are assigned according to the first letter of the inmate's last name (A-K and L-Z). The POs classify all inmates, conduct CRC eligibility reviews and administrative segregation hearings, administer PREA and LSI assessments, supervise inmates at the CRC every other week, and serve as the PREA coordinator and prisoner transport officer (PTO).

There is one education coordinator that reports to the assistant superintendent and provides educational classes for the inmates. GED classes are provided through a contracted outside instructor. Public health provides STD classes twice a month, and the Alaskan Native Council offers Healthy Families training monthly. There is limited space for programming and testing in the cafeteria and an outside classroom, and there is a wait list for program participation.

Special Issues

There are a number of issues and problems that adversely impact executing the facility staffing plan as it is designed and filling all critical posts.

Overtime. In FY 2015, the facility used a total of 2,782.75 hours of overtime, or an average of 231.9 hours of overtime per month. This is a high number for a small facility. Two months (September and October) had more than 600 hours of overtime each, averaging more than 20 hours each day. There were just two months that had less than 100 hours of overtime. It is apparent from these figures that a proper relief factor is not being funded for the facility as benefit leave time is causing overtime hiring and staff shortages. If the relief factor was fully funded, this would be less likely to occur.

Shift Commander/Supervisor Posts. The shift commander sergeant position is the uniform commander of the institution and is often first in command when administrative staff are off duty usually on weekends and in the evenings. On each of the four operating shifts there is one sergeant assigned. There is no relief factor built in so that when the shift sergeant is on vacation or on some form of benefit leave, coverage that is provided is typically via overtime. Proper corrections practice dictates that a relief factor be applied to critical positions on the staffing roster.

Minimum Staffing/Impact on Security. Posts are not being filled on a regular basis because of lack of staff to fill them. As a result, minimum staffing levels have been established that are lower than what is required by the staffing plan. This typically results in positions not being available to supervise inmates because they are used for other activities.

Insufficient Relief Factor. It is apparent that there are insufficient staff available to properly fill the existing staffing plan. This problem relates to not accounting for accurate leave data that needs to be incorporated into the relief factor analysis in order to allow for sufficient personnel to meet the staffing needs.

Staffing Recommendations

The current Yukon Kuskokwim Correctional Center "Staffing Plan" is a plan that is designed to address the minimum security needs of the facility. Basic post locations are well-thought-out with few exceptions. The staffing plan is impeded; however, by the minimum staffing caused by vacancies and lack of available staff for assignment, which results in leaving posts not staffed because of the unavailability of personnel.

> *Relief Factor: Adopt a relief factor that provides adequate coverage for staff absences. Occasionally leaving a position vacant to address an operational need elsewhere is typical corrections practice. Reducing minimum staffing levels to the point where staff posts considered important to the security of the institution are left vacant as a matter of course is dangerous practice and can*

result in compromising institutional security and increasing potential liability. For example, not staffing a Rover position causes delays in inmate movement and proper assistance to staff working fixed security posts.

Sergeant positions have been established and funded to supervise the jail operations. These sergeants are deployed on each of the four 12-hour shifts at the facility. The positions are not scheduled for relief; therefore, when a shift sergeant is discharging benefit leave, any coverage must be provided via overtime.

Shift Commander/Staff Supervision: Provide relief staffing for the shift Commander/sergeant position consistent with the 24/7 staffing of the post. This would ensure that a command position is available to manage day-to-day operations in the facility, without resort to overtime.

There is one booking officer assigned to each shift. While the facility does not admit a large number of inmates on a daily basis, the booking officer is also responsible for supervising the maximum custody, suicidal and mentally ill inmates housed at Intake. The booking officer must also process multiple inmates in/out for the CRCs and supervise visitation. The shift sergeant currently acts as the second booking officer, limiting their ability to supervise the shift.

Booking Officer: Add a second booking officer position to each shift to assist booking with the processing of inmates and other associated duties. The volume of work and scope of duties supports this additional position.

There is no rover post in the current staffing plan. When inmates must be escorted through the facility, a floor officer must leave their post to perform this escort. When a floor officer takes inmates to the central dining area for meals, a second officer must be present. Often times another floor officer is pulled to be the second officer, leaving their housing areas unattended.

Rover: Add a rover post to each shift to facilitate movement of inmates and operational support of fixed posts. This will eliminate the need to pull officers from mandatory posts to provide escort coverage.

There are currently two food service positions, of which one is vacant. COs and inmates run the kitchen until the food service staff arrives at 0900. Even with both positions filled, the kitchen operation requires a minimum of three staff to operate seven days a week.

Food Service: Add a third food service position to provide adequate full-time support of the kitchen. The facility requires a food service foreman and two food service journey positions.

There are two general maintenance positions that attempt to manage all of the maintenance and repairs for the facility. When one of the staff is on leave, the other is burdened with 24/7 coverage. This often leads to COs having to fill-in for maintenance issues.

Maintenance: Add a third maintenance position to provide adequate coverage of facility maintenance needs. One position should be a maintenance foreman, while the other two may be general maintenance positions.

Long-Term Recommendation

PO: It is recommended that an additional PO be added to accommodate the caseload. There are two POs that manage the caseload of all inmates in the facility and the CRCs. The inmate caseloads are approximately 140 per PO.

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Superintendent	1.0	-	-	-	5	37.50	1955.25	No		1.00
Subtotal Director Posts	1.0	0.0	0.0	0.0		37.50	1955.25			1.0
Assistant Superintendent	1.0	-	-	-	5	37.50	1955.25	No		1.00
Subtotal Asst. Director Posts	1.0	0.0	0.0	0.0		37.50	1955.25			1.0
Custody Staff										
Lieutenants - CO IV	-	-	-	-						
							0.00		1754.00	0.00
Subtotal Lieutenant Posts	0.0	0.0	0.0	0.0		0.0	0.0			0.0
Sergeants - CO III										
Security/Disciplinary	1.0	-	-	-	5	38	1955.25	No	1754.00	1.00
Standards/Training	1.0	-	-	-	5	38	1955.25	No	1754.00	1.00
Records	1.0	-	-	-	5	38	1955.25	No	1754.00	1.00
Shift Supervisor	-	1.0	1.0	-	7	168	8759.52	Yes	1754.00	4.99
Subtotal Sergeant Posts	3.0	1.0	1.0	0.0		282.0	14625.3			8.0
Correctional Officers - CO I/II										
Booking Officer - Post 2	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Booking Officer - Post 2A	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Control Room - Post 3	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Floor Officer - Post 4	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Floor Officer - Post 5	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Gym Officer - Post 6	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Rover	-	1.0	1.0	-	7	168	8759.52		1754.00	4.99
Outside Work Crew	-	1.0	-	-	7	84	4379.76		1754.00	2.50
Subtotal Officer Posts	0.0	8.0	7.0	0.0		1260.0	65696.4			37.5
Non-Custody										
Administration										

Post/Position	8 Hr Day Shift	12 Hr Day Shift	12 Hr Night Shift	10 Hr Day Shift	Days/ Week	Hours/ Week	Coverage Hrs/Year	Relief	NAWH	Total FTEs
Administrative Officer I	1.0	-	-	-	5	37.5	1955.25	No	1754.00	1.00
Office Assistant	2.0	-	-	-	5	75.0	3910.50	No	1754.00	1.00
Food Service										
Food Service Foreman	1.0	-	-	-	5	37.5	1955.25	No	1754.00	1.00
Food Service Journey	2.0	-	-	-	5	75.0	3910.50	No	1754.00	1.00
Maintenance										
Maintenance Foreman	1.0	-	-	-	5	37.5	1955.25	No	1754.00	1.00
Maintenance General	2.0	-	-	-	5	75.0	3910.50	No	1754.00	2.00
Education Coordinator										
Education Coordinator	1.0	-	-	-	5	37.5	1955.25	No	1754.00	1.00
Probation Officers										
PO	2.0	-	-	-	5	112.5	5865.75	No	1754.00	2.00
Subtotal Non-Custody Posts	12.0	0.0	0.0	0.0		487.5	25418.25			10.0
TOTAL	17.0	9.0	8.0	0.0		2104.5	109650.4			57.4

PROBATION AND PAROLE

	Current	Short-Term Recommended	Long-Term Recommended
Probation and Parole			
Probation and Parole Director	4	4	4
Probation and Parole	155	155	155
Electronic Monitoring	17	17	17
Parole Board	5	5	5
Total	181	181	181

The Division of Probation and Parole (DPP) is organized into three regions of the state.

Region 1 covers the south-central area outside of the Anchorage area, the northwestern region, and the Aleutian Chain. There are five parole and probation offices in the region, including offices in Bethel, Dillingham, Kenai, Kodiak, and Palmer. The existing staff complement for region 1 district offices reported in June 2015 is as follows:

	Probation Officers	CJT	Admin Support	Total
Palmer	15	4	1	20
Kenai	9	1	1	11
Bethel	7	2	0	9
Kodiak	1	1	0	2
Dillingham	1	1	0	2
Totals	33	9	2	44

In addition there is a chief PO (PO V) supported by an administrative officer.

Region 2 covers the northern and southeastern parts of the state with eight parole and probation offices in Anchorage, Barrow, Fairbanks, Juneau, Ketchikan, Kotzebue, Nome, and Sitka. The authorized staff complement of Region II includes the following:

	Probation Officers	CJT	Admin Support	Total
Fairbanks	15	4	0	19
Barrow	1	1	0	2
Juneau	5	2*	1	8
Ketchikan	3	2	0	5
Kotzebue	1	1	0	2
Nome	1	1	0	2
Sitka	1	1	0	2

Anchorage PSI	5	1	0	6
Total	32	13	1	46
	* Includes Mental Health Clinician			

In addition to the above there is a chief PO (PO V), an administrative assistant II and an office assistant III assigned to the region.

Region 3 covers the Anchorage area and is comprised of the parole and probation office located in Anchorage.

	Probation Off.*	CJT	Admin Support	Total
Anchorage	45	10	3	58
Anchorage EM**	13	5	0	18
Total	58	15	3	76
	*Includes PO III, PO IV (EM) **EM is separate from Region 3			

The Anchorage electronic monitoring staff is located at multiple locations including Anchorage, Fairbanks, Juneau and Palmer.

Region 1 and region 2 have urban and rural supervision, with several offices throughout each region. Region 3 supervises urban cases in Anchorage. Although there is only one office in region 3, it is the largest by far, with 2810 offenders under supervision in January 2015, which is 49 percent of the statewide total under supervision (5,785 as of January 2015. The total supervised in Anchorage was further reduced to 2,676 as of May 2015, which is consistent with the statewide trend.

In addition to the district offices, there is an Interstate Compact for Adult Offender Supervision (Interstate Compact) office, which processes applications and reviews eligibility for offenders from other states wishing to serve their community time in Alaska or for Alaskan offenders who wish to serve their supervised community time in other states.

In general, offender supervision is based on a three-tier system, customized for urban and rural caseloads:

Urban

- *Maximum:* Report to PO every two weeks
- *Medium:* Report to PO once per month

- *Minimum:* Report to PO as needed

Rural

- *Maximum:* Monthly telephonic contact, a monthly written report, and if practicable a face-to face contact yearly and contact with a community member every two months.
- *Medium:* Monthly telephone contact, quarterly contact with a community member, and a monthly written report
- *Minimum:* A monthly written report if not on an administrative bank

Parole and probation offices are also required to conduct pre-sentence investigations and reports. Most reports come out of the statewide pre-sentence unit in Anchorage, but other offices prepared approximately 45 percent of reports, with 18 percent prepared or updated in the Bethel office and 24 percent in the Ketchikan office.

Supervision categories used by the DPP consist of the following:

- *Generic:* A default supervision category that includes anyone placed on probation or parole, excluding sex offenders. Offenders are categorized by risk and supervised consistent with policy guidelines.
- *Interstate*: Parole and probation supervision cases that have been referred for supervision to the State of Alaska through the Interstate Compact.
- *Mental health:* Offenders that have been diagnosed with an Axis I diagnosis, have an active mental health condition, or who have been identified as mental health offenders.
- *Domestic violence:* Offenders whose present offense is of a domestic violence nature.
- *PACE:* Offenders who have an identified substance abuse issue or whose crime of conviction may have centered on substance abuse issues. Offenders must have conditions that include prohibiting the possession or use of alcohol and drugs, testing for alcohol and drugs, and substance abuse treatment.
- *Pre-sentence:* Caseload consists of all new pre-sentence report orders generated by the superior court.

- *Sex offender*: Offenders placed on probation or parole supervision for a sexual offense or those that have sex offender treatment conditions.
- *Rural:* Offenders that reside more than 50 miles from a DPP office and receive one direct home contact annually, supplemented as needed by visits from village public safety officers under contract with the DOC.
- *Administrative bank*: Low-risk offenders who do not have a reporting requirement and are managed by CJTs.

Statewide, most offices had targets of 75 cases per PO on a generic caseload and less on specialized caseloads. These numbers have been significantly reduced in the last year with the passage of Alaska State Senate Bill 64 (SB 64), which funded 14 additional positions. This combined with a steady decrease in the number of offenders under supervision has resulted in improved caseload ratios. In July 2014 the total under supervision of DPP was 6,254. This has been reduced to a level of 5,785 by January 2015. As a result, the caseloads (with the exception of Region III, Anchorage, where caseloads remain in the 70-80 range), are more typically in the 45-55 range.

Offenders can remain on administrative or banked caseload as long as they meet the conditions of probation, have no violations, and restitution payments are made. Actual caseloads per agent differ depending upon the specific assignments and experience of the PO. Officers with more high-risk or specialized cases typically have somewhat smaller caseloads, as do new POs and POs responsible for covering large territories.

In the past, supervision strategy has had a law enforcement orientation with an emphasis on returning offenders to prison based on their conduct in the community. In recent years, the supervision approach has become more balanced between enforcement and programs, with the focus on positive outcomes resulting in successful discharges from supervision and lowered recidivism rates. This is a substantial and often difficult change in orientation and work culture for a parole and probation agency.

Caseload Size. Alaska DPP is challenged by geography and distance, which (except for the Region III office in Anchorage) creates supervision challenges unlike any observed in the other probation and parole jurisdictions within the United States. The result is that it is difficult to establish consistent standards of supervision that can be uniformly applied throughout the state. Home visits and personal clients are feasible in Anchorage and Juneau and other locations that can be considered urban. However, the same expectations cannot be

established in the remote locations of Alaska where weekly, monthly or even quarterly contacts are virtually impossible.

The problems of distance also impact the calculation of what is an expected caseload size for the POs. A caseload of 70 in Anchorage certainly presents challenges to the probation staff while similarly a caseload of 40 in Nome, Barrow or Bethel is equally as challenging for different reasons. Travel times for offender contacts, PSI interviews and research, court appearances, etc. present different challenges in the various locations within the state.

In reviewing the existing caseloads, all supervisory staff interviewed acknowledged that with the recent reduction of offenders under supervision, combined with the 14 additional staff, the overall caseloads are in the best condition they have been in the last several years. It was also stated that the enhanced caseload audits have resulted in offenders who are no longer under court or department supervision being removed from active caseloads more readily at the completion of the supervision term. This has significantly impacted the total number requiring to be carried on caseloads, thus reduced staff-to-offender ratios.

Office	Caseload Type	Office Type	Staff with Caseload	# Offenders	Average Caseload
Anchorage Probation	Generic	Urban	24	2074	86.4
Anchorage Probation	Specialized	Urban	10	455	45.5
Barrow Probation	Generic	Rural	1	66	66
Bethel Probation	Generic	Urban	4	180	45
Bethel Probation	Specialized	Urban	1	34	34
Dillingham Probation	Generic	Rural	1	71	71
Fairbanks Probation	Generic	Urban	10	335	33.5
Fairbanks Probation	Specialized	Urban	3	122	40.7
Juneau Probation	Generic	Urban	3	231	77
Juneau Probation	Specialized	Urban	1	43	43
Kenai Probation	Generic	Urban	7	333	47.6
Kenai Probation	Specialized	Urban	1	37	37
Ketchikan Probation	Generic	Urban	2	131	65.5
Kodiak Probation	Generic	Rural	1	57	57
Kotzebue Probation	Generic	Rural	1	63	63
Nome Probation	Generic	Rural	1	96	96
Palmer Probation	Generic	Urban	11	487	44.3
Palmer Probation	Specialized	Urban	2	84	42

*Caseloads as reported by DPP as of May 15, 2015

The department should strive to maintain the present levels if the offender caseloads begin to rise again in the future, but at the present there does not appear to be a need to increase

staff in order to achieve further reductions in caseload sizes. While some excessive caseloads exist, these situations can be corrected by a shifting of staff resources from locations where caseloads have been reduced to very low levels (20-30) to areas where higher caseloads still exist. An ongoing monitoring of caseloads in each of the district offices can permit a shifting of resources as needed.

Organizational Structure: An examination of the present organizational structure of the Division of Probation and Parole (DPP) was completed. A review of the three-region organizational structure indicates that this is the most efficient structure for the department given the geographical challenges that DPP is faced with in providing overall supervision of services. A four-region or two-region structure does not appear appropriate or efficient at this time.

Budgetary challenges in the past few years have resulted in a significant reduction in staff resources assigned to the director's office of DPP. The FY 2003 organizational chart for DPP indicated that a total of 11 positions reported directly to the director of DPP. As late as 2012, 8 staff reported to the director of DPP. That number now totals 1 position – an administrative clerk II. This leaves the director with virtually no resources to manage, supervise, monitor, and analyze the effectiveness and efficiency of the DPP operations.

Supervision Standards: One of the challenges mentioned that stem from the geography of the state is the difficulty in establishing effective supervision standards to maintain face-to-face supervision of offenders under the supervision of the DPP. Despite the recent reductions in offender caseloads, the number of contacts, either remotely or in person, are at minimal levels when compared to other jurisdictions. Even in Anchorage where distance is not an unusual challenge, there is minimal contact with offenders.

In interviews with staff at all levels it was found that the standards that are in place are not sufficient given the present caseload levels and are not enforced consistently from one office to another. The department policy on supervision standards qualifies the existing standards with the term, "if practicable." For example, it is not appropriate that standards state that "sex offenders that are assessed as medium supervision offenders should if practicable have a home visit conducted at least quarterly." DPP should revisit these standards as outlined in DOC Policy 902.02, "*Classification and Supervision Standards,*" and modify them as appropriate given the improved resources available to staff.

Staffing Recommendations

Deputy Director: Create a deputy director of DPP position that is responsible for the following:

- *Oversight of chiefs and DPP regions*
- *Daily operational issues*
- *Personnel matters in the division*
- *Assist in the review, analyze and interpret policies, procedures, statute, and case law*
- *Budget and purchasing coordination with the regions*
- *Quality assurance for operations and program delivery to include reviewing audits*
- *Assist in the resolution of complaints (staff, citizen, other agencies, legislative, etc.)*
- *EM coordinator*
- *Review and interpret data, statistics, trends, etc.*

Electronic Monitoring: All EM functions should be consolidated into a single unit. Presently the Anchorage EM office manages the majority of EM cases statewide. However, Wildwood and Ketchikan facilities manage EM through institutional based staff. In Kenai for example staff assigned to Wildwood supervise and manage EM cases for that area, not the DPP probation staff. The same situation occurs in Ketchikan. All EM functions should be managed by DPP and all EM functions should be managed centrally to ensure consistency in all aspects of the program.

Supervision Standards: Given the steady reduction of number of offenders under supervision and the accompanying reduction in caseload sizes to very manageable levels, the DPP should revisit its supervision standards and take the opportunity to enhance supervision contacts with the offenders. These standards should specify clearly the number and type of contacts that should

occur given the offenders risk levels. The standards should be specific in terms of the following:

- *Number of office contacts per month*
- *Number of home visits per month (with allowances for rural caseloads)*
- *Number of electronic contacts – either phone, Facetime, etc.*
- *Number of collateral contracts – verification of employment, contact with spouse, etc.*
- *Number of UA per month*

HEALTH AND REHAB SERVICES

	Current	Short-Term Recommended	Long-Term Recommended
Inmate Health Care			
Physical Health	146	172	178
Behavioral Health	56	59	60
Total	202	231	238

The delivery of health care services in DOC facilities faces a number of unique challenges. First of all, the DOC is a combined system that is responsible for both prisons and detention facilities. Although that responsibility is found in several other states, including Rhode Island, Connecticut, Vermont and Delaware, that group of states represents geographically some of the smallest states in the country. When states have to also run detention facilities, there clearly is a staffing impact because intake facilities must perform a nurse intake screen within the first 24 hours. This mandates nurse availability seven days a week.

Additionally, several of the Alaska facilities are located in remote areas. This creates a substantial difficulty for staff recruiting. The department uses 75-hour-per-week rotations as a recruitment incentive. Thus, when a health practitioner is on duty during the week, he or she puts in 75 hours in that week. This is created by working either 10.5 or 11 hours in seven days. With this approach, each person works 75 hours on their week on and then has a week off, during which they are replaced by a second nurse who works the same schedule.

Obstacles to Efficient Use of Resources

There are other difficulties experienced in the DOC with regard to the provision of health services. Very few of the clinics in the facilities maintain a CO post in the clinic when patients are there. Not only does this diminish, for the health care staff, the sense of security of the clinic environment but it also reduces the efficiency of the use of space. In most correctional clinic areas, officers assigned to those posts control the flow of patients in and out of the clinic area. Although most of the clinics do utilize an officer to escort patients to the clinic area, that officer is also responsible for escorting the patient back to the housing area.

Another problem that inhibits the efficiency of the use of health care resources is the design of the clinical space. Many facilities have literally only one exam room in the clinic areas. On any day shift, the nurse may need to see a patient in the clinic for either sick call assessment or health education or wound care, the nurse practitioner or physician may need to see patients for sick call, chronic disease management, or follow up from scheduled or unscheduled off-site services, the mental health staff may need to see patients for assessments

or counseling, and nurses may need to perform phlebotomies or electrocardiograms. These required services create tremendous inefficiency when there is only one appropriate space in which they may be provided.

These obstacles to efficiency, in addition to staff vacancies (and in some instances inadequate numbers of budgeted resources), have created programmatic and service deficiencies which are significant.

Program Needs

Clinicians. A departmental review identified that the documentation in the medical segregation (infirmary) area lacked, in some instances, adequate admission and discharge notes. These are very important in summarizing not only the problems the patient has at the time of admission but also characterizing the acuity level and developing an appropriate admission plan for the patients. Similarly, discharge notes were sometimes deficient and these are critical in providing plans for follow up within the general population. Additionally, the frequency of documentation of daily rounds was not necessarily consistent with the acuity level of the patients.

Beyond the medical segregation area there have been problems with the frequency of follow up of patients with identified chronic diseases in the general population and this may also impact on the consistency with which clinical guidelines are adhered to by the clinicians. Routine health maintenance is sometimes sacrificed and some patients sent offsite may not have needed to be sent offsite if the follow up was more assiduous onsite.

Another significant problem contributing to offsite send outs is the absence of sufficient medical infirmary beds in the system. At ACC there are up to 14 infirmary beds. There is physical space for an infirmary at Goose Creek but this is not staffed. The result of this bed shortage is lengthening of patient stays in the outside hospital. Fully staffing the Goose Creek infirmary is essential to reducing reliance on off-site care and will offset the cost of required new staffing by the decrease in outside hospital expenditures.

There are six vacant nurse positions that need to be filled to adequately staff the infirmary at Goose Creek. One of those six is a supervisor. Opening up that infirmary will result in substantial cost savings due to the earlier return of currently hospitalized patients as well as avoidance of some potential hospitalizations by more intense monitoring within the Goose Creek infirmary.

Nursing. Among the nursing responsibilities that have been compromised because of insufficient staffing resources or vacancies is the ability to consistently monitor the health care equipment, ensuring that the equipment is operable. Additionally, care coordination on transfers between facilities has also been compromised. Nurse staffing deficiencies have contributed to delays in performing sick call as well as delays in providing phlebotomy services. This becomes compounded when follow up on lab results is also delayed. A significant problem has been the absence of or lack of frequency of emergency drills.

It is extremely common for nursing supervisors to spend most of their weekly time filling in for existing staff vacancies or call ins. The end result is inadequate supervision and oversight of the line staff performance. At the time of our visit, there were at least 15 institutional line nursing staff vacancies throughout the DOC.

Behavioral Health. With regard to behavioral health services, the relative deficiency of resources has resulted in compromise of services required in the following areas: delays in intake screening, delays in transfer screening, delays in the completion of consult referrals as well as a compromise in ongoing counseling with patients. This can lead to greater timeframes of patient instability.

Central Office. The most obvious need in central office is for a meaningful quality assurance/quality improvement program. Whether it is the chief medical officer being unable to provide the clinical leadership he feels is necessary and to utilize data to assist the clinicians in improving their performance; the director of nursing's ability to provide guidance to her staff with regard to nursing performance related to sick call assessments; the chief mental health officer's ability to collect and utilize data to improve the quality of the mental health services; or the health care administrator not being able to work with an organized group to improve the quality of services, critical components of the management infrastructure are not being built. That infrastructure includes not only the development of new policies but the review and revision of existing policies and procedures that provide guidance to staff with regard to how the services are provided.

The DOC has assembled a talented leadership team within the central office, which could provide substantially more proactive management of the health care system if adequate resources and certain efficiencies existed. The quality of a central office program is measured by the adequacy of the quality assurance program, the adequacy of the oversight and supervision provided to line staff and the appropriateness of the collection of policies and procedures used to guide staff services.

The centralization of health care system management under clinical professionals located in the DOC's administrative headquarters is consistent with best practices in correctional health care administration. This approach ensures that qualified health care professionals oversee service delivery and provides substantial flexibility in allocating resources to meet overall system needs. Given the shortfall in needed health care staff resources, this flexibility is vital in responding to emergent issues and needs.

Quality Improvement. For all three disciplines, both clinicians and nurses, as well as behavioral health professionals, there has been to some extent an absence of systematic and organized data collection with an understanding of how to use that data to improve the quality of services. This is a programmatic deficit which will eventually lead to increased liability for both the patients and the state. It also may have an impact on retention. Health care professionals are taught that they should come to work with an eye towards learning how to improve both their performance and the quality of the services they provide. To the extent that there is an absence of such organized activity, staff whose need to improve is unfulfilled may in fact choose to work in another location.

Staffing Analysis

This analysis divides the correctional system into two categories of facilities: those with populations less than 400, of which there are five, AMCC, FCC, LCCC, YKCC and KCC and those with populations above 400, which includes MSPT/PCC, SCC, WCC/WPT, GCC, ACC and HMCC. The rationale for dividing the facilities into two groups is prioritization of need. The project team's extensive experience with the delivery of correctional health care indicates that the smaller facilities generally do not require 24/7 health care staffing onsite. Facilities of this size typically utilize an officer on-call system. These systems enable the officers to put the patient on the telephone with a clinician who can perform a phone triage of immediate symptoms. Across the United States in fact, it is unusual to find rural facilities of this size to have 24/7 health care staffing. In terms of volume, there is a lower probability of liability to the patients and the state in these smaller facilities. Also, the DOC's traveling nurse strategy provides good backup coverage for these remote locations.

With regard to the larger facilities (as defined by capacities in excess of 400 beds), the nurse staffing needs to be treated in the same way as an officer post in terms of mandatory relief. Staff in these facilities have certain daily obligations which must be acquitted without interruption. This includes remand screening, medication administration, emergency response and sick call. Coverage of these responsibilities dictates funding a relief factor for nursing

positions to avoid undue reliance on overtime or part-time nurses to provide these vital services.

Short-Term Staffing Recommendations

RN Relief: Providing 20 additional RNs to for relief coverage at Goose Creek, ACCC, HMCC, Mat-Su/Palmer, Spring Creek and Wildwood will substantially improve staff coverage and reduce reliance on overtime and contract nurses.

Lemon Creek LPN: One additional LPN position should be established at LCCC, which will enable the LPN staff to work seven days a week providing medications.

Fairbanks RNs: Two registered nurses should be added to FCC due to its fairly substantial daily sick call as well as remand screenings. This would provide roughly an additional eight hours a day, seven days a week for the entire month.

HMCC Physician Hours: The higher degree to which the female population utilizes health services requires additional physician coverage for this population. Our analysis indicates a need for 0.40 physician FTE hours to be added at HMCC. This will result in a half-time physician assigned to the facility.

GCCC Physician Hours: The size of this facility dictates an additional half-time physician to provide adequate coverage.

ACC Physician Hours: The volume of offenders entering the facility through the intake process in conjunction with the facility's central role in providing health care to the correctional system produces a need for an additional 0.50 physician FTE hours.

Mental Health: The overall demands for care throughout the system support the addition of three mental health clinicians to be allocated on a flexible basis as needed by the director of mental health services.

Long-Term Staffing Recommendations

System Management/Coordination: In order to address the management infrastructure issues identified above, the central office requires one RN health educator and one RN quality assurance coordinator. The two positions go

hand-in-hand. Your quality assurance program will not be comprehensive unless there is a nurse dedicated to teaching staff how to improve their performance. The quality assurance coordinator can collect all the data and determine where the deficiencies are but many of the performance issues will only improve if a health educator provides the needed training. A data analyst should work with the quality assurance coordinator, whose responsibilities include not just the nursing program but also the medical program, the mental health program and the dental program. There is a substantial amount of data that needs to be collected and analyzed and then utilized in order to improve the quality of services. An additional administrative assistant is also required to support the administrative leadership team. Finally one additional pharmacist and a half-time pharmacy technician should be added to provide improved service delivery in the system's pharmacy program.

ADMINISTRATIVE SERVICES DIVISION

	Current	Short-Term Recommended	Long-Term Recommended
Administration			
Commissioner's Office	6	6	6
Administrative Services	37	37	37
Research and Records	4	4	4
Information Technology	17	23	23
Facility Capital Improvement	4	4	4
Total	68	74	74

The administrative services division (ASD) of the DOC is charged with numerous and diverse functions in support of department operations. Included in the functions performed are budgeting, procurement, information technology, facilities management, human resources, accounts payable, research and records management. Staff in this division have broad and varied backgrounds and qualifications for the many positions necessary to handle the variety of services in support of a complex state agency with many mission critical functions in a 24/7 environment. Staffing varies considerably in each unit of the division, as do the qualifications, background, and experience of the staff employed. As with all Alaska state agencies, positions are authorized as part of the budget process and each position has a unique position control number (PCN) assigned to it. Often the terms position and PCN are used interchangeably, although perhaps incorrectly.

The ASD provides support for the DOC's two main operational divisions: the division of institutions and the DPP, as well as for the commissioner's office, inmate health care, and its own division.

Overall, ASD provides services in an efficient manner, but staff resources are stretched to the point that work is delayed, incomplete, or not thoroughly reviewed. Agency spending on administrative services (administrative services, information technology and research and records), according to the FY 2015 budget (FY 2015 management plan), amounts to $7.2 million (2.2 percent of total agency budget of $333.04 million). The 2014 performance review of the DOC noted that DOC's FY 2015 spending on "administration and support" (which includes administrative costs incurred at correctional facilities and other units of the department, rent and costs from the office of the commissioner) was expected to be $10.5 million. That level of spending is approximately 3.7 percent of total department spending that year. According to the report, the American Corrections Association shows on average state correctional systems spend approximately 6.7 percent of their funds on administration.

Compared to that benchmark, spending on administrative services is only half of what is found in other states.

Director's Office

The ASD is under the leadership of a division director. The director's office is also staffed with a deputy director and an administrative Assistant. Although the director's office is in Juneau and all office staff are located in Juneau, the division's workforce is in multiple locations with many division units and staff having offices in Anchorage and some in certain correctional facilities as well.

In addition to providing leadership and directing seven sections, human resources, procurement, accounts payable (finance), budget, records and research, information technology, and facilities management, other specific tasks that are performed within the director's office include fiscal planning, developing and monitoring performance measures, telework approval, personal vehicle approval, dealing with department ethics policy and issues, and special projects.

Facilities Capital Improvement (Facilities Management)

The facilities capital improvements unit, also called the facilities management (FM) unit, is organizationally within the DOC's division of administration. The section (unit) has four positions, all filled, and all staff are located in Anchorage. The unit manager (FM manager II) has been with the DOC for 27 years and has been in his current position for 2½ years. The facility manager I positions are filled with long time DOC staff with 10 and 4 years of experience. The accounting technician II was recently reclassified based on the expanded nature of duties that are beyond the prior classification of administrative assistant.

The DOC has 12 facilities across the state providing more that 1.8 million square feet of housing, administration, programming, medical care, kitchen/dining and other space. Facilities Management's main objective is to reduce the deterioration of old facilities and components of facilities. FM's focus is on fixing or replacing major components, systems and facilities and on implementing a legislatively mandated program to increase energy efficiency and reduce future energy costs. The unit is responsible for planning, designing, contracting and coordinating major and minor facility construction projects. In addition, it has responsibility for implementing Federal Occupational and Safety Hazard Administration (OSHA) safety programs. Each facility has its own on-site maintenance staff to deal with minor issues, while FM deals with larger projects.

The unit maintains a six-year master plan of projects. Currently there are 27 projects on the plan ranging in cost from $300,000 up to more than $2,000,000. Projects are prioritized based on need and criticality of the asset. Projects are in various stages of completion ranging from design to near completion. All of the state's capital projects, such as construction projects, fall under the authority of the Alaska Department of Transportation (DOT). All projects exceeding $25,000 are considered capital projects. The DOT has delegated authority on projects costing up to $300,000 to state agencies. Above that amount, DOT has the authority to (and usually does) manage those projects, with a few exceptions. The DOT can however delegate its authority for bigger projects to state agencies. The DOT has delegated authority for DOC to handle much larger projects than it typically allows other departments to handle. This is due to the uniqueness of their facilities and how well DOC has handled construction projects in the past. Most construction work is performed by vendors, while the FM unit manages the contracts and the projects.

Preventative Maintenance. The FM unit has purchased a preventative maintenance management program (PMMP) to track and reduce the deferred maintenance backlog and improve how preventive maintenance is provided at facilities across the state. The primary objective of PMMP schedule software is to prolong the life of assets with a preventative upkeep schedule. This maximizes asset value and helps limit unnecessary replacement costs. It achieves this by scheduling routine equipment upkeep, reducing downtime by combining maintenance tasks when possible, and reducing expenditures and downtime for repairs when poorly maintained systems and equipment break. PMMPs create schedules for regular/routine upkeep, which alerts staff of upcoming tasks, generates work orders, schedules any vendors for routine care and can even indicate tools and other resources necessary to complete a task.

OSHA. Responsibilities related to FM's OSHA roles and responsibilities include implementing a statewide online materials safety data sheets (MSDS) program to help ensure compliance regarding OSHA mandates on the handling and storage of hazardous materials. Also, it is implementing a training plan for *The Globally Harmonized System of Classification and Labelling of Chemicals* (GHS). The GHS is a system for standardizing and harmonizing the classification and labelling of chemicals, which are used extensively throughout prisons, jails and other institutional facilities. It is a comprehensive approach to defining health, physical and environmental hazards of chemicals, creating classification processes that use available data on chemicals for comparison with the defined hazard criteria, and communicating to users the hazard information, as well as protective measures, on labels and safety data sheets (SDS).

The unit is appropriately staffed for its facilities management duties at this time; however, when the DOC was in the facility construction mode, this was not the case. The enhanced and growing responsibility of the unit for OSHA related activities in addition to implementing programs (including audit/inspection responses, receiving and attending OSHA provided training, and training DOC staff) is a potential concern. Based on the level of effort required for OSHA related issues by the FM manager, this seems to be a role that is taking less than 20 percent of his time and less so for other members of the FM unit. At this time, there is not sufficient justification for an additional full-time position.

Because the level of effort needed to implement, oversee, and train on OSHA requirements is less than a full-time duty at this time, these roles are ideally suited for a *shared service model* of staffing. There are other state agencies with institutional housing facilities, such as the Department of Health and Support Services (DHSS) that have the similar or the same OSHA related safety requirements and duties. If funding from other agency(s) with similar needs can be combined, a PCN could be hired and provide services to more than the one agency using a shared services model.

Human Resources

The human resources (HR) unit of ASD has a manager and a team of eight staff to handle HR-related duties for the department of more than 1,800 staff. The unit's two main functions are recruitment for DOC and dealing with department personnel performance. Certain HR functions are performed for all state agencies by the department of administration (DOA). The DOC-HR unit has frequent contact with DOA human resources and legal staff.

The recruitment function is handled by four staff all located in Juneau. There is an HR resources specialist II who supervises an HR tech II and two HR tech I's. They are referred to as HR consultants. In addition to background checks, all new employee recruits must pass physical and psychological exams, which are conducted in Anchorage. On average they have hired more than 300 staff per year over the past three fiscal years (FY-2012, 2013, 2014). That number is higher than historical averages due to the opening of Goose Creek CC, and FY 2015 figures are not available yet. Nevertheless hiring remains active as there were more than 125 vacancies at the time of this study. Certain positions such as COs, POs, and some medical positions have high turnover, especially in certain locations.

In addition to this centralized HR unit, each facility has a hiring manager. In most facilities that is a secondary duty of an administrative sergeant. This decentralization of certain HR functions occurred in 2012. This bifurcated hiring system creates problems for staff at facilities

and in administrative services and creates a rather cumbersome and inefficient process. This process is further complicated by the role the DOA has in hiring.

The other four staff members in HR form the management services group and perform more general HR functions. The function consuming most of their time is dealing with employee evaluations, employee grievances, and payroll errors. Every employee evaluation is reviewed and approved by the HR unit. Evaluations are annual so there are around 150 per month that need to be processed by this unit.

Grievances. In FY 2015, 20 step, I,027 step II, 24 step III, and 11 step IV grievance were filed. For step level I grievance, HR staff will often help the employees' supervisors craft responses. Level IIs, IIIs, and IVs are handled centrally. Level II responses come from the manager of HR, who will work with the DOA on his response. Depending on which bargaining group an employee is a member of, certain level III and IV responses come from the commissioner's office. Most grievances are resolved informally at the step level I. Those cases that go beyond the informal resolution must follow a rigid, formal grievance process with strict action dates. At any given time there are more than 100 grievances being dealt with, and each can take weeks to conclude. The DOC includes the DOA in discussions and the DOA must concur with agreements. DOA reviews all decisions and according to DOC officials, is showing more trust in DOC's decision making.

The HR unit also handles inmate ADA complaints, which require investigations at facilities. There are currently 24 ongoing investigations into ADA compliance. At one time these investigations were conducted by the DOC's compliance officer, but that position was eliminated and its duties transferred to HR.

Because the DOA is involved in all but step I grievances, it seems that all appeals, investigations and other actions could be performed by that agency without involvement of DOC-HR staff. At one time the process was more centralized with DOA having the lead role, but the process was decentralized about 10 years ago and now involves resources of both departments. Turning the grievance process beyond informal resolutions over to the DOA would relieve the unit's workload.

ERP. At the time of this study there is no state of Alaska statewide human resource enterprise resource planning system (ERP), although according to DOC staff interviewed one is being developed and expected to be rolled out in 2016. The state is currently rolling out a new state agency-wide financial management system (IRIS).

Corrections departments across the country have or had a common problem of time and attendance recordkeeping for their employees. Alaska is no exception; it has difficulty accurately tracking employee time and attendance with its inefficient, manual payroll recordkeeping system. As the State of Alaska purchases or develops a robust human resources management system a priority should be functionality that allows the DOC to track employee time and attendance in a fully automated system.

Hiring/Recruitment. Filling certain positions at the department is a constant struggle, which keeps this group extremely busy. There are always openings for CO and medical professional positions at certain facilities so they are always applicants being considered. DOA requires the DOC to post for a vacant positon for each specific position called a PCN (position control number) rather having than an "open posting" for positions that are constantly being vacated and refilled. Compounding the problems created by this policy, is that Alaska DOA rules require applicants to apply at a specific facility that has an opening rather than centralized, single application process. When there may be CO vacancy postings at several facilities, interested applicants must fill out applications and be interviewed at each facility.

There is no central recruitment office. Applicants not only have to file an application at each facility or location, they have to go through interview(s), vetting and other HR recruitment steps at each facility for the same position. Many applicants are willing to work at any of several area facilities. The question is why make them go through the same step over and over again. In addition, facility staff, usually the administrative sergeant at each facility has to repeat steps that other administrative sergeants have already performed for the same candidate at other facilities. The inefficient process and policy is full of redundant steps, and makes no sense for applicants or for the department and should be eliminated.

Accounts Payable / Finance and Fiscal Office

The accounts payable unit, which is also called the finance and fiscal office, handles a multitude of financial, accounting, banking and other duties for the department. Duties performed include accounts payable; processing inmate banking revenue; man-day billings; preparing periodic financial reports; depositing and accounting for electronic monitoring receipts; accounting for all field cash collections; helping ensure facility and CRC "tills" are properly accounted for, balanced, monitored, and audited; providing inmate travel funds and their bank account funds upon release; account for medical co-payments; auditing personnel effects documents and paying claims for missing personnel effects and other property; and issuing IRS form1099s to inmates for earnings while under the held by the DOC. Despite all

this other functions and duties, most resources in the section are devoted to the accounts payable functions.

The unit will do summary level data entry for the state's new financial management system (IRIS) as facilities and field offices will not have direct access to that system. This will require document verification, signature verification, and coding reviews for accuracy before data is entered into IRIS. For the immediate future they will be using the current financial (AKSAS) system and IRIS, so certain workflow activities will double.

The unit is managed by the department's finance officer. The unit's staff members are trained in numerous areas so they can backup each other when staff are out, and check and certify each other's work to minimize errors and ensure internal controls are followed. The manager estimates they process more than 1,000 items per person per week with more than 800 of them requiring others in the unit to certify the payment for coding and authorization.

Although they would like to process invoices in a matter of days, accounts payable has become an issue this year, as at times there has been a large backlog of invoices to be processed, which causes the department to incur prompt payment penalties (due after 30 days) for untimely payments. In recent years, the backlog had grown to the point that payments were taken as many as four months to process. To deal with the growing backlog, the unit manager and division director instituted an invoice scanning and emailing process to eliminate much of the time-consuming effort required when dealing with paper invoices. This effort has improved processing of invoices to the point where the inventory of invoices to be processed had fallen to less than one week's worth in early 2015. With the roll out of the new state financial management system in July, the backlog has increased again. This is attributed to a learning curve for the new system and its major changes in processing, structure and coding, and because of the additional processing steps required with the new system, some, but not all of which, are due to keeping two sets of records.

Another unit goal is to pay travel vouchers within 10 days, which they work hard to achieve because they do not want employees to have to cover out of pocket travel-related expenses without being reimbursed promptly. Work load is heavy and constant, and reviewing, researching, and auditing of invoices has become more time consuming, especially when dealing with payments for complex purchase orders for medical care services and products. According to senior unit staff, they do bill insurance companies when they determine an inmate has medical or other insurance coverage, but according to staff this becomes a "pay and chase proposition" with minimal return.

According to division staff, there are 12 PCNs: a unit manager, 10 staff mostly dealing with accounts payable processing and one who deals mostly with revenue. The workforce in this unit is pretty stable other than the accounting tech positions, which, due to low pay and other higher paying opportunities throughout state government and the private sector, have very high turnover rates. At the time of this study the accountant III position was vacant. Reportedly, staff work hours is excess of the 37.5-hour work week, but because most are exempt employees they do not earn overtime pay, only compensatory time, which is seldom taken.

Invoice Processing. Several vendors insist on a single payment per invoice/purchase order even though they are submitting many invoices at same time. This increases the number of payments needed to be processed and issued for multiple purchases from the same vendor. The state permits vendors to request single payments per invoice versus receiving a single payment for multiple invoices. The issuance of checks (state vouchers) is estimated to cost $79 (a calculated unit cost) while electronic payments (EDI) cost only $19 per transaction to process. So while it would cost only $19 to pay a vendor for 10 invoices electronic delivery interchange (EDI), a vendor may request that each payment be separate, which would cost the state $190 (10 x $19) in processing. The exception was made because the early versions of electronic payments could only reference one invoice and vendors had no way to determine which invoices the state was paying. At this time, to deal with those occasions and vendors, the department will issue a single check (paper warrant) with evidence/documentation of all invoices paid, which costs $79 (five times as much as an EDI, but less than half of what it would cost for 10 EDI payments); which in this example, would save the state $111, but would still cost more than a single EDI payment ($19) with a single payment addendum showing invoices.

The current practice is inefficient and should be discontinued. Check issuance and processing is costly compared to electronic delivery interchange (EDI), and this practice should be eliminated if possible. Should the department not be able to do this on its own, it should seek request the DOA do what is needed to make the necessary changes.

Work load is high, exacting, and very demanding, but according to the unit manager, performance, with a few exceptions, is meeting expectations. The frequent and prolonged vacant positions in the unit caused by a high turnover of tech positions may be the major contributor to the perceived level of pressure and stress, the volume of work per employee, and the excessive hours worked per week. According to senior division staff, employees in this unit routinely work 50 or more hours per week. Nevertheless, based on other interviews, the unit appears to the study team to be staffed at the appropriate level, when fully staffed and

not having to constantly train new hires. Workload measures would need to be analyzed to ensure that is the case. This appears to be a unit that could benefit from the usage of temporary or permanent part-time staff, especially when there are several staff on leave, when there are extended vacancies, or during the upcoming transition months to the new financial management system because data entry will be required in both financial management systems.

Budget

The budget unit is managed by a budget analyst IV. There are two budget analyst (II or III) positions according to the most recent organization chart. All staff members of this unit are located in Juneau. The manager has worked in the budget unit for four years and was promoted to lead position (budget analyst IV) in early 2015. The other staff members have several years of experience in this section as well.

This unit does much more than budget, as the budget team handles fiscal notes, performance measures, priority programs, and the record keeping for certain revenue accounts. The new state financial management system will create new challenges with changes to account structure and coding. The FY 2016 "management plan" budget will be loaded to the new financial system during the first month of the new fiscal year in July 2015. This includes operational and capital budgets. They will have to load it into the current (older) system as well, because two set of books will be maintained during transition. There is no formal budget training provided by the state, and the informal training staff receive is on the job. The group is fortunate that the division director came from this unit, so she is well equipped to answer questions, provide guidance, and mentor staff.

They bill the U.S. Marshal and other federal agencies for inmates serving time in Alaska facilities that are the federal government's responsibility. The information needed to determine inmate bed-days for billing purposes is tracked in the DOC's inmate management system, ACOMS. They do not capture administrative costs associated with housing federal inmates. They are not able to capture the cost of care for inmates, especially those in special housing such as administrative segregation and mental health housing. They do, however, charge for transporting federal inmates. Also, they do not bill other states for their inmates, nor do other states bill Alaska for the approximately 15 housed in Colorado and Washington.

Staff are fully cross trained and can back-up for anyone who is out on leave. Work in the section has changed in recent years from one that had only a few peak months each year (budget preparation and loading the new fiscal year's budget into the financial system).

Compounding the high workload is the rollout of the new statewide financial management system, which has taken workload from heavy to excessive.

As with most state agencies, the largest budget item is for personnel services. The DOC has 1,861 authorized positions (PCNs) plus 20 double fills for a total of 1,881 positions. The number of vacant positons is believed to be approximately 120 at this time. In addition, there are another 60 temporary positons authorized for medical services. Each positon classification has a built in vacancy factor determined through the budget process, so that most positions are budgeted at less than 100 percent. The department has no time clocks or other automated time accounting system to capture actual work hours, which is important to ensure payroll accuracy.

"Double filling" positions is a practice used by the DOC to hire two people for a single position (a PCN). The DOA allows DOC to do this on a limited basis for certain positions that are constantly vacated and for which there is always a need to hire new staff. The positions with the most turnover and vacancies are COs and certain medical staff. This practice helps stabilize the workforce without requiring additional permanent positions.

Procurement

This unit is managed by the procurement officer, a procurement specialist V, who manages a staff of nine purchasing professionals located in offices in Anchorage and Juneau. The table below shows the level of activity in this section over the past three fiscal years. The activity level in 2015 was less than two prior years, as indicated in the following table.

Purchases and Contracts	FY 2013	FY 2014	FY 2015
P-Card	105	110	108
Purchases (Delivery Orders)	2358	2681	1920
Medical Supply Orders	747	743	653
Vehicle & Heavy Equipment Purchases	30	19	6
Cell Phone Purchases	5	17	6
Leases	30	30	30
Construction	34	24	45
Contracts	215	250	295
Total	3,524	3,874	3,063

Source: DOC Administrative Services Division
*Totals do not include small purchases under $1,000 or purchases from store accounts.

The biggest challenge this unit has is transitioning to the new financial management system (IRIS). Everyone in the section has received and is still receiving training. IRIS went live on July

6, 2015, but the purchasing modules are not going live until June 1, 2016. During the transition period, purchase orders will be in the current system and payments in the new system, so for a few months there will be double entries and other additional work, such as tracking purchases and payments on spreadsheets as a backup. The new system has completely different structure and coding and contract/purchase order numbering (that is not agency specific). Those attributes will increase the amount of time needed for workflow as well. The new system encumbers funds at the time a purchase order is entered, so there will likely be many more adjusting entries. They expect turnaround time for purchasing and contracting to be slower at least for a while. They are also updating a policies and procedures manual based on the new system. Workflow and knowledge gain and knowledge transfer will be an issue for a while, so the stability of the workforce in the section is important.

Although at one time there was concern shared by division leadership that the new financial management system would cause some retirement-eligible members of the section to leave, that has not been the case, so far.

The unit appears to be staffed sufficiently given the number of facilities and CRCs at this time. However, any changes to the number of facilities and CRCs would impact staffing needs. There are two supervisors (procurement specialist III, one in Juneau and one in Anchorage). These supervisors, like all supervisory and management positions in ASD, are working supervisors, as they process work, and like all staff in the section are cross-trained to handle all section workflow. Division leadership with the appropriate knowledge and experience will pitch in and process work in this and other sections when needed as well.

The section also has responsibility to certify ignition interlock devices, which are installed on offenders of DUI laws' vehicles. The section's job is to certify the device (there are several vendors/products), but the unit manager in charge of this function finds himself spending a significant amount of time responding to questions about the program that come from all interested parties. He issues five to six certifications per year.

Alaskan government has a policy to encourage buying from Alaskan vendors. This vendor preference policy is taken very seriously by the DOC, which includes appropriate language and procedures in all bids and proposals prior to purchasing materials and services.

The inmate health supply tech II is located in a separate location in Anchorage where medical supplies are handled. This is a very busy job and the staff member is authorized to work up to 10 hours per week overtime as needed. There is another procurement section supply tech in

Anchorage at another location that provides backup for the health supply tech when she is on leave and helps out several hours per week on a regular basis.

Workload in medical supply is heavy and even excessive at times, and when the inmate health supply tech (medical supply tech) is on leave or there is no additional help available, it can lead to delays in processing. If the medical supply tech is working 10 hours per week in overtime and another supply tech helps out for two four-hour shifts per week, using a part-time position working 15 to 20 hours per week would provide the hours needed at a lower cost per hour and reduce what appears to be an extreme number of hours being worked by the inmate health supply tech. This seems like an ideal situation for a part-time position.

Research and Records

The research and records unit is located in Juneau. This is a four-person section with a manager (research analyst IV), a research analyst II and two microfilming/imaging operators. At the time of this staffing study, the unit manager (research analyst IV) is serving as the acting manager of the DOC's information technology section in addition to managing (and conducting analysis and research) research and records.

Data requests come from sources inside and outside of the department, including other state agencies such as DHSS and DOL and from courts. They are very busy during the legislative sessions because in addition to the requests for data and data analysis, they track legislation, do bill analysis, and prepare impact statements for proposed legislation that may affect the DOC. The two research analysts do the research and analysis, while the two micro/filming operators handle record requests. They get many requests from courts for older records during recommitment hearings. The search for and collection of records may take considerable time. The DOC keeps records for 50 years after release and at this time has more than 15,000 banker boxes of records in several storage sites plus what is at correctional facilities. According to the unit's manager, the federal government only keeps similar records for seven years after an inmate's release from prison.

The unit has started an imaging project, but has made little progress as more new records arrive faster than old ones can be scanned. Records are collecting faster than they can be imaged, which has created an imaging backlog, a storage problem and storage costs. The DOC should push for a change in the law regarding retention policy of inmate records. Destroying thousands of old boxes would obviously reduce the imaging project backlog and would save the state money associated with storage and imaging. Because the unit cannot make any progress on their imaging project it should consider outsourcing imaging to a vendor or even another state agency, if one has the capacity.

Data analysis is hindered by the poor quality of data in the DOC inmate management system, ACOMS. According to senior staff, in that system there are many records with incomplete data fields or inaccurate data. Much of the loss of data integrity is attributed to conversions to new databases in 2002 and 2010, to poor data entry practices in the field, and the elimination of system data checks, which was done to reduce data-entry delays during inmate intake processing. A lot of analyst time is spent cleaning data prior to analyzing.

The manager of this unit is also serving as the acting manager of the department's IT section. Although he can capably manage staff in both sections, he is not able to do the quantity and quality of research and analysis that is expected from the manager position in the research ad records unit. This situation requires him to work extra hours at times to keep up, places more burden on the research and records section analyst, and reduces the amount of work the section can produce. That is not a sustainable condition.

Information Technology

The information technology section (IT or MIS) provides the DOC with technology services including desktop supports, program development for the DOC's inmate management system (ACOMS), networking and help desk support. The 2015 organization chart shows a total of 17 PCNs. Staff are located in Juneau, Anchorage, and at several of the larger correctional facilities. The section is organized in three groups, each with a supervisor. While the IT section manager is located in Juneau, the group supervisors are located in Anchorage. At the time of on-site interviews for this study, there are two vacancies, the section manager and a programmer.

The DOC has more than 1,200 CPUs (laptops, desktops, and servers) whose users have needs for support, for updates, for help with technical problems due to networking and computer hardware or software problems, and for general questions. And unlike most state agencies, the DOC is a 24/7 operations, where information critical to inmate, staff and public safety needs to be available at all time.

DOC staff, both management and line, throughout the division and across the agency, express major concerns regarding this unit's performance. IT staff indicates awareness that users are not satisfied with the level of service provided. Staff morale appears low, due to high workload and insufficient resources to make any progress. The manager is an acting manager who is also serving as the manager of the research and records section.

A list of system development requests and issues (problems, change requests and enhancements for ACOMS) is maintained by the section. This list has 312 open or pending items with requests (also called artifacts) dating from August 2011 through June 2015. Requests come from all components of the department. According to the section manager, the supervisor of the programmer group prioritizes what gets addressed. The group has one person that deals with the system database and only one other programmer/developer besides the supervisor – as a result, the list of projects grows. This situation is indicative of an organization in a reactive mode with insufficient resources and without a roadmap. As mentioned in the Legislative Auditor's 2014 Performance Review of the DOC, there is no strategic plan or vision for information technology in the DOC. The interviews conducted for this report confirm what was noted in the 2014 performance review.

Due to numerous factors including the highly confidential and high-security risk nature of the data the DOC maintains, system vulnerabilities due to aging equipment and software that are no longer supported by vendors, cybersecurity threats, the small size of the system development group, the nearness of members of that group to retirement eligibility, and their inability to be in a proactive mode because of the workload, ASD leaders have grave concerns about this section's performance, attitude, and morale. According to the acting manager, an infusion of staffing of just one or two programmers will do little; substantially more resources are required to get this situation under control.

The DOC IT section is not staffed adequately to complete it mission. It has little time to develop services, much less provide support to users. The backlog of projects needing attention continues to grow beyond what is realistic and the ratio of support staff to users is outside of industry norms. A 2008 survey found that the ideal ratio of end users to IT service desk support workers was 82:1, although the norm was actually 136:1. At DOC the ratio is 175:1, more than twice the ideal and 65 percent more than typical. According to ASD leadership this low level of staffing has created numerous performance, personnel, and technological problems. The unit struggles to keep up with demand for IT services.

The high vulnerability of DOC data systems caused by lack of resources and inadequate planning should become a DOC priority.

Staffing Recommendations

> *Use of Temporary Staff: In order to address time of peak workload in ASD, the department should consider using part-time temporary staff to augment existing staffing levels on an as needed basis. This would help ensure the timely*

processing of payables and should reduce the amount of overtime being worked by current staff.

IT Staff: The addition of six experienced professional staff would help address some of the major deficiencies experienced in IT support. Also, the department could consider sending certain IT support/network functions to the DOA technology unit, ETS, which would enable it to focus on agency core services and functions and leave more generic or commodity services to ETS to provide. Finally, consideration could also be given to contracting with firms that offer trained, experienced developers to help augment the staffing on a temporary basis, without the need to hire staff and create additional positions.

Planning/IT Manager: The acting section manager for IT has been in that position for more than six months while still managing the planning group. ASD leadership should finalize how they want the IT and the research and records section managed and make permanent assignments. Because the acting manager is able to manage both groups, it is conceivable that the two units be merged under one manager. Should that course of action be chosen, the department should hire a research analyst to replace that needed position.

DIVISION OF INSTITUTIONS

	Current	Short-Term Recommended	Long-Term Recommended
Institutions Division			
Institution Director	11	11	11
Inmate Transportation	11	14	14
Correctional Academy	7	7	7
Classification	7	7	7
Total	36	39	39

The division of institutions, also called secure confinement division, for the DOC is under the leadership of a division director, who reports to the deputy commissioner of re-entry and population management. The position currently is being filled by an acting director, whose permanent position is the superintendent of the Yukon-Kuskokwim Correctional Facility in Bethel. He has been in the acting director role since January 2015. The division includes the inmate transportation section, the classifications and furlough section, the criminal justice planner position, the offender time accounting position, and the chaplaincy program.

Division Director's Office

The director of the division of institutions is serving in that role as an acting director and has been in that position since the beginning of the 2015 calendar year. The director's office provides several important leadership, management, and support functions to guide, establish policy, manage, and help ensure compliance and accountability is maintained throughout Alaska's correctional system. The director's office is located in downtown Anchorage in office space in the Atwood Building.

The division director has only a few direct reports because the chain of command, according to the organizational chart, has most senior staff reporting directly to the deputy director. Those direct reposts include the 12 superintendents of correctional centers. According to the organizational chart provided to the staffing study team and senior staff interviewed, there are only three direct reports to the division director: the deputy director, the coordinator of the chaplaincy program, and a shared administrative assistant/secretary.

The deputy director reports directly to the director. He prepares the monthly institutional report, which is compiled from data received from each facility. He follows overtime reports closely and works with superintendents when overtime hours are approaching a level that is considered excessive. He deals with all personnel issues including staff disciplines. He also reviews all step - level II grievances because they no longer have a professional standards

position. Many duties that were performed by the professional standards administrator position are now shared between the deputy director and another senior staff member serving temporarily in the director's office. The deputy director also leads the director's audit and follow-up audit team and works with superintendents to prepare staffing plans. He is the also the dietitian coordinator, reviews all performance evaluations, participates in promotion panels, and is a member of the labor management committee. Other areas of responsibility include serving as the department point person for immigration and customs enforcement (ICE) audits and federal investigations.

Criminal Justice Planner

The criminal justice (CJ) planner is a one-person unit reporting directly to the division director. In addition to providing analysis for planning and budgetary purposes, the criminal justice planner provides an assortment of miscellaneous and important functions to assist the division director and provide information to the commissioner and deputy commissioners. Other critical roles he serves in include security threat group coordinator, Prison Rape Elimination Act (PREA) coordinator, lead investigator on death investigations, and member of director's audit team and follow-up audit team. He handles many special projects, reviews all use of force incidents, and reviews new and revisions to procedures (SOPs). Also, he is the system's inmate telephone system coordinator. That duty requires dealing with the service provider and with inmate call list approvals. He also is a member of the Western Corrections Associations, which conducts peer audits of other state departments of corrections, among other services.

PREA: The PREA coordinator role for this position started in October 2013, and now it requires an estimated 20 to 25 percent of his time. The CJ planner spends significant time on the telephone helping facility-based PREA coordinators with general questions and facility based-concerns, and with the federal government. This job requires travel to facilities, developing department policies and procedures, and training staff. This workload is more than the eight to ten hours per week currently available for PREA duties. There is no PREA auditing tool or module in the inmate management system (ACOMS) for PREA-related data collection (it only has a tab with limit information collected), PREA training, or many of the other aspects of implementation that are required to be in full compliance with PREA.

Although a full-time system coordinator was included in draft language for PREA standards, the final standards do not include such a provision. The PREA standards as published in the June 20, 2012 Federal Register (Vol. 77 No. 19) no longer require a full-time coordinator position or that each facility designate a PREA "compliance manager." Both positions must have "sufficient time and authority to perform the responsibilities of the role. The DOC has

no requirement for a full time PREA coordinator, but may need one should the duties require more than the level of effort currently spent on those tasks (which according to the coordinator is 20 to 25 percent). The relevant section from the national standards is provided as follows:

> *§ 115.11 Zero tolerance of sexual abuse and sexual harassment; PREA coordinator. (a) An agency shall have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment and outlining the agency's approach to preventing, detecting, and responding to such conduct. (b) An agency shall employ or designate an upper-level, agency-wide PREA coordinator with sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA standards in all of its facilities. (c) Where an agency operates more than one facility, each facility shall designate a PREA compliance manager with sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards.*[1]

Time Accountant

This is a one-person section within the division of institutions reporting directly to the deputy director. The chief time accountant handles all matters related to and concerning time being served by inmates. This includes parole eligibility dates, grievances, and appeals regarding time served, training on time accounting policies and procedures at facilities, answering questions from facility time accounting staff, good-time credits, rules on remaindering, and responding to contacts from the state's ombudsman. The chief time accountant is a member of the director's audit team, where she reviews a sample of files for accuracy during the annual audit of correctional facilities. Much of time accounting calculations are done manually due to ACOMS' inability to handle complex cases.

Because the time accountant does not supervise anyone, she is at the highest allowable paid grade according to DOA, but according to the director and deputy director of the division, her salary range is lower than it should be based on the complexity of her job and the liability associated with any errors. She is within two years of retirement and because the salary range is so low, they anticipate difficulty in filling the position with a competent, quick learning, and

[1] Subpart A-Standards for Adult Prisons and Jails, Prevention Planning, Section 115.11, Prison Rape Elimination Act National Standards, Federal Register / Vol. 77, No. 119 / Wednesday, June 20, 2012 / Rules and Regulations.

motivated individual. DOC leadership and the DOC HR section should work with the DOA to change the classification of this positon (PCN) to more accurately reflect the complexity of the work involved with all of the functions and duties of the position. In the interim, the time accounting function should be centralized under the classification and furlough section. This would allow cross-training of CJT staff to provide backup in calculating time and would provide additional support in reclassifying the time accountant position with a higher salary commensurate with the position's duties.

Chaplaincy Program

The chaplaincy program provides worship services, Bible/religious studies, devotional study/prayer times, one-to-mentoring, pastoral care and counseling, death notifications to inmates and families, hospital visits, and other services for inmates of the DOC. In addition to bringing positive messages to inmates and their families regardless of religious affiliation, the program assists the incarcerated in their transition to becoming productive citizens upon release.

There are three chaplains on staff with the DOC, while several others are in contact with local non-profits, and there are volunteers as well. The chaplaincy program started 20 years ago and is believed to be an important part of fulfilling the DOC's mission. The three salaried chaplains are at larger facilities in and near Anchorage and the Kenai Peninsula, while the administrative staff member of the program has an office in Anchorage at the Atwood Building. Her role is serving as a travel coordinator, contacting families, and performing numerous other duties in support of the program and its chaplains.

Inmate Transport Unit

The transportation unit, also called the central transportation unit (CTU), has a unit commander (a lieutenant-CO IV), two supervisors (sergeants or CO III/one on each weekly shift), and 10 transportation officers (CO II)—5 on each of the seven-day/12-hour work-periods (shifts). There are a total of 11 positions (PCNs) and 2 additional transportation officers called "double fills." The director has authority to double fill certain positions that have a high frequency of turnover to help stabilize the work force. Double fills are generally reserved for CO and medical positions. Despite having the benefit of two double-fill positions, the transportation unit relies heavily on overtime and facility staff (qualified as prison transportation officers (PTO) position) at times.

The staff in this unit, which is based out of ACC, works 0600-1800 seven days a week moving inmates to medical appointments and to and from facilities. Weekdays are almost all

medical and movements of unsentenced inmates to facilities with available beds, while weekends are for transfers and additional movements of unsentenced inmates among facilities. The unit's management works closely with the classification and furlough (C&F) unit to schedule inmate transfers.

The department of public safety (DPS) has primary responsibility for the transportation of inmates. In order to achieve efficiencies, this authority has been delegated to DOC for medical appointments and in-state population management. Inmate transports take place in buses, vans, and aircraft. Flights may be commercial airlines, charters, or the DPS' aircraft. The decision of which method to use is based on cost. The lieutenant does most scheduling, cost analysis, and prepares a daily move list with input from C&F and medical, while the sergeants manage the shifts and work transports along with the officers.

For the month of May 2015 there were 1,746 transports, 56.3 per day. Of that amount, 63 percent were by bus, 34 percent by van, and 3 percent by aircraft. Charter aircraft are used frequently, especially for moves for four or more inmates. They can use a large charter aircraft to move as many as 24 inmates on one flight. For example, in May 2015 they scheduled a large charter plane and moved up to 24 inmates on two separate days in the month. Commercial flights are used when the cost of a charter exceeds ticket costs and DPS trooper aircraft. Generally the DPS option is most costly. They try to maintain a CO to inmate ratio of 7:1 for moves. On the large charter flight they will use four transportation officers.

In addition to facility transports for scheduled and emergency medical and mental health needs, inmate transfers, and moving unsentenced inmates to available beds, they take care of medical transports for offenders housed in community residential centers (CRC). On average, there are 7 medical and mental health transports per day, 18 transfers, and 26 moves of unsentenced inmates to courts or to help with capacity management (generally by moving them from ACC and MPT to GCCC). According to unit command staff, although medical transports only make up 3 percent of transports, they consume a third of the time each day due to lengthy wait times for appointments or providing security during hospital stays.

The unit also handles armory work. It repairs DOC weapons. Because this unit has all staff with firearm credentials (PTO), they are all part of the CERT team, which takes hours of training time, usually on their off week, and thus requiring overtime.

ACOMS: The ACOMS transportation module is not functional; therefore, inmate transportation scheduling and other data are kept in a separate ACCESS database used by the unit. DOC IT should ensure a transportation module is developed (or modified) so that

redundant data entry is minimized, the classification and furlough unit and the transportation unit can update each other's records, and so that other modules within ACOMS can be updated automatically.

Dialysis: There are two dialysis facilities (centers) in Anchorage where inmates are scheduled for treatment. If treatment centers are located near correctional facilities that may make sense, but eliminating the options of two facilities and only having one facility may make even more sense if it is more efficient. If travel time can be reduced and prices are the same, it may be more efficient to only use one dialysis unit. The department should make that determination.

Overtime: Overtime is excessive even with the double-fill positons. Considering vacation and other leave time and annual CERT training hours, there is generally one staff member off each day on average. Most overtime is driven by medical transports. There was no mention of minimum staffing requirements made during interviews. Most employees like overtime but when it becomes regular and when it is more than just a few hours day after day or week after week, it can become a problem for the department and for the employee. Department leadership should conduct a detailed review of this unit's overtime usage, transport policies, procedures, and practices, and policies set by others outside of this unit—for example, medical, to see why overtime continues to be so high and if there are changes to policies and practices that could eliminate some usage of overtime. If such a study yields no reduction, consideration should be given to increasing the staffing in the unit.

K-9: The department has acquired a drug dog. DOC leadership wants to have a drug dog making visits to facilities. To accomplish this within current staffing levels, they are assigning one transport officer as a dog handler, moving him to a 42-hour per week post, and having one less transportation officer one shift (every other week). This measure will drive overtime hours up even more.

Classifications and Furlough

The classification and furlough section, within the institutions division, is managed by an adult PO V. All staff members of this unit, most of which are classified as adult POs (APO), but are referred to as furlough officers, are located in Anchorage. The section is divided into two groups: classifications and furloughs. In addition to the supervisors over the two groups, there is an adult PO IV position that serves as assistant manager of the section. An additional PO III has been added to bolster the department's re-entry program interface with the classification unit. The classification section is responsible for managing the contracts for the CRCs and the

community jails across the state. This includes performing audits of their operations and being the first point of contact for DOC.

Furlough: There are three adult POs (APO II) and a supervisor (APO III) that comprise the furlough unit. Their job is to perform PO (furlough officer) duties for offenders housed in CRCs in the Anchorage area. These facilities serve as halfway houses for inmates released from institutions. There are other offenders besides those on furlough housed in these facilities, which have a total capacity of 476 beds. There are four CRCs in the Anchorage area and all are operated by private sector companies under contract to the DOC. The caseload for three of the furlough officers is about 40 offenders, and one of the furlough officers has a caseload of about 20. That officer spends about half of their time on the DOC's re-entry program. The group's supervisor also carries a small caseload.

A furlough officer's job is to help ensure offenders are in compliance with the parole conditions imposed on them in the furlough program. Conditions include jobs, programs, assessments, and making payments for restitution and other requirements. They also have responsibility for victim notifications and for attending hearings for revocation violations that could send offenders back to prison.

Classifications: The classifications group in the C&F section has two staff members: an APO III and a statistical tech I. The group lead is an APO III, who is also called the deputy classification officer, although according to her she spends about 75 percent of her time on furlough issues regarding placement of inmates. She also has a small caseload of out-of-state inmates and spends about 25 percent of her time on classifications and administrative work. Also in this small group is a statistical tech I, whose primary duties include compiling division of institutions statistics, including the number of offenders housed each day. The data for that report come from facility count sheets and are used to create DOC's daily population management reports, preparing monthly reports from other data she collects, preparing ad hoc reports, and other division reports. In addition, she handles administrative assistant-like duties such as payroll and travel planning and coordination for the C&F section and the central transportation unit.

Other duties of the classification's group lead PO include maintaining a detainer file of Alaska offenders serving federal sentences, conducting training classes at the DOC academy and at facilities, regularly fielding questions from institutional POs, and scanning CRC counts for empty beds so that they may be filled quickly. She is also responsible for writing and revising operating procedures for the classification manual. There are 68 institutional POs attached to DOC facilities that report to facility superintendents, but she is the primary

resource for technical matters and questions from them. She estimates she receives 100 emails per day from intuitional POs. She does quality assurance reviews of reclassification documents to help ensure accuracy and timeliness. Also, she is a member of the director's audit team that audits each institution annually.

The C&F section manager's duties include detainer administration (the APO III writes the letters, while the manager is responsible for them), oversight of Institutional POs (not managing), CRC oversight, conducting training at academy and at facilities, and working closely with the central transport unit (CTU) for all transfers. He believes as the re-entry program gains traction, the section will need another PO position. The re-entry program already received an APO position, but it went to the field (probation) and not to the institutions. The need for an additional PO may or may not be the case, depending how CRCs are used with new re-entry programs.

The caseload of the furlough officers for this unit is on average approximately 62 percent of that of regular POs who work within the DOC's DPP. Generally, probations officers have caseloads of between 60 and 70 offenders. The level of effort for furlough officers does not appear to be any more difficult or time consuming than what is found in regular probation. Furloughs have approximate 4 hours per month per offender, whereas regular POs have about 2.5 hours. This is just an estimate for comparison purposes and does not account for administrative or drive time for either group. Drive time will be negligible for the furlough officers, whereas as it is considerable for many POs.

Staffing Recommendations

Transportation Unit: Three permanent positions should be added to the transportation unit just to keep up with current workload volume. Two PCNs are needed to replace or eliminate the permanent usage of double fills. An additional PCN should be added to replace the CO who has been assigned the K-9 unit.

PROGRAMS

	Current	Short-Term Recommended	Long-Term Recommended
Programs			
Education	2	2	2
Substance Abuse	2	2	2
Sex Offender Treatment	6	6	7
Total	10	10	11

The DOC's model for program delivery relies primarily on contract service providers, with DOC staff serving primarily in a program direction/contract monitoring role. This model is efficient in terms of cost and is flexible in that it allows the DOC to relatively easily modify its program offerings and approach to delivery. The education and substance abuse programs are well suited for this approach, given the availability of qualified service providers in the market. Administrators in both areas provide effective program leadership and supervision of service delivery. Staffing levels in these areas are minimal, but adequate to manage current program offerings. Significant expansion of programs services in either of these areas should be accompanied by an increase in DOC staff to provide appropriate program oversight.

The sex offender treatment program, by contrast, provides treatment services through DOC staff. The unique characteristics of this program and the lack of service providers outside government make this an appropriate model. Program staffing aligns closely with the caseload available in the programs operated by the DOC and meets workload demands. There is a potential for expansion of services if LCCC in the future can provide security support for the opening of an additional space for program service delivery. In the event of this expansion, the program should receive one additional treatment specialist.

Long-Term Staffing Recommendations

> *LCCC Sex Offender Treatment: Upon establishment of required security staffing at the facility to allow expansion of LCCC's sex offender treatment program into an additional housing module, the DOC should add one mental health clinician to provide required services for the program.*