

KANSAS DEPARTMENT OF CORRECTIONS

	INTERNAL MANAGEMENT POLICY AND PROCEDURE	SECTION NUMBER 12-137D	PAGE NUMBER 1 of 6
		SUBJECT: SECURITY AND CONTROL: Staffing Analysis, Operational Staffing and Roster Management	
Approved By:  Secretary of Corrections		Original Date Issued: 07-01-14 Replaces Version Issued: N/A CURRENT VERSION EFFECTIVE: 07-01-14	

APPLICABILITY:	<input type="checkbox"/> ADULT Operations Only	<input type="checkbox"/> JUVENILE Operations Only	<input checked="" type="checkbox"/> DEPARTMENT-WIDE
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POLICY STATEMENT

To ensure that each facility is sufficiently and efficiently staffed, and that staffing is adequate to protect incarcerated offenders against sexual abuse, a systematic staff analysis shall be conducted annually at each facility. (ACO 2-1C-06) Uniformed staff shall be assigned to fill posts in accordance with the roster developed based upon the annual staff analysis report.

Temporary adjustments to the roster may be made to accommodate changes to implement the Department's mission, or the facility's role in fulfilling the mission, physical plant operations, or programs, or to comply with a change in statute, regulation, policy, or accreditation standard. Each warden or superintendent shall develop an operational staffing plan and identify posts within his or her facility that can be closed or collapsed without jeopardizing facility security while ensuring the ability to move available staff to vital posts or areas that require security coverage.

DEFINITIONS

Closed Post: A post included in a facility's staff analysis report to which no staff is assigned during a specific shift due to staffing needs.

Collapsible Post: A post in the facility staffing plan that is not staffed for a portion of a specific shift when an officer is reassigned to another post.

Daily Poster: A document that reflects daily assignment of uniform staff to each post approved in the facility, on each shift and day, according to the master roster; accounts for and shows the status of all uniform staff, including all staff absent and the reason for the absence; delineates the assignment of open relief staff; and reflects the temporary detachment of uniform staff.

Master Roster: A document that reflects the assignment of uniform staff to each post approved in the staff analysis report; or indicates that a post included in the staff analysis report is vacant, and the reason for the vacancy; and indicates which staff serve as fixed relief for each post. This document also reflects the shift and days off for each post; and includes post titles, operational staffing priority, roster number, employee name, date assigned to post, qualification date (e.g., weapons, commercial driver's license), days off and days worked.

Operational Staffing Plan: A list of posts to be closed or collapsed, for each shift, in the event staffing needs or availability requires such action.

Relief Factor: A mathematical calculation that determines the number of staff necessary to provide adequate coverage for a post or posts.

Rostering Officer: A person(s) designated by the warden or superintendent to be responsible for preparing rostering documents for the facility, including the facility's post analysis, master rosters, and daily rosters.

Staff Analysis Report: A document that reflects each regular position approved for a facility, with pertinent information about the position, including title, classification, operational staffing priority, post order number, shift assignment, the number of days the post is filled, whether the post requires relief, the appropriate relief factor to be applied, and the total number of staff needed to cover the post.

Vacant Post: A post included in a facility's staff analysis report to which no staff is assigned for an extended period, longer than one shift, due to staffing needs.

PROCEDURES

I. Staff Analysis Report (ACO 2-1C-06)

- A. Each facility shall develop and manage rosters from an accurate and current staff analysis report.
 - 1. Each facility staff analysis report shall be completed on the Facility Staff Analysis Report (Attachment A).
 - a. The staff analysis report shall use post titles contained in the List of Post Titles (Attachment B).
 - 2. The facility's staff analysis report shall be completed by the rostering officer, approved by the warden or superintendent, and submitted to the Deputy Secretary of Facilities Management and Deputy Secretary of Juvenile Services for review no later than January 1 of each year.
 - 3. The Deputy Secretary of Facilities Management shall confer with the warden and Deputy Secretary of Juvenile Services with the superintendent of each facility about the staff analysis report and reach an agreement about the staff analysis report of the facility. The Deputy Secretary of Facilities Management and Deputy Secretary of Juvenile Services shall make such revisions to the staff analysis report as is agreed upon with the warden or superintendent.
 - 4. By January 31, the Deputy Secretary of Facilities Management and Deputy Secretary of Juvenile Services shall submit the agreed upon staff analysis report to the Secretary for review and approval.
 - 5. The Secretary shall confer with the Deputy Secretary of Facilities Management, Deputy Secretary of Juvenile Services, and the wardens or superintendents, if necessary, to establish a final staff analysis report for each facility, by February 15 of each year.
 - 6. The final staff analysis report shall be distributed to the warden or superintendent, PREA Coordinator, the Chief Fiscal Officer and the Human Resource Manager for:
 - a. Budget requests made for the following fiscal year;
 - b. Rostering in the facility; and,
 - c. Documentation that staff plans protect incarcerated offenders against sexual abuse.

II. Temporary Posts

- A. If the need arises for a new post before January 1, the facility shall establish a temporary post and temporarily detach existing staff to that post.
 - 1. Need for a new post shall be based upon a change in the department's mission or the facility's role in fulfilling the mission, physical plant, operations, or programs at the facility,

or a change in statute, standard, regulation, or policy; or in consideration of the factors set out in the PREA standard, specifically 28 C.F.R. §§ 115.13 and 15.313, as detailed in Section V. below.

2. Upon the establishment of a temporary post, the facility's rostering officer shall reflect the temporary post on the facility's master and daily rosters, indicating that the post is temporary.
 - a. The facility rostering officer shall carefully record and document the staff time devoted to temporary posts.
3. No temporary post shall exist for more than a period of 90 days.
4. Prior to the end of the 90-day period, the warden or superintendent of the facility shall make a determination as to whether the duties being performed on the temporary post require the formation of a new and permanent post. If the warden or superintendent determines that the new post is necessary, she/he shall submit a proposal to the Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services prior to the end of the 90-day period.
 - a. The new post proposal shall include:
 - (1) A post title;
 - (2) Duties of the post;
 - (3) Justification of need for the post; and,
 - (4) The facility's proposal for filling the post (e.g., close another post, request additional staff).
 - b. If the warden or superintendent of the facility determines that the post should remain temporary, but needs to extend beyond 90 days, the warden or superintendent may submit a proposal for a temporary post to last beyond 90 days, and the proposal shall include the same information required by Section II.A.4.a. above.
 - c. If the Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services approves a new permanent post, the affected facility shall submit to the KDOC Director of Human Resources, a proposal for and documentation to support the position classification and to specify from where the FTE (position limitation) will come.

III. Roster Preparation

- A. The facility rostering officer shall prepare master and daily rosters consistent with the staff analysis report agreed upon for the facility.
 1. Master rosters shall be prepared by the rostering officer from the staff analysis report no later than March 15 of each year.
 - a. A new master roster shall be prepared whenever any change in rostering occurs and according to the needs of the facility.
 - b. Master rosters shall be prepared consistent with the Department's post rotation policy, IMPP 02-102.
 2. Daily rosters shall be prepared by the rostering officer and posted at least five (5) days in advance of their effective date.

3. The facility's master roster and daily rosters shall reflect all posts (including closed, collapsed, and vacant posts) and only those posts included in the facility's staff analysis report.

IV. Operational Staffing Plan

- A. The warden or superintendent shall identify posts within the facility that may be collapsed, closed, or made vacant when it is necessary to provide security coverage for other more vital areas.
 1. The rostering officer shall prepare an operational staffing plan in accordance with this determination, reflecting which posts shall be closed or collapsed.
 - a. The list shall be arranged in priority order for each shift with the posts having the least impact on the daily operation of the facility collapsed, closed, or vacated first.
 - b. The operational staffing plan shall be reviewed and updated as necessary.
 2. The operational staffing plan shall be implemented, as necessary, through the facility's rostering documents.
 - a. Deviations from the operational staffing plan shall be documented on the daily roster of the shift where the deviation occurred.

V. Review of Operational Staffing Plan to Protect Incarcerated Offenders Against Sexual Abuse

- A. The operational staffing plans of each facility shall ensure that each facility operated by the KDOC is developing, documenting and making best efforts to have and follow a staffing plan that provides for adequate levels of staffing, and when applicable video monitoring, to protect incarcerated offenders against sexual abuse.
- B. Any time the facility is not compliant with the operational staffing plan, the deviation(s) shall be justified and documented using the process required and described in Section IV.A.2. above.
- C. Once a year, the warden or superintendent shall cause a staffing analysis to occur, reviewing staffing levels, video monitoring or other technological needs, and resources the facility has available to commit to ensure adherence to its operational staffing plan, taking into consideration:
 1. Generally accepted detention and correctional practices;
 2. Any judicial findings of inadequacy;
 3. Any findings of inadequacy from Federal Investigative agencies;
 4. Any findings of inadequacy from internal or external oversight bodies;
 5. All components of the facility's physical plan (including blind spots or areas where staff or incarcerated offenders may be isolated.
 6. The composition of the incarcerated offenders population;
 7. The number and placement of supervisory staff;
 8. Facility programs occurring on a particular shift;
 9. Any applicable state or local law, regulation or standard;
 10. The prevalence of substantiated and unsubstantiated incidents of sexual abuse; and

11. Any other relevant factors, including what documented instances of deviation from the operational staffing plan, with regard to staffing.
- D. The annual staff analysis report shall be completed using the "Staff Analysis to Ensure Protection Against Sexual Abuse" form at Attachment C.
1. This form shall be forwarded to the PREA Coordinator and Staff Audit Coordinator for review no later than January 1 of each year, who shall consult with the facility, and Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services and Secretary as needed in follow up to the review of the completed form.
- E. Documented unannounced rounds to identify and deter staff sexual abuse and sexual harassment shall be conducted by shift supervisors on every shift.
1. The unannounced rounds to identify and deter staff sexual abuse may occur as part of unannounced rounds conducted for other security purposes.
 2. Each facility shall reflect in the post orders of shift supervisors the requirement to do these unannounced rounds.
 3. All staff are prohibited from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility.

VI. Staff Audit Coordinator

- A. The Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services and Director of Human Resources shall designate a staff member within Central Office to serve as the Staff Audit Coordinator.
1. The Staff Audit Coordinator shall be responsible for reviewing the staff analysis report, master roster, and daily rosters of each facility, on at least a semi-annual basis, to ensure that the procedures outlined in this policy have been properly implemented.
 2. The Staff Audit Coordinator shall provide assistance to facility rostering staff in the implementation of roster management policies and procedures.
 3. The Staff Audit Coordinator shall be responsible for conducting reviews of appropriate documents generated by each facility, on at least an annual basis, to ensure that staff is being rostered and deployed in conformance with:
 - a. The facility's approved staff analysis report;
 - b. The facility's master roster and daily rosters; and,
 - c. The Department's personnel policies and procedures.
 4. If during a document review the Staff Audit Coordinator determines that a change in the facility's staffing may be needed, he or she shall confer with the warden or superintendent and make a decision about whether such a change is necessary.
 - a. In assessing staffing needs, the Staff Audit Coordinator shall ensure that there is a periodic review of the facility's relief factor, to ensure that it is current.
 5. If the Staff Audit Coordinator and the warden or superintendent conclude that a change is necessary, a proposal shall be submitted to the Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services for review and approval.

VII. This IMPP shall serve as final policy, and no General Orders shall be allowed on this subject.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS REQUIRED

<u>Name/Type of Report</u>	<u>By Whom/To Whom</u>	<u>Due</u>
Staff Analysis Report	Warden or Superintendent to Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services	January 1
Staffing Analysis Report to Ensure Protection Against Sexual Abuse	Warden or Superintendent to PREA Coordinator and Staff Audit Coordinator	January 1
Final Staff Analysis Report	Deputy Secretary of Facilities Management or Deputy Secretary of Juvenile Services to Secretary of Corrections	January 31

REFERENCES

28 C.F.R. §§ 115.13 and 15.313
IMPP 02-102
ACO 2-1C-06

ATTACHMENTS

Attachment	Title of Attachment	Page Total
A	Facility Staff Analysis Report	1 page
B	List of Post Titles	2 pages
C	Staff Analysis to Ensure Protection Against Sexual Abuse	1 page

LIST OF POST TITLES
Kansas Department of Corrections

TITLE	APPROVED ABBREVIATIONS	EXPLANATION
Activities Officer	Act Ofcr	Recreation; Canteen
<u>ADULT</u> : Administrative Captain	Adm Cpt	NOTE: Often one of these two posts performs rostering duties. Perhaps break out that percentage of duties, which are rostering, and reflect as Rostering Officer.
<u>ADULT</u> : Administrative Lieutenant	Adm Lt	
<u>JUVENILE</u> : <u>Administrative JCO III</u>	Adm JCO III	
<u>ADULT</u> : Admission & Discharge OIC	A&D OIC	
Admission & Discharge Officer	A&D Ofcr	
<u>ADULT</u> : Armory Officer	Arm Ofcr	
Assistant Shift Supervisor	Asst Sht Super	Shift Lieutenants or Sergeants.
Chief of Security	COS	Major or Captain
<u>ADULT</u> : Clinic Officer	Cln Ofcr	
Control Officer	Cntrl Ofcr	Use this title for all control center, rotunda or other inside access or control posts. In parentheses indicate area or further description if necessary.
<u>ADULT</u> : Disciplinary Administrator	Disc Admin	
Entry Officer	Entr Ofcr	Use this title for all outside entry points, including sally ports, gates or access shacks. In parentheses indicate area or further description if necessary.
<u>ADULT</u> : Escort Officer <u>JUVENILE</u> : <u>Escort/Transport Officer</u>	Esctr Ofcr	All posts that transport incarcerated offenders, on grounds or off grounds, but that are not part of the DOC Transportation HUBS, should be given this title. In parentheses indicate more specific duties or area if necessary. NOTE: In facilities with Special Security Teams these posts are probably consumed within that team.
Food Service Officer	FS Ofcr	Kitchen and dining room officers.
Industries Officer	Indstr Ofcr	If necessary, indicate specific program in parentheses.
<u>ADULT</u> : Enforcement, Apprehension and Investigation OIC	EAI OIC	
<u>ADULT</u> : Enforcement, Apprehension and Investigation Officer	EAI Ofcr	
Key Control Officer	Key Cntrl Ofcr	
Laundry Officer	Lndry Ofcr	

TITLE	APPROVED ABBREVIATIONS	EXPLANATION
Living Unit Officer	LU Ofcr	Indicate living unit by name, number or letter in parentheses. Supervisors are highest ranking officer assigned to or over living units; OIC's are next ranking officer; officers are line staff.
Living Unit OIC	LU OIC	
<u>ADULT</u> : Living Unit Supervisor	LU Super	
<u>ADULT</u> : Locksmith Officer	Lcsmth Ofcr	
<u>JUVENILE</u> : Medical Officer	Med Ofcr	
Patrol Officer	Ptrl Ofcr	Give this title to perimeter, grounds and compound officers. Indicate in parentheses if the officer is assigned to perimeter, grounds or compound, as appropriate; if the officer covers all areas do not specify further.
<u>ADULT</u> : Program Officer <u>JUVENILE</u> : Program Education Officer	Prg Ofcr	Specify program if necessary in parentheses.
<u>ADULT</u> : Property Officer	Prop Ofcr	
<u>ADULT</u> : Rostering Officer	Rstrg Ofcr	May be same person as administrative captain or lieutenant; assign percentage of time spent rostering to this post, e.g., .3, .5, .7, etc. If a different post does rostering, designate that post as the rostering officer.
<u>ADULT</u> : Safety Officer <u>JUVENILE</u> : Security/Safety Officer	Sfty Ofcr	
Shift Supervisor	Shft Super	Shift Captains or Lieutenants.
<u>JUVENILE</u> : Special Investigation Officer	SI Ofcr	
<u>ADULT</u> : Special Security Team Supervisor	SST Super	Generally the day shift supervisor of this team is higher ranking than the evening shift supervisor of this team. The highest ranking officer is the supervisor, and the second ranking is the OIC.
<u>ADULT</u> : Special Security Team OIC	SST OIC	
<u>ADULT</u> : Special Security Team Officer	SST Ofcr	
<u>ADULT</u> : Tool Control Officer	Tool Cntrl Ofcr	
<u>ADULT</u> : Tower Officer	Twr Ofcr	Designate tower by number or name in parentheses.
<u>ADULT</u> : Training Assistant Officer	Trg Asst Ofcr	
<u>ADULT</u> : Unit Supervisor	Unit Super	To be used <i>only</i> for heads of free standing units.
Utility Officer	Utly Ofcr	This is NOT the same as your relief officers.
<u>ADULT</u> : Visiting Officer <u>JUVENILE</u> : Visitation Officer	Vis Ofcr	If necessary, specify area or duties further in parentheses.
Work Detail Officer	Wk Det Ofcr	Specify the detail in parentheses.
<u>ADULT</u> : Work Detail Supervisor	Wk Det Super	The person who supervises work detail officers.

STAFF ANALYSIS TO ENSURE PROTECTION AGAINST SEXUAL ABUSE

The undersigned warden/superintendent reports that s/he and his/her leadership team conducted an annual staffing analysis including a review of existing posts, video monitoring, and other monitoring technologies, at facility on, and considered the following factors:

<u>Factor</u>	<u>Any Recommended Changes</u> (NOTE: Indicate "Not Applicable" if this factor does not apply.)
Generally accepted detention and correctional practices	
Any judicial findings of inadequacy	
Any findings of inadequacy from Federal Investigative agencies	
Any findings of inadequacy from internal or external oversight bodies	
All components of the facility's physical plant (including blind spots or areas where staff or offenders may be isolated)	
The composition of the offender population	
The number and placement of supervisory staff	
Institution programs occurring on a particular shift	
Any applicable state or local laws, regulations, or standards	
The prevalence of substantiated and unsubstantiated incidents of sexual abuse	
Any trends seen in the documentation of deviations from operational staffing	
Any other relevant factors	

Comments:

Warden/Superintendent

Date

cc Deputy Secretary; PREA Coordinator; Staff Audit Coordinator