

State of New York
Department of Corrections
And Community Supervision

The Harriman State Campus
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Report on Security Staffing
2011



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Commissioner

**New York State Department of Corrections And Community Supervision
Report on Security Staffing
Pursuant to Correction Law Section 29 (subdivision 4)**

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Introduction

The purpose of this report is to comply with the legislative reporting requirements established in 2003 as stated in the amendment to Correction Law Section 29, subdivision 4. The report provides information about post closures, plot plan positions, and security overtime for correction officers and correction sergeants in New York State correctional facilities.

Closed post and plot plan information is provided for the report period of October 1, 2010 through September 30, 2011. Overtime data is provided for the prior fiscal year, since that is how such funding is appropriated. Information for prior time periods may be found in earlier Reports on Security Staffing issued since 2003.

The information provided in this report is based on data collected and maintained by the New York State Department of Corrections and Community Supervision Security Information/Staffing Unit (SISU) in Albany. The plot plan system produces work charts tracking correction officer workload in each correctional facility on a daily basis. At the conclusion of each work day, chart data is transferred electronically to the SISU data base. The information in this report originates from the SISU data base.

Daily Closed Posts

Facility plot plans are designed to detail the security staff necessary for facility security and routine coverage of the inmate population. Posts (jobs) are created for security functions that must be performed such as coverage in housing units, mess halls and infirmaries, as well as in the various classrooms, shops and other areas of inmate access.

The closing of posts or utilization of overtime to staff them are options usually reserved to handle unexpected situations, such as staff absences, facility emergencies, emergency medical trips, unusual incidents, etc. The system is well managed, documented by the fact that, on an average day, fewer than four percent of posts are closed. For this report period the statewide daily average number of closed posts is six per facility. The facilities that averaged a significantly higher number than the statewide daily average had either a reduction in inmate population or an area that was temporarily closed. These facilities had staff levels above the commensurate amount of inmate workload. As a result, more posts were closed and the staff redirected.

Sergeant closed posts for this report period had a daily average of less than one per facility and a statewide daily average of less than one percent of total sergeant posts.

It is management's responsibility to evaluate and adjust staff resources to maintain safety and security in an efficient, cost effective manner. As a result, posts may be closed to offset staff vacancies, absences or overtime. Post closures generally occur when the work being performed is not needed (e.g., bad weather prevents inmate crews from mowing the grass or a program is closed due to staff absence) or when the workload can be temporarily suspended (e.g., painting or cleaning postponed). A lower priority security post can be closed to ensure a higher priority security post is staffed.

Closed post data originates from facility work chart entries on a daily basis. The SISU data base captures the total number of hours that posts are closed on a daily basis and computes the average number of posts closed based on an eight-hour shift. It does not provide the total number of posts closed in whole or part. For example, four posts may be closed for two hours each, which computes to an average of one post closed.

Table A displays correction officer and correction sergeant total posts and the average daily full-time equivalent closed posts for each facility by security classification for the period October 1, 2010 through September 30, 2011.

TABLE A
DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION
AVERAGE DAILY CLOSED POSTS
OCTOBER 1, 2010 - SEPTEMBER 30, 2011

FACILITY CLASSIFICATION	FACILITY	CO PLOT PLAN POSTS	AVERAGE CLOSED POSTS*	SGT PLOT PLAN POSTS	AVERAGE CLOSED POSTS*
MAX	ATTICA	315	3	24	0
MAX	AUBURN	299	7	25	0
MAX	BEDFORD HILLS	209	3	16	0
MAX	CLINTON	469	6	30	0
MAX	COXSACKIE	191	3	14	0
MAX	DOWNSTATE	267	7	21	0
MAX	EASTERN	183	1	12	0
MAX	ELMIRA	268	1	19	0
MAX	FIVE POINTS	239	3	17	0
MAX	GREAT MEADOW	295	6	19	0
MAX	GREEN HAVEN	286	6	23	1
MAX	SHAWANGUNK	139	1	9	0
MAX	SING-SING	328	7	25	0
MAX	SOUTHPORT	160	4	14	0
MAX	SULLIVAN	159	1	11	0
MAX	UPSTATE	173	4	17	0
MAX	WENDE	270	4	19	0
MED	ADIRONDACK	91	4	7	0
MED	ALBION	212	17	15	0
MED	ALTONA	80	4	8	0
MED	ARTHUR KILL ***	155	18	10	0
MED	BARE HILL	201	10	13	0
MED	BAYVIEW	46	4	5	0
MED	BUTLER ASACTC	45	1	3	0
MED	CAPE VINCENT	115	4	8	0
MED	CAYUGA	134	3	10	0
MED	CHATEAUGAY ASACTC	38	1	3	0
MED	COLLINS	176	2	16	0
MED	FISHKILL	390	3	28	1
MED	FRANKLIN	204	11	13	0
MED	GOUVERNEUR	129	7	9	0
MED	GOWANDA	285	13	17	0
MED	GREENE	231	6	19	0
MED	GROVELAND	171	13	14	0
MED	HALE CREEK ASACTC	57	1	4	0
MED	HUDSON	92	6	9	0
MED	LIVINGSTON	112	6	7	0
MED	MARCY	186	8	14	0
MED	MID-ORANGE ***	110	22	8	0
MED	MID-STATE	246	5	16	0
MED	MOHAWK	222	8	21	0
MED	MT. MCGREGOR	112	9	7	0
MED	OGDENSBURG	95	1	8	0
MED	ONEIDA ***	192	30	13	0
MED	ORLEANS	130	4	10	0
MED	OTISVILLE	109	2	8	0
MED	RIVERVIEW	115	3	8	0
MED	TACONIC	68	3	6	0
MED	ULSTER	151	8	16	3
MED	WALLKILL	75	2	6	0
MED	WASHINGTON	126	10	8	0
MED	WATERTOWN	107	9	9	0
MED	WOODBOURNE	141	1	10	0
MED	WYOMING	200	4	14	0
MIN	BEACON	37	6	3	0
MIN	BUTLER Minimum **	51	8	3	1
MIN	EDGEcombe	26	0	5	0
MIN	FULTON ***	30	5	4	0
MIN	GEORGETOWN ***	29	7	3	0
MIN	LAKEVIEW SICF	154	11	11	0
MIN	LINCOLN	37	2	3	0
MIN	LYON MT. **	54	6	3	0
MIN	MONTEREY SICF	37	3	3	0
MIN	MORIAH SICF	36	4	3	0
MIN	QUEENSBORO	68	2	6	0
MIN	SUMMIT SICF ***	31	10	3	0
MIN	WILLARD DTC	112	3	8	0
TOTAL		10301	397	773	6

* Average Closed Posts are rounded to the closest whole number.

** Lyon Mt. and Butler Minimum closed in January 2011

*** Scheduled for Closure 10/1/11 and 12/1/11

Plot Plan Positions

Plot plan documents organize security staff by posts (jobs) that provide routine coverage for facility security and the inmate population. Plot plans are designed to support the mission, security level designation, inmate capacity, physical plant configuration, and operational and program schedules of each correctional facility. Plot plans identify each post by function, shift and the number of days per week it is covered. The plot plan also reflects the number of officers assigned to the facility's relief pool, a group of officers available to cover some absences and unanticipated workload.

Facility plot plans are adjusted to reflect increases and decreases of security positions for statewide initiatives, as well as individual facility adjustments. For example, from October 1, 2010 through September 30, 2011, new posts were added primarily to facilitate the ongoing expansion of mental health services. In June of 2011, the department opened a new Residential Mental Health Treatment Unit at Five Points Correctional Facility for male inmates with serious mental health illness and disciplinary confinement sanctions. Additional posts were added to numerous mental health Level I and II segregated confinement units in order to provide escort supervision of inmates to confidential interviews in accordance with the SHU Exclusion Law. In contrast, Butler Minimum and Lyon Mountain Correctional Facilities were closed in January of 2011. In June, plot plan positions were also reduced at several facilities due to departmental consolidations. These closures and consolidations were due to statewide mandated budget reductions as well as the need to manage the decline of the department's inmate population. In August of 2011, plot plan positions were added at several facilities as part of the department's Closure Reinvestment Plan, made necessary by the mandated closing of seven correctional facilities to occur on October 1 and December 1, 2011.

From January 2000 through September 2011, the inmate population declined by 21.1 percent while correction officer and correction sergeant plot plan positions declined by a combined 5.04 percent.

Table B displays the net change in positions added or eliminated from correction officer and correction sergeant plot plans by facility for the report period of October 1, 2010 through September 30, 2011. Table B also displays net inmate population data on September 30, 2011. To best represent the population requiring security supervision, the data includes inmates in general confinement, special housing, infirmary and outside hospitals. Inmates that were out to court or on temporary release are excluded because supervision is provided by other agencies, or by non-uniformed staff.

TABLE B

DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION

NET CHANGE FOR CORRECTION OFFICER AND CORRECTION SERGEANT PLOT PLAN POSITIONS AND INMATE POPULATION

OCTOBER 1, 2010 - SEPTEMBER 30, 2011

FACILITY	TOTAL CO NET +/-	TOTAL SGT NET +/-	TOTAL INMATE NET* +/-
ADIRONDACK	-5		5
ALBION	1		-4
ALTONA	5		83
*** ARTHUR KILL	-18		-704
ATTICA	1		-13
AUBURN	1		-2
BARE HILL			149
BAYVIEW	-2		14
BEACON			-32
BEDFORD HILLS	7		3
BUTLER ASACTC	13		38
** BUTLER MINIMUM	-64	-5	-51
CAPE VINCENT			76
CAYUGA			57
CHATEAUGAY ASACTC			-6
CLINTON	2		45
COLLINS	15		53
COXSACKIE	2		-13
DOWNSTATE			211
EASTERN			-12
EDGECOMBE			-20
ELMIRA	2		11
FISHKILL	3		-78
FIVE POINTS	24	3	41
FRANKLIN			91
*** FULTON	-4		-120
*** GEORGETOWN			-185
GOUVERNEUR	-5		81
GOWANDA	-5		-55
GREAT MEADOW	2		-18
GREEN HAVEN			-10
GREENE	3		151
GROVELAND			-3
HALE CREEK ASACTC			-87
HUDSON	16		70
LAKEVIEW SICF	1		-13
LINCOLN	4		-58
LIVINGSTON			30
** LYON MT.	-59	-5	-45
MARCY	4		-19
*** MID-ORANGE	-25		-636
MID-STATE	22		35
MOHAWK	37	3	268
MONTEREY SICF	9		127
MORIAH SICF	9		90
MT. MCGREGOR	9		49
OGDENSBURG			38
*** ONEIDA	-32	-3	-929
ORLEANS			4
OTISVILLE	11		39
QUEENSBORO			-6
RIVERVIEW			95
SHAWANGUNK			-6
SING-SING			22
SOUTHPORT	8		3
SULLIVAN			2
*** SUMMIT SICF	-5		-129
TACONIC			25
ULSTER			136
UPSTATE	5		-11
WALLKILL			12
WASHINGTON			61
WATERTOWN			85
WENDE	2		14
WILLARD DTC			36
WOODBOURNE	13		-20
WYOMING			105
Net Change	7	-7	-830
% Change		0.00%	-1.47%

* Excludes out to court and temporary release

** Butler Minimum & Lyon Mt. closed in January 2011

*** Scheduled for closure 10/1/11 and 12/1/11

Overtime Hours and Costs

Besides closing posts, DOCCS administrators have the option of authorizing overtime to meet their obligation to maintain prison safety and security. Overtime is an option when there are either too few personnel or too much work to be accomplished by existing staff.

Another option to offset shortages is the post closings discussed earlier. In fiscal year 2010-11, we estimate the closing of posts resulted in avoiding approximately \$22.7 million in overtime costs that year.

In fiscal year 2010-11, the State, recognizing the need to maintain prison safety and security through the use of overtime, appropriated a state operations overtime base of approximately \$58.5 million for the supervision of inmates. That paid for approximately 1,373,127 hours of overtime at the security overtime rate of \$42.59 per hour.

Funding for staff does not cover all absences, such as workers' compensation, or situations where employees may be in work status but not at their assigned posts. Military leave, jury duty, assignment to other temporary duties (i.e., the Training Academy or the Inspector General's Office), travel status, and union business are examples of absences not covered.

Correction officer absences, driven primarily by sick leave, workers' compensation and military leave, have the biggest impact on overtime. During the last fiscal year, approximately 2 million staff hours were used to cover sick leave absences. Our funding assumes a maximum of 11 days of sick leave for each correction officer annually. During fiscal year 2010-11, 14 days of sick leave were taken per correction officer, 3 days or 459,824 hours more than are funded.

Correction officer vacancies (unfilled jobs) occurring in the system have accounted for an average of 700,000 overtime hours annually for the past five fiscal years. In fiscal year 2010-11 the total was approximately 746,668 hours. Since vacancies in permanent positions present a potential security risk, overtime was used to cover the vacancies in the system to safeguard employees and the inmate population.

Overtime Hours and Costs (continued)

Workers' compensation leave continues to rise, while inmate assaults on staff incidents are down. Inmate assaults on staff decreased by 14 percent from fiscal year 2001-02 to fiscal year 2010-11. While assaults on staff have decreased, DOCCS used 1,250,008 staff hours to cover workers' compensation absences in 2010-11, an increase of 2.85 percent over last fiscal year and an increase of 35 percent since fiscal year 2001-02.¹

Coverage for military leave required 190,007 staff hours. The Department has long supported its employees serving in the military.

To a much lesser extent, additional workload also impacts on overtime. Construction overtime was funded by capital monies, but still requires significant use of staff resources. In fiscal year 2010-11, a total of 391,257 hours were used to cover construction projects, a decrease of 24.1 percent from the prior year. These hours are far fewer than the hours spent on sick leave and workers' compensation.²

The delivery of health care to inmates required the use of an additional 304,300 staff hours for medical trips and 286,250 hours for outside hospital posts. In 2010-11, medical trip hours decreased by 8.2 percent. Overtime for medical trips is largely unavoidable, often occurring when transportation details are on the road. On-going agency efforts to contain costs include combining various clinics within a hub, use of Telemed for medical assessments and consolidating medical trips within the hub to use fewer officers to transport the same number of inmates to medical appointments.

Overtime is monitored continuously by central office and facility administrators. Daily overtime monitoring occurs at the central office, hub and facility levels, as well as through mid-shift overtime reviews in all facilities at the supervisory level.

On-site facility reviews are continuously conducted by the Security Staffing Unit to evaluate overtime, staff usage and post closures. During this process, hub managers are trained in techniques to monitor and prioritize workload, improve staff utilization and reduce overtime. Time and attendance audits are conducted by Central Office Personnel to monitor and improve attendance.

Overtime Hours and Costs (continued)

Table C displays fiscal year 2010-11 overtime hours and costs for correction officers and correction sergeants by correctional facility security classification. Overtime rates for correction officers and correction sergeants are based on the average hourly overtime rate paid last fiscal year.

NOTES

1. Absence percentages for fiscal year comparison are based on the staff hours used, divided by 8 hours per day, divided by total average correction officer resources.

2. Workload percentages for fiscal year comparison are based on the staff hours used, divided by total average correction officer resources.

TABLE C
DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION
TOTAL OVERTIME HOURS/COSTS FOR CORRECTION OFFICERS AND CORRECTION SERGEANTS

APRIL 1, 2010 - MARCH 31, 2011

FACILITY CLASSIFICATION	TOTAL CO OT/HOURS	TOTAL SGT OT/HOURS	CO OT @ \$42.59	SGT OT @ \$53.24
MAX	726,382.82	109,448.60	30,936,644	5,827,043
MED	516,143.76	125,696.15	21,982,563	6,692,063
MIN	55,482.50	8,007.25	2,363,000	426,306
WILLARD DTC	15,058.75	2,701.50	641,352	143,828
	1,313,067.83	245,853.50	\$55,923,559	\$13,089,240

Prepared by:

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