



## Illinois Department of Corrections

### Administrative Directive

Number: <b>05.01.101</b>	Title: <b>Roster Management – Deployment of Security Personnel</b>	Effective: <b>9/1/2022</b>
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<b>Authorized by:</b>	<i>[Original Authorized Copy on File]</i> <b>Rob Jeffreys</b> Director
<b>Supersedes:</b>	05.01.101 effective 9/1/2021

<b>Authority:</b> 730 ILCS 5/3-2-2	<b>Related ACA Standards:</b> 5-ACI-1A-07, 5-ACI-1B-16, 5-ACI-1C-03 – 05, 5-ACI-1F-01, 02, 5-ACI-2C-12, 5-ACI-3A-04 and 05
<b>Referenced Policies:</b> 02.65.105, 03.03.102	<b>Referenced Forms:</b> DOC 0133 – Roll Call or Sign in Sheet DOC 0530 – Master Roster Change Request DOC 0531 – Daily Roster Review

#### I. POLICY

The Department shall maintain an accurate roster of all security personnel for each facility to plan for proper utilization of security staff, plan for coverage of posts during absences and ensure that use of overtime is controlled and minimized.

#### II. PROCEDURE

##### A. Purpose

The purpose of this directive is to establish a written procedure for the determination of personnel requirements and the deployment of available security staff.

##### B. Applicability

This directive is applicable to all correctional facilities within the Department.

##### C. Facility Reviews

A facility review of this directive shall be conducted at least semi-annually.

##### D. Designees

Individuals specified in this directive may delegate stated responsibilities to another person or persons unless otherwise directed.

##### E. Definitions

Institutional Relief Factor – number of security staff required to provide post coverage for one shift per calendar year; posts may be seven day, six day, five day, four day, three day, two day or one day in nature.

Man-day – standard work shift of 7.5 hours.

Mandatory As Needed Posts – posts that may be closed when not in use including, but not limited to, the gym, yard and visiting room.

Mandatory Posts – posts that are essential to the continuous, 24/7 operation of the facility.

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Manpower Requirements – number of staff required to provide coverage for all mandatory and mandatory as needed posts as identified and centrally controlled by Operations, additional duties, and staff absences, including all days off.

Post Analysis – calculation of staffing in man-days required for manpower requirements, less staff absences and days off, for all seven day through one day posts for a calendar year.

Post Description – a document that provides the duties and responsibilities for each assigned security post including, but not limited to, the sequential order for completion of duties.

Roster Management Application – network computer application used for the maintenance of roster management records.

Security Personnel – for the purpose of this directive, shall be defined as all positions listed on the master roster including, but not limited to, Shift Supervisors, Lieutenants, Sergeants, Correctional Treatment Officers, Correctional Officers, Correctional Treatment Officer Trainees and Correctional Officer Trainees.

Uncontrolled Absences – for the purposes of this directive, shall be defined as absences that occur prior to the start of the shift.

#### **F. Requirements**

The Chief Administrative Officer (CAO) shall ensure a written procedure for a roster management plan is developed and implemented by the Assistant Warden of Operations. Roster management records shall be maintained in the Roster Management Application in accordance with the Roster Management Manual. The written procedure shall provide for the following:

##### 1. Authorized Security Positions

A list shall be maintained by the Assistant Warden of Operations of the total number of security positions:

- a. By title, authorized by the Department;
- b. Filled; and
- c. Vacant.

##### 2. Post Descriptions

a. A comprehensive written post description shall be:

- (1) Developed and maintained for every assigned security post; and
- (2) Reviewed annually and updated as necessary.

b. A current copy of the post description shall be available and posted at each post location. In the case of posts:

- (1) Such as writ or furlough security personnel, the post description shall be carried by the security personnel or permanently placed in the writ vehicles.
- (2) Where assigned staff do not have a fixed post or are assigned a post where the post description cannot be secured, including, but not limited to, the monitor, gym and yard, the post description shall be available in the Shift Supervisor's office.

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- c. All assigned personnel shall read, sign and date post descriptions:
- (1) After annual review of all post descriptions, which may be completed during cycle training;
  - (2) After revisions are made to any or all post descriptions, which may be completed during roll call; and
  - (3) Prior to each time a new post is assumed.

**NOTE:** Staff providing general relief to multiple posts shall only be required to sign off on the applicable post descriptions once per 90-day assignment.

3. Establishment of an Institutional Relief Factor and Post Analysis

- a. The institutional relief factor shall be computed by taking the 365-man-day base and dividing by the established annual average workdays per employee, based upon facility figures.
- b. Annual average workdays per employee shall be determined by taking a 365-man-day base and subtracting the average annual days off per employee, at 104 days, and annual facility averages for each type of uncontrolled absence:
  - (1) Vacation days;
  - (2) Sick days;
  - (3) Service-connected leaves, including on-the-job injury;
  - (4) Holidays;
  - (5) Compensatory time;
  - (6) Personal business days;
  - (7) Suspension days;
  - (8) Unauthorized absences;
  - (9) Leaves of absence;
  - (10) Maternity or paternity leave;
  - (11) Authorized dock, including union business;
  - (12) Family Medical Leave Act (FMLA) leave;
  - (13) Annual cycle training;
  - (14) Extended benefits;
  - (15) Inclement weather;
  - (16) Military leave;
  - (17) CVQ time (CVQ 1, CVQ 2, CVQ 3); and

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(18) Other paid time off.

**NOTE:** Facility averages shall be calculated by dividing each annual total of uncontrolled absences by the facility's average annual security headcount for the calendar year. Annual totals of each uncontrolled absence can be retrieved from the facility's benefit log.

c. A complete post analysis and listing of all authorized security posts shall be completed annually in January, for the preceding calendar year, and retained on file in the Assistant Warden of Operations' office for at least one year.

#### 4. Manpower Requirements

a. Annual manpower requirements shall be computed by:

- (1) Totaling all annual man-days from the post analysis that is maintained centrally by operations and inclusive of all authorized facility posts, one through seven days;
- (2) Totaling all annual additional duty log entries; and
- (3) Adding the two figures.

b. The total man-days arrived at in Paragraph II.F.4.a.(3) shall be divided by the established average workdays per employee.

c. The procedure shall provide the number of employees required for post coverage.

#### 5. Development of a Master Roster

A master roster shall be developed, utilizing the Roster Management Application, to ensure full deployment of security personnel.

a. The master roster shall:

- (1) Cover a specific period of time.
- (2) Be in increments of 30 days but shall not exceed 90 days.
- (3) Have an effective date and an expiration date.
- (4) Be signed by the CAO.
- (5) Have assignments assembled in groups that can be assigned by location, rank or job function.

**NOTE:** Each group shall be assembled using wheels, consisting of a 5-day assigned officer and 2-day relief officer, in accordance with the Roster Management Training Manual.

- (6) Identify mandatory posts by marking with a double asterisk (\*\*). Mandatory posts shall only be closed as approved by the CAO (no designee).
- (7) Any post not identified as mandatory shall be considered mandatory as needed. Mandatory as needed posts may be closed for partial shifts due to scheduling and during institutional emergencies.

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(8) Identify those security employees who are on leave of absence. The name of the employee:

- (a) On leave of absence shall be removed from the master roster after 15 days.
- (b) Who returns from a leave of absence shall be added to the master roster.

**NOTE:** Employees who are on leave of absence in excess of 15 days, while removed from the master roster, shall remain on the assigned shift total and be accounted for accordingly.

b. The CAO or Assistant Warden of Operations shall approve all changes subsequently made to the master roster.

**NOTE:** Any changes to the master roster shall be documented on the Master Roster Change Request, DOC 0530, and be stapled to the applicable master roster.

c. Master rosters shall be retained on file in the Assistant Warden of Operations' office for at least four years.

6. Development of a Daily Roster

a. A daily roster shall:

- (1) Be developed, utilizing the Roster Management Application, at least one week in advance, but not greater than two weeks in advance, to accommodate annual leave scheduling;
- (2) Include the recapitulation page, staff absences, staff assignments, staff days off and teams;
- (3) Be approved by the CAO;
- (4) Be signed on each page by the Shift Supervisor certifying use of staff as listed and be submitted to the Assistant Warden of Operations daily; and
- (5) Identify any changes in staff assignments by lining out the employee from the post and a notation be written to the far right side of the roster. The notation shall include:
  - (a) Change, including first and last name of the employee, if applicable;
  - (b) Reason, routine moves need only list post where staff is being assigned;
  - (c) Post personnel is being moved to; and
  - (d) The absence code listed on the Roll Call or Sign in Sheet, DOC 0133.

b. Additional duty entries as defined by Paragraph II.F.7. shall be recorded by the Shift Supervisor in accordance with the Roster Management Training Manual.

c. All approved overtime and use of overtime shall be recorded by the Shift Supervisor on the roster recapitulation page and shall include the name of security personnel, post, hours of overtime and specific reason for overtime.

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**NOTE:** All shift overtime shall also be recorded on the DOC 0133 and include rank, first and last name and the actual hours the overtime was worked, for example, 7:00 AM to 11:00 AM.

- d. A recapitulation shall be completed daily by the Shift Supervisor and shall record the following:
- (1) Total number assigned to shift;
  - (2) Number on days off status;
  - (3) Number on vacation;
  - (4) Number on sick leave;
  - (5) Number on service-connected sick leave, including on-the-job injury;
  - (6) Number on holiday;
  - (7) Number on compensatory time;
  - (8) Number on personal business days;
  - (9) Number on suspension status;
  - (10) Number on unauthorized absence;
  - (11) Number on leave of absence;
  - (12) Number attending Annual Cycle Training;
  - (13) Other entries as required to demonstrate the proper utilization of personnel;
  - (14) Number working overtime, maintained separately from the number on duty; and
  - (15) Number on duty specific to on-shift personnel that shall not include any staff working overtime.
- e. Any post that is not back filled shall have “closed” written above it. Additionally, any post closed after the start of shift shall also have the time the post was closed written in parenthesis.
- f. Daily rosters shall be reviewed by the CAO, Assistant Warden of Operations or, for satellite facilities, the highest ranking employee (no designees). The review shall be documented on the Daily Roster Review, DOC 0531.

**NOTE:** The DOC 0531 shall be stapled to the front of the daily roster and retained for a minimum of four years.

7. Additional Duties

- a. The Assistant Warden of Operations shall ensure an additional duty log is maintained in accordance with the Roster Management Training Manual. The log shall:
- (1) Be listed in man-hours, with a full shift indicated as 7.5 hours;

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- (2) Be logged daily, specific by month and contain annual totals;
  - (3) Be utilized to complete the annual post analysis; and
  - (4) Be retained for a minimum of one year.
- b. Additional duties shall include additional posts required above the authorized number of posts on the daily roster resulting from special circumstances requiring additional staff assistance such as escort or writ, outside hospital duty and temporary assignments.
- c. Staff or trainees on duty fulfilling incidental facility needs as a result of excess staffing amounts shall not be logged as additional duties. Assignments of excess staff may be documented on the daily roster, next to their name, rather than unnecessarily logging additional duties.
- d. Overtime that occurs before or carries over from another shift shall not be logged as additional duties, but rather documented as overtime.
8. Maintenance of a Benefit Log
- The Assistant Warden of Operations shall ensure a benefit log is maintained documenting all uncontrolled absences. The log shall:
- a. Be specific to uncontrolled absences documented on each shift's daily recapitulation;
  - b. Be logged in man-days;
  - c. Be logged daily by shift, organized by month and contain cumulative annual totals;
  - d. Be utilized when completing the annual post analysis; and
  - e. Be retained for a minimum of one year.
9. Annual Leave Schedule
- a. An annual leave schedule shall be formulated, posted, and implemented with leave scheduled in every pay period; however, smaller facilities may have weeks with no annual leave scheduled.
  - b. Annual Vacation Calculations shall be completed in accordance with the Memorandum of Understanding (MOU) regarding annual vacation payoff amounts, dated October 2020 and cited as Attachment A.
  - c. Annual vacation calculation shall provide the number of staff allowed off, by rank, for each day in accordance with annual vacation calculations pursuant to Administrative Directive 02.65.105 and the statewide MOU regarding annual vacations amounts. Understanding; Annual Vacation Calculations shall be based on the time period beginning March 1<sup>st</sup> and ending on the last day of February of the subsequent year.
  - d. Annual vacation calculations shall be recalculated annually, in October, based upon current employees and employee vacation accrual rates as of March 1 of the upcoming vacation year. Annual Facility calculations shall be submitted to IDOC Operations and IDOC Labor Relations no later than October 16<sup>th</sup> each calendar year. Wardens shall provide the local union notice of any changes to the authorized annual payoff amounts not later than November 15<sup>th</sup> each calendar year, prior to the next vacation offering and scheduling shall not commence prior to December 1<sup>st</sup>.

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10. Overtime

The use of overtime shall be prohibited whenever unscheduled leave is granted or when the relief factor is improperly used.

11. Staff Development

- a. Staff assignments shall be rotated at established intervals for purposes of staff development.
  - b. Training in proper administration of roster management shall be scheduled through the Office of Staff Development and Training for staff identified on the master roster as functioning as Shift Supervisor on a routine basis, including Shift Supervisors and day-off relief. Training shall be documented in accordance with Administrative Directive 03.03.102.
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**Attachment A**

**Memorandum of Understanding  
Between  
The Illinois Department of Corrections  
And  
AFSCME Council 31  
Regarding Annual Vacation Payoff Amounts**

The parties agree there is a need for a fair and uniform method for determining annual payoff amounts for employee benefit time use, therefore the parties agree as follows:

1. Annual vacation calculation shall provide the number of staff allowed off, by Officer, Sergeant, and Lieutenant position classifications, per day, per shift in accordance with annual vacation calculations pursuant to Administrative Directive 02.65.105 with the addition of (4) holidays per employee per year included in such calculations and rounded to the next highest whole number. Officer and Sergeant position classifications are currently combined for vacation scheduling at Stateville CC and they shall remain combined for vacation scheduling under this agreement. All facilities will be bound by the uniform established vacation calculation, that is in electronic Excel form (hardcopy in Attachment "A") and is also incorporated herein by reference.
2. In addition to the number represented for daily payoff amounts in paragraph 1, there shall be one additional employee for the Officer and Sergeant position classifications allowed use of benefit time per day, per shift on each holiday listed in Article XI Section 1., December 24th/Christmas Eve, December 31st/New Year's Eve and on each day of the Illinois Department of Natural Resources 1st and 2nd official shotgun deer season.
3. Each employee may use up to two (2) days of overlap per year. Overlaps will be limited to one (1) per shift, per day and may only be used during the first and second annual vacation selection periods and may not be used during the third annual vacation selection period or for incidental time off requests. Employees shall be responsible for accruing or possessing sufficient vacation to cover the requested vacation at the time of scheduling and on the first day of the scheduled vacation. Other benefit time (i.e., compensatory time, accumulated holiday time, personal business time) shall not be used to replace scheduled vacation time, when the employee does not have vacation time to cover the date(s).
4. Annual Payoff Amounts shall be recalculated annually, in October, based upon current employees and employee vacation accrual rates as of March 1 of the upcoming vacation year. Annual Facility Calculations shall be submitted to IDOC operations and IDOC labor relations no later than October 16<sup>th</sup> each calendar year. Wardens shall provide the local union notice of any changes to the authorized annual payoff amounts not later than November 15<sup>th</sup> each calendar year, prior to the next vacation offering and vacation

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scheduling shall not commence prior to December 1<sup>st</sup>. Established payoff amounts will cover March 1<sup>st</sup> through the end of February the following year.

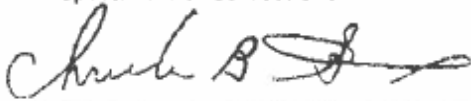
5. This agreement constitutes the number of staff allowed benefit time off per day, per shift. The employer shall continue to follow any bona fide past practices regarding approval procedures for granting additional benefit time when the daily vacation allotment has not been met. The parties recognize that prior to this agreement employees were allowed benefit time off above the daily vacation allotment, including, but not limited to: holiday schedules, turnarounds, half-days, or other partial day off scheduling, and the employer shall continue to allow additional benefit time off if doing so meets operational needs and bonafide past practices, even if doing so exceeds the daily vacation allotment.
6. This agreement will only supersede facility supplemental agreements, MOU's, and past grievance resolutions specific to annual pay off amounts.

Joseph Rose

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Department of Corrections

Date



10/09/2020

AFSCME Council 31

Date



Central Management Services

Date

10/9/2020

*in accordance of Article 31, section 11*