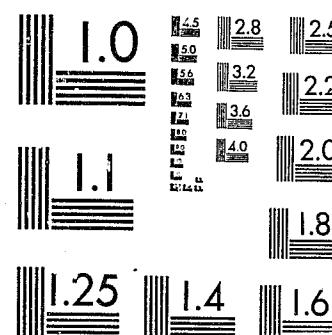


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X DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
MARCH 31, 1976

AUDIT REPORT AL-St-31-76

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DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
MARCH 31, 1976

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Office of the State Comptroller
Division of Audits and Accounts
Report Filed: April 12, 1977

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OFFICE OF THE STATE COMPTROLLER
DIVISION OF AUDITS AND ACCOUNTS
AUDIT REPORT AL-St-31-76

DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
MARCH 31, 1976

MANAGERIAL SUMMARY

Background

The Department of Correctional Services is responsible for the safety and well being of inmates in State correctional facilities and for the treatment and rehabilitation of those confined. Security personnel are directly responsible for security and inmate control within the facilities. The security staff is assigned to the facilities on the basis of plans specifying the posts necessary to secure each facility.

As of October, 1975 there were 5,408 security positions allocated to the State's 23 correctional facilities. The largest group of security personnel, 91 percent of the total security force, were grade 14 correction officers. During the 1974-75 fiscal year the cost of security personnel in the facilities including fringe benefits was \$96.3 million, of which \$5.8 million was overtime.

The purpose of the audit was to review the assignments of security personnel at the facilities and to evaluate the Department's programs related to officer utilization, use of leave and training. We made on site reviews at six of the States 23 correctional facilities and reviewed the staffing of all facilities at the Department level. The facilities included in our on site review encompassed the various levels of security and accounted for 58 percent of the 1974-75 fiscal year security personal service costs, 54 percent of the security staff and 48 percent of the State's inmate population. Where applicable, the situations noted at the six facilities were projected to all facilities to illustrate the full effect of a recommended change. In those instances where the situation applied to a specific facility we suggested that the Department investigate the other facilities to ascertain if the same situations existed.

Major Observations and Recommendations

Between the years 1973 and 1975 the State's inmate population increased by 24 percent. During the same period, correction officer positions increased by about 10 percent. Since the number of inmates and correction officers are increasing at disproportionate rates, it is important that available correctional officers be effectively utilized. We suggested changes in the use of security personnel and related practices that would significantly reduce the cost of securing the facilities and maximize the use of the skills of available security personnel.

1. Potential Savings Through Improved Utilization of Security Officers

Correctional officers were assigned to certain posts which, in our opinion, resulted in excessive staffing. Officers were also assigned to clerical activities or to posts which although designated as requiring a security officer did not involve inmate contact. We recommended that the Department review the specific situations described in this report and consider freeing security personnel for more critical assignments or to reduce the large amounts of overtime (\$5.8 million) incurred annually.

We identified posts at which 55 officers were assigned which, in our opinion, were in excess of security needs or did not require an officer. Such posts included work gangs, and to posts which could be manned by existing maintenance or program personnel. Savings resulting from eliminating these posts would be about \$977,000 annually.

Officers were assigned duties which could be performed at a lower cost by civilian personnel. The duties included such clerical functions as typing, filing and posting records, and operating switchboards. Replacing the officers with appropriate civilian personnel would result in annual savings of about \$828,000.

Department of Civil Service job descriptions specify correction officer duties as being primarily of an inmate contact nature but certain of the posts, such as those on the prison walls, required little or no inmate contact. In view of the disparity of difficulty and responsibility associated with officer assignment, we recommended that the Department of Correctional Services, in conjunction with the Department of Civil Service, consider reclassifying the correction officers positions to correspond with the degree of difficulty and responsibility of the posts to which they are normally assigned.

2. Pre-Shift Briefings Cost \$1.5 Million Annually

The 1975-76 budget included \$1.5 million to pay officers \$11 each payroll period for attending pre-shift briefings and to get to their work site. This arrangement is provided for in the State's Union Agreement with the Security Services Unit. We observed that pre-shift briefings were not held in many instances although the officers were paid, and when they were, what transpired could be accomplished just as adequately through bulletin boards or supervisors. We recommended that the Department direct the facilities to hold briefings when needed for efficient operation and security. Also that consideration be given to reviewing the Union agreement, determine if additional pay for pre-shift briefings should be included in the compensation of all officers, even if they do not attend such briefings.

3. Adequate Relief Factor Would Save \$1.5 Million in Overtime Premium Costs

Officers are assigned to facilities on the basis of plot plans which specify the time periods that posts are to be manned. A factor is provided for additional positions to cover posts for periods when officers are on leave and for miscellaneous security duties (relief factor). The Department and the Division of the Budget did not provide an adequate relief factor. We estimated that an additional 117 officers were needed to cover the officers on leave and another additional 60 officers were needed to cover those officers on outside hospital assignments. Had the relief factor been based on the actual experience of prior years and 177 more positions been provided, about \$1.5 million in overtime premium pay would have been saved. The 177 additional positions needed to provide adequate relief could

DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
MARCH 31, 1976

Table of Contents

be reassigned from the 230 positions which we believe would be available if nonessential posts are eliminated and if clerical functions now performed by correction officers are assigned to civilians.

Officer Training Needs to be Improved

All officers were not receiving the training required by the Department. As a result, officers were not adequately trained in the use of weapons, emergency plans, first aid or human behavior. We noted that supervisors lacked the required training and that some officers assigned to wall posts had not qualified in the use of weapons.

Savings Available Through Use of State Facilities

It was often necessary to use outside housing facilities to house trainees for training programs conducted at the Department's Training Academy in Albany. We determined that space was available at the State Police Academy during a period when about \$88,000 was spent for outside housing. We recommended that arrangements be made with other State agencies to use available housing when Academy facilities are full.

* * * * *

Department officials generally agreed with our recommendation and have indicated that many of them have been implemented.

| | <u>Page</u> |
|---|-------------|
| A. Introduction | 1 |
| 1. Scope | 1 |
| 2. Background | 1 |
| 3. Discussion With Agency Officials | 3 |
| B. Potential Savings Resulting from Improved Utilization of Security Personnel | 4 |
| 1. Elimination of Unnecessary Security Posts | 5 |
| 2. Reclassification to Civilian Positions | 12 |
| 3. Classification of Security Positions | 18 |
| C. Compensation for Pre-Shift Briefings | 21 |
| D. Overtime Premium Costs Could be Reduced by an Adequate Relief Factor, Fewer Officers Assigned to Monitor Construction Sites, and Better Monitoring of Facilities by the Department | 23 |
| 1. Inadequate Relief Factors | 24 |
| 2. Excessive Construction Assignments | 26 |
| 3. Reporting and Justification of Correction Officer Overtime | 29 |
| 4. Plot Plan Changes Made Without Notification | 30 |
| 5. Facility Control of Officer Leave Not Adhering to Department Policies | 31 |
| 6. Disciplinary Action for Leave Abuse Untimely | 33 |
| E. Training of Security Personnel Could be Improved | 36 |
| 1. Security Personnel Not Receiving Required In-House Training | 37 |
| 2. Academy Staffing | 40 |
| 3. Outside Housing Costs | 42 |

Exhibit A - Department of Correctional Services
Security Personnel Utilization
Security Personnel Costs (By Facility)
Fiscal Years 1973-74, 1974-75

DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
MARCH 31, 1976

Table of Contents (cont'd)

- Exhibit B - Security Personnel Utilization
Security Overtime Costs (By Facility)
- Exhibit C - Security Personnel Utilization
Summary of Security Personnel and Inmates
As of November 1975
- Exhibit D - Security Personnel Utilization
Potential Security Cost Savings (Posts Not Necessary)
- Exhibit E - Security Personnel Utilization
Potential Officer Replacement Savings (All Facilities)

A. Introduction

1. Scope

We examined the operating practices related to the utilization of security personnel at the 23 facilities operated by the Department of Correctional Services at the time of our review. Our examination consisted of on-site reviews at six facilities and an analysis of security staffing at the 23 State correctional facilities. We also reviewed Department policies and practices in relation to the use of security personnel at the facilities.

The six facilities which we reviewed on site represented the three levels of security (maximum, medium, and minimum) and accounted for 58 percent of the 1974-75 fiscal year security personal service costs, 54 percent of the State's 5,408 security staff, and 48 percent of the State's inmate population. The situations noted at these facilities were used as a basis for making evaluations of the staffing at all the correctional facilities. Except where noted, potential savings figures and suggested changes apply to all facilities.

Our examination was made in accordance with generally accepted auditing standards and accordingly included such tests of the operating records and such other auditing procedures as we considered necessary in the circumstances. The examination was performed pursuant to the State Comptroller's audit responsibilities as set forth in Section 1, Article V of the State Constitution and Section 8, Article 2 of the State Finance Law.

2. Background

The Department of Correctional Services (Department) is responsible for the care, treatment and rehabilitation of inmates housed in its 23 facilities. Security personnel are actively involved in all facets of correctional operations and have been commonly called the "backbone" of a correctional facility. Security personnel must ensure the safety and security of inmates, staff and visitors in the facilities. They also have responsibility for assisting in the rehabilitation of inmates through daily contact with them.

During the 1974-75 fiscal year about \$96 million was paid security personnel to man the State's correctional facilities. This represented 56 percent of the Department's total personal service expenditures and represented an increase of over \$16 million from the prior year. The increase was caused primarily by opening of minimum security residential treatment centers, pay raises, and increases in fringe benefits. Security expenditures for the 1973-74 and 1974-75 fiscal years are shown by facility, in Exhibit A.

Custodial positions are assigned to facilities on the basis of plot plans approved by the Department and the State Division of Budget. The plans specify the number of security posts in each facility and also provide for additional officer positions to cover the posts when assigned officers are absent. The factor applied to the assigned posts to arrive at the number of additional positions needed to cover absent officers is referred to as a relief factor.

Security personnel operate within a chain of command consisting of Captains, Lieutenants, Sergeants, Correction Officers, and in some facilities, Institutional Safety Officers. The number of officers assigned to a facility depends on many variables, such as the layout of the facility, security classification, programs offered, location, and the number of inmates in the facility.

There was a marked increase in correction officer positions between 1973 and 1974, but only a small increase between 1974 and 1975. During the same periods inmate populations rose substantially, from 12,984 in September 1973 to 16,114 in September 1975 (24 percent increase). The ratio of inmates to correction officer positions increased from 2.9:1 in 1973 to 3.2:1 in 1975. In view of the increased number of inmates and the increased inmate to correction officer ratio, it is important that all available officers be used to their maximum potential.

A summary, by facility, of correction officer and supervisor positions and inmate populations as of November, 1975 is shown in Exhibit C.

Officers choose specific assignments through a bidding system based on seniority. Officer duties vary greatly depending on the assigned position. Some posts required almost continual inmate contact, either in a rehabilitative or housing location, while other posts,

although involving minimal direct inmate contact, required the officer to secure a general area and to perform facility operation functions. A number of posts were strictly security and involved no inmate contact.

Regardless of assigned posts, all officers may be called upon in emergencies to control inmates, operate fire equipment, or carry weapons. Because of the continual threat of such emergencies and the need to train officers in their basic duties, the Department instituted a Training Academy in Albany and in-house training programs at the facilities. The purpose of the Training Academy was to provide an initial training program for new officers and to give other specialized courses to security personnel. The purposes of the in-house training program was to give officers continual training in weapons, first aid, facility emergency plans, and various human relation courses. Training lieutenants and officer relief positions were provided to some facilities to operate in-house training programs.

3. Discussion With Agency Officials

Draft copies of this report were provided to Department officials. Their comments as appropriate, are shown in the body of the report or parenthetically, after our recommendations. In general, Department officials agreed with our recommendations and they have indicated that many of the recommendations have been implemented.

*Office of the State Comptroller
Division of Audits and Accounts*

Report Filed: April 12, 1977

ARTHUR LEVITT
STATE COMPTROLLER

-4-

B. Potential Savings Resulting from Improved Utilization of Security Personnel

Correction officers were assigned to a wide variety of posts, some requiring constant interaction with inmates and others requiring little or no inmate contact. In addition to posts, strictly of a security nature, officers were used for administrative and facility program operations.

We reviewed the use of security personnel in six of the 23 correctional facilities, Bedford Hills, Clinton, Elmira, Fishkill, Green Haven and Ossining. The six facilities employed 54 percent of the Department's security staff and accounted for about 58 percent of the total security personnel service costs. Our on-site examinations consisted of reviews of job descriptions prepared both by the Department and by officers assigned to the posts, discussions with officers, observations of secured areas, and discussions with supervisory personnel responsible for officer assignments and facility security. We also reviewed job description of posts in facilities we did not visit.

Our review showed areas where the cost of assigned posts could be reduced, through assignment of lower grade civilian personnel to some posts or by eliminating unnecessary posts from the plot plan. We do not suggest that officer positions at the facilities be eliminated, but rather, the available officer staff be reallocated to posts which clearly fit the prescribed duties of correction officers. Not only would this reduce security costs at the facilities by reducing the need for overtime, it would also give the officers better opportunity to use their special training and experience to safeguard the facilities and to better aid in inmate rehabilitation.

Potential savings figures shown in this report were based on the salary correctional officers would receive had they worked in their titles for five years. All annual salary figures also include applicable fringe benefit costs. The number of positions used in computing potential savings, include the assigned position as well as relief positions allocated by the relief factor on the plot plans.

1. Elimination of Unnecessary Security Posts

Facility security requires that officers continually monitor and control inmate actions. Officers are assigned not only to supervise general areas of facilities, but also to cover specific programs or services. We noted that officers were assigned to areas in which other security coverage was available and other officers were performing duties which, in our opinion, could be eliminated without seriously affecting facility security. We identified several such posts which if eliminated would result in freeing 55 correctional officer positions which cost \$977,000. Indications are that additional posts may also be eliminated. The positions we questioned are summarized in Exhibit D and discussed below.

a. Superintendent Residence

Ten officers were provided to supervise inmates performing maintenance work at superintendent residences at six facilities. An additional officer was used at the Superintendent's residence in the Clinton facility. The eleven assignments cost about \$194,000 annually.

The Department directed the facilities in February 1974 to discontinue using inmates as houseboys, cooks and waiters. Facilities were allowed to use inmates for maintenance work. An August 1975 revision to Section 22 of the Correction Law prohibited the use of inmates for the private benefit of a facility employee and an October 1975 memorandum from the Commissioner to all Superintendents directed that "No inmate labors shall be used at anytime in or near the Superintendent's residence".

Even though the Commissioner's directive prohibited use of inmates in Superintendent residences, the plot plans continued to provide officers to supervise inmates working at the residences.

(In responding to our draft audit report Department officials stated "With the revision of Section 19 of Correction Law in 1975 many Superintendent residences have been vacated and are being utilized for other purposes. Maintenance and upkeep of buildings and grounds is accomplished by regular maintenance gangs and security items utilized in the past have been transferred to other areas.")

-6-

b. Work Gangs

Groups of inmates perform maintenance and minor repairs of facility grounds and buildings. Statewide, there were 117 work gangs and 170 work gang officers provided by the plot plans. Department and Division of Budget representatives informed us that at least 10 inmates should be on a gang to make full use of the assigned officer.

We noted instances at the Clinton and Fishkill facilities in which much less than 10 inmates were assigned to work gangs. One of the 18 work gangs at the Clinton facility was used for minor maintenance. During the nine months reviewed the gang averaged two men and worked 158 days and at no time did the gang have more than three inmates assigned. Another gang, had inmates assigned only 29 days during the nine month period. The officer provided to cover this gang was used on other maintenance tasks when the gang was not working. By consolidating the Clinton assignments discussed, three positions would be eliminated.

The Fishkill facility was provided four officers to supervise outside work gangs. We reviewed inmate assignments to the gangs for September and October 1975. The ratio of inmates to officers on the gangs ranged from a high of 5.7 to a low of 1.5 inmates for each officer. The highest number of inmates assigned to the work crews could have been supervised by two officers. In view of the small number of inmates assigned we concluded that two of the work gang assignments could be eliminated.

Elimination of the five work gang assignments noted above would save about \$93,000 annually.

(In responding to our draft report department officials stated that the requirement of 10 inmates to one officer is not the primary means of assigning inmates to work gangs. They noted that staffing depended primarily on the location and nature of the work to be done by the work gang. They stated that the work gang positions at the Fishkill Facility were under review as a part of a complete reorganization of the Facility).

c. Employee Restaurant

Security personnel are not allowed to leave the facility ground after their assigned shift begins. To provide

both officers and civilians with dining facilities, employees of 8 of the 23 facilities operate restaurants on the facility grounds. The restaurants are normally opened during breakfast and lunch hours and inmates prepare and serve meals. Correction officers are assigned to supervise the inmates, order supplies and collect money.

The eight facilities were allotted 15 correction officer positions for the restaurant areas at an annual personnel cost of about \$268,000 during the 1974-75 fiscal year.

Employee restaurants were developed to provide employees with an area inside the facility in which they could purchase breakfast or lunch. The restaurants began during a time when no alternate means were available for employees to purchase food. Vending machines now available provide hot and cold foods at a reasonable cost. Their use would ensure prompt service, provide food on a 24 hour basis not now available under the present restaurant operation, and save about \$268,000 annually.

(In responding to our draft report Department officials stated that employee restaurants were under review with the intent to convert potentially productive operations to inmate vocational training programs, thus eliminating the need for correction officer coverage in the restaurant areas.)

d. Other Security Assignments

Other posts were filled in the facilities we visited which, because of other security coverage or the nature of the involved duties, we believe did not require security personnel. Following is a discussion by facility, of the posts which should be reevaluated to determine whether they can be eliminated without seriously affecting facility security.

(1) Elmira - We questioned the following assignments which involved 3.4 positions at an annual cost of \$60,000:

Earphone Shop - One officer was assigned to the facility Earphone Shop seven days a week to repair and inventory earphones assigned to inmates, supervise an inmate work gang in the Facility auditorium, and maintain the facility radio and movie projector. The facility had an Electrical Shop and numerous main-

-8-

tenance crews which could be used to perform the functions related to maintaining the earphones and other electrical functions to provide the officer with more time for security functions.

Reception Center Entrance - Officers were assigned to the front entrance of the Reception Center on a 24 hour, seven day a week basis. Duties included receiving visitors and inmates and securing the area through which all civilian traffic must flow. Except for unusual circumstances, inmates, visitors and civilian personnel do not enter this area during the midnight and 8 a.m. shift. Since the officer assigned to the adjacent key room and corridor gates can supervise the front entrance area, and another officer could be requested to open the front entrance in unusual circumstances, we believed that an officer was not needed on the midnight to 8 a.m. shift.

(Department officials stated in responding to the draft audit report that the Reception Center Entrance post has been eliminated).

(2) Green Haven Mounted Patrol Posts

Two officers were assigned to mounted patrol posts, one post manned five days and the other seven, 3.2 positions at an annual cost of \$56,000. The officers patrolled the outside area of the facility on horseback and inspected areas in which the outside work crews were located. Each mounted officer contacted the arsenal by radio every half hour to report the work crew situations. In our opinion, the required reporting could be accomplished by providing each officer assigned to a work crew with two way radios, enabling them to report directly to the arsenal on a periodic basis.

(In reply to our draft audit report Department officials stated that the duties of the post require periodic checks and reports on crews assigned to remote areas, not reachable by vehicle. The knowledge of immediate reporting and pursuit by a mounted officer has proven to be a strong deterrent of "run-aways".)

(3) Fishkill - We questioned the following assignments which involved 3.4 positions at an annual cost of \$60,000:

Visiting Room Door - One officer was assigned seven days a week to provide security at the top of a stairway leading to the visiting room. However, visitors are searched and checked in at the front door of the building, escorted by an officer to the visiting room gate, and under surveillance while in the visiting room.

Package Room - During the day and night shifts the officer assigned to the front gate of Building #13 is responsible for operating the key and package rooms in addition to his gate duties. However, during the evening shift an additional officer was assigned each day to this area to operate the key and package room. We reviewed the number of packages examined by this officer during the period of September 1 through October 31, 1975. Records were available for only 49 of the 61 days however, the information showed that an average of 2 packages were examined by this post on week nights, and only about 4 packages on weekends. Due to the small number of packages received, the package room assignment could be eliminated by reassignment to the officer assigned to the front gate of Building #13 on the 2:30 to 10:30 shift.

(4) Clinton - We questioned the following assignments which involved 17.1 positions at an annual cost of \$302,000:

Cell Block Frisk - The Clinton facility was the only facility in the State which provided specific positions to perform frisks of inmate cells. The 12 frisk officers were not the only ones used for this purpose. Cell block officers were also required to perform a number of frisks during their shift. Other duties performed by the frisk officers included packaging inmate clothes, escorting inmates, and outside hospital visits, duties covered by other officer assignments. Because area and cell frisks are part of a correction officer's general duties, and since frisk officers are used to cover areas assigned to other officers, we concluded that the need for such posts should be reevaluated. The cost of the 12 positions is approximately \$212,000 annually.

State Shop - Two officers were assigned to the State Shop five days a week. Duties included supervising inmates,

-10-

marking clothing, inventorying stock, and issuing clothing. The Clothing Room was manned with a civilian and about 12 inmates. Due to the small number of inmates under surveillance we recommend that the need for two officers rather than one be evaluated.

(Department officials did not concur on the basis that one officer's duties dealt specifically with inmates in the reception and classification program while the second officer deals with inmates assigned to the main facility).

Radio Repair - One officer was assigned each day to supervise the repair and maintenance of facility television sets, intercoms, and earphones and to coordinate the facility radio and TV system. At the time of our review one inmate was assigned to assist the officer in these tasks. The facility had a Radio and Television Repair Vocational Shop and numerous maintenance units which could be used for repair of the facility transmitting equipment.

Early Utility - One officer was assigned to cover various areas throughout the facility during the 5:30 a.m. to 1:30 p.m. shift. A review of the areas covered by the officer showed that adequate coverage was already provided by other security posts in the areas.

(Department officials responded that they will review this situation and take appropriate action).

Head Farmer - A civilian head farmer had been reassigned to the Central Office. One officer was assigned each day to operate the farm but no allowance had been made on the plot plan. Security of the farm area was provided by another officer who is assigned there each day. The officer position of head farmer could be eliminated.

(Department officials stated in response to the draft audit report that only a single correction officer is assigned to the area).

e. Wall Posts

Wall posts are in towers built on or near facility walls. Their purpose is to prevent unauthorized entrance to or escape from the facility. The posts also provide protection against fires and act as a last line of security during inmate disturbances. Assigned officers are usually equipped with a variety of weapons, including rifles, shotguns, submachine guns, gas, and pistols. The four maximum security and seven medium security facilities had wall posts. Most posts were provided officer positions to allow 24 hour a day, seven day a week manning. As of November 1975, 406 positions were provided facilities for wall post coverage.

The Green Haven, Elmira and Clinton facilities had 31 wall towers and accounted for 35 percent of the officer wall post positions. Our review of each tower's surveillance area, both within and outside the facility, and activities within the areas showed that 13 towers were covering areas which were also under surveillance by other towers in the immediate area. The 13 wall posts involved 53 officer positions and cost about \$936,000 annually to staff. We suggested to Department officials to review the need for these posts.

Department officials replied that the manning of wall posts is under constant review and scrutiny and that certain posts had already been closed at their direction. Some of the posts that were closed were among the wall posts whose need we questioned. They also noted that wall post positions are the most frequently tapped source of contingent relief to avoid paying overtime and that it was imperative that the Department maintain a position of total security to defend against outside groups. The Department also noted that the manning of wall posts is always contingent upon such factors as facility conditions, personnel availability, and weather conditions. They stated that review of individual posts and investigation of the possible utilization of mechanical means to reduce overall costs will continue to be an on-going practice in this area.

Recommendations

1. The Department should review closely the posts questioned in this report and eliminate those found to be unnecessary for the security of the State's correctional facilities.
2. The Department should review the need for work gang and other security assignments at the facilities not covered by our on-site reviews and eliminate those posts which are not needed for the security of the facilities.

(Department responses, shown parenthetically in the preceding section of the report, indicate the Department's intention to review the condition cited to improve staffing practices.)

2. Reclassification to Civilian Positions

There were 109 correction officers assigned to posts involving duties which could be performed by lower grade civilian personnel. We estimate that \$828,000 can be saved annually if civilian personnel were used for these tasks. Most of these posts were of a noninmate contact nature while others involved contact with inmates through windows or with inmates that were screened by program committees and determined to be trustworthy to work with civilians. The positions we questioned are summarized in Exhibit E and discussed further below. Department responses are shown parenthetically following each section.

a. Commissary and Correspondence Office

Commissaries are stores operated to enable inmates to purchase food and staple goods. Personnel in the Correspondence Offices are responsible for checking inmate mail to ensure only authorized persons are corresponded with by inmates and that proper charges are made to inmate stamp accounts for postage costs. Inmates are used in the commissary to stock shelves, package buys, and clean the area, and in the Correspondence Office to post correspondence listings.

There were 28 officers assigned to commissaries and 32 officers assigned to correspondence according to the plot plans. The annual cost of the 60 assignments was about \$1 million. Duties of officers assigned to these posts included supervising inmates as well as performing such clerical duties as operating adding machines, purchasing and inventorying stock, preparing commissary operation reports, and posting inmate correspondence cards.

Job descriptions at Grade 5 Account Clerks, showed that their duties included all of the clerical functions performed by the officers. We also noted that before inmates are assigned to any program they are screened by a program committee. In view of this process, which takes into account the inmates security needs, it may be possible to provide coverage of these areas through periodic checks, rather than permanent officer assignments. This method of security is now used for securing the vocational areas in the Elmira facility. These checks could be done by officers assigned to nearby areas or supervisory personnel during tours of the facility. Substitution of these officers with appropriate clerical personnel could result in annual savings of \$451,000.

Department officials replied that most officers assigned to commissaries could be replaced so long as adequate numbers of civilians are available and that no more than three inmates work in the area. They also noted that officers may be required at times to frisk commissary inmates or to guarantee the "buys" are held as scheduled.

In regard to Correspondence Office assignments Department officials stated:

"While it can be agreed upon that the duties in this unit are primarily clerical in nature, it is not considered that an all civilian staff could function here unless they were sufficient in number to eliminate all

inmate help. At least one correction officer should be retained with responsibility for making decisions concerning contraband and other security matters and for those direct dealings with inmates in the matter of correspondence."

(Department officials stated that civilian titles have been established in these areas.)

b. Deputy Superintendents Office

There were 23 officers assigned to Deputy Superintendent of Security's Offices. Six of these assignments were in addition to plot plan allowances. The officers duties were clerical in nature, including preparation of inmate cell location and change tabulations, inmate count records, and housing reports. Replacements of these posts with Grade 5 Clerks would result in yearly savings of approximately \$173,000.

(Department officials concurred and stated that in those instances where a Correction Officer is doing strictly clerical functions, replacement with a clerical item should occur. Periodic review and recommendations will be made to accomplish this goal.)

c. Timekeeping Office

Although no positions were allocated any facilities, the Elmira, Clinton, Fishkill and Green Haven facilities assigned eight officers to timekeeping functions. Their duties included posting time records, preparing reports on officer time used and compiling time abuse information for disciplinary action. These assignments normally involve no direct contact with inmates. By replacing the eight officers, now used in these positions with Grade 5 Account Clerks an annual savings of about \$60,000 would result. An additional savings in overtime costs could also result because the officers would be available to replace absent officers as provided for in the plot plan and thus reduce overtime costs. Since the facilities we reviewed were assigning these posts from officers gained through the relief factor, the Department should review all facilities to determine if other facilities are also using officers for timekeeping duties.

(Department officials concurred, They stated that a proposal to accomplish this was made for Elmira Correctional Facility and a survey to determine its feasibility departmentwide will be conducted.)

d. Telephone Operator

No security positions were provided facilities for telephone operators. We noted nine officers assigned as telephone operators in the six facilities reviewed. All of these assignments were made from what the plot plan had provided as relief for absent officers.

Plans had been made in July 1975 to combine the switchboards at the Clinton and Clinton East facility, however this had not been done. No telephone operator positions had been provided the Clinton East facility, therefore correction officers are used each shift to operate its switchboard. Including relief this assignment required five officers each week. No telephone operator was provided the Green Haven facility for the night shift. Therefore, an officer was assigned to cover the switchboard during the shift. One officer was assigned each day at the Fishkill facility to cover an absent telephone operator.

Correction officers should not be used as telephone operators. The Clinton facility switchboard should be combined or additional telephone operator positions provided to cover the Clinton East switchboard. Adequate telephone operator positions should be provided the Green Haven facility, and when necessary, clerical personnel should be temporarily assigned to operate switchboards when telephone operators are absent. Replacement of the nine officers with Grade 4 Telephone Operators could result in annual savings of about \$72,000. Since officers were being assigned to telephone operator assignments through the relief factor the Department should review all facilities to ascertain the full extent to which relief officers are being used as telephone operators.

Department officials concurred and noted that a relief operator had been hired at the Fishkill facility. They also noted that although the situation at Clinton is of great concern technical delay in obtaining and installing the equipment were still unsolved.

(Department officials stated that a department-wide survey will be conducted and with the establishment of required switchboard staffing, requests will be submitted accordingly.)

e. Chart and Finance Office

Two officers were assigned to the Chart Offices in the Clinton facility for compiling inmate movement information. With relief three officers are used for this purpose. Their duties consisted of preparing location reports and ascertaining that all inmates are accounted for in inmate counts. The officers are informed of cell changes and counts via telephone from the block officers. No inmate contact is involved in these duties. Approximately \$23,000 could be saved annually if Grade 5 Clerks replaced the officers performing these duties.

One officer was assigned five days a week to the Finance Office in the Clinton facility. No post had been provided by the plot plan. The officer prepared bank reconciliations and performed various accounting functions. A Grade 5 Clerk should be assigned to this position resulting in an annual savings of about \$8,000.

(Department officials concurred and stated that with the acquisition of civilian staff to maintain activities these positions will be eliminated.)

f. Adjustment Committee

Adjustment committees review cases of inmate misbehavior and specify the type and amount of discipline to be given the inmate. The Green Haven facility was provided two officers seven days a week and the Elmira facility assigned one officer each day to record the cases heard and actions taken

by the committee. This involved typing and filing of reports as well as posting to individual inmate records. The officers duties also included providing security while the committee is in session. However, since there is a Lieutenant and another officer on the committee, and escort officers are normally used, we believe this additional security is unnecessary. The annual cost of these posts is about \$88,000. Replacement of the officers with Grade 3 Typists would save about \$41,000 annually.

In responding to our draft report

(Department officials stated that the assignment of Correction Officers to the Adjustment Committee is made primarily to provide escorts, do investigative work, corroborate testimony and provide assistance during the hearings. There have been numerous occasions where inmates have assaulted members of the Committee and it is felt essential that officers be retained to assure proper functioning of the system.) We believe, to the extent feasible, clerical functions subsequent to the hearings should be assigned to civilian personnel.

Recommendation

The Department should replace officers performing civilian duties with appropriate personnel.

(Department officials generally concur as indicated by their responses, shown parenthetically, in the preceding section of this report.)

3. Classification of Security Positions

Department of Civil Service job descriptions specify that a Grade 14 Correction Officer is normally responsible for a group of inmates in a work or living area. Officers are responsible for supervising inmate activities and conduct, maintaining order, guarding against injury to persons and property, and searching for contraband. The job description also specified that officers take a part in the day to day counseling of inmates.

Some assignments, because of the area secured, require the officer to have little or no inmate contact. No distinction is made between the officers assigned to inmate contact or noninmate contact posts. Because of the varying degrees of inmate contact and other job requirements consideration should be given to reclassifying the correction officer positions to higher or lower grades to correspond with the degree of difficulty and responsibility of their work assignments. Following is a list of posts which our review indicated required little or no inmate contact, the number of officers assigned (including relief), and a brief description of the post's normal duties.

a. Wall Posts - 346 Positions

Officers are assigned to wall posts to supervise areas both within and outside the facility. The officers primary duties are to oversee any activity within their area and inform supervisors of suspicions or dangerous activity. Officers assigned to these posts must be proficient in the use of all weapons in the facilities. Since the posts are located on the walls of the facilities, the post does not normally involve inmate contact.

b. Gate Posts - 125 Positions

Officers operate security gates throughout the facilities. These officers are responsible for checking visitor identification, and ensuring the orderly flow of traffic through the assigned area. In many instances the posts are enclosed, and inmates passing through the area are escorted by an officer.

c. Administration Buildings and Lobbies - 97 Positions

The primary purpose of these posts is to control the flow of traffic through Administration Buildings and to identify and process visitors. The post involves minimal inmate contact and other officers are normally in the immediate area.

d. Outside Perimeters - 62 Positions

Officers assigned to these posts are required to patrol the perimeters of the facilities and farm areas. The posts are normally assigned during the evening and night shifts and require the officers to continually check for fires, unusual circumstances, or unauthorized persons in the areas. These assignments do not normally involve inmate contact, or when contact is made an escorting officer is nearby.

e. Arsenals - 49 Positions

Arsenal officers are responsible for the control and issuance of all weapons, gas, and restraining equipment in the facilities. Due to the need for strict security, no inmates are allowed in the arsenals.

f. Package Rooms - 40 Positions

Officers assigned to package rooms examine all inmate packages for contraband. Package rooms are normally located near the front of the facilities in areas where there are other officer posts. Since the package room is an area where contraband may be located, inmates are not allowed to enter the package room.

g. Key Rooms - 34 Positions

Officers are responsible for the issuance and control of all keys. The key rooms are normally located in the vicinity of the arsenals. Due to the need to secure all keys, no inmates are allowed in the key rooms.

Recommendation

Consideration should be given to reclassifying the correction officer positions to correspond with the degree of difficulty and responsibility of the posts to which they are normally assigned.

(Department officials replied as follows:

"This Department has long recognized that there is a wide range in difficulty and responsibility among the thousands of Correction Officer posts in all our facilities. Two years ago, following a labor-management agreement to do so, staff members of the Department developed a "career ladder" plan for classifying Correction Officer positions in several different titles and salary grades based on degree of inmate contact, difficulty, and general level of responsibility. However, Council 82, the Correction Officers' union, objected to the downgrading of any Correction Officer posts as was called for in our plan, and no further action was taken on it."

Department officials also noted that a large amount of time and work would be required to classify officer positions to different levels. A comprehensive study of all officer assignments in all facilities by both the Department and Civil Service Classification and Compensation Division would be necessary. This would require not only an examination of each post's duties and responsibilities, but also determinations as to what degree of supervision would be required to operate the post. Department officials also noted that there would be a need to revise the Department's officer training structure, and that based on a preliminary survey some posts involve more responsibility than the average correction officer post, and therefore, would probably justify another classification of correction officer positions at a grade higher than the present grade.)

Auditor's Note: The Department is currently in the process of updating job descriptions for each post, therefore ensuring that job descriptions are current and indicative of what the post's duties entail. This seems to be an opportune time to begin an examination of posts which indicate a potential for reclassification to a higher or lower grade.

C. Compensation for Pre-Shift Briefings

Officers are paid \$11 each payroll period as compensation for attending briefings before their regularly assigned shift. This compensation is provided for under Section 16.4 of the agreement between the State and Security Unit, Council 82 AFSCOME, AFL-CIO which states as follows. "In recognition of the fact that employees are generally required to assemble for briefings for ten minutes or less prior to the commencement of their tours of duty, each employee, except those employees receiving premium pay pursuant to Paragraph 16.11 of this Article, shall be paid \$5.00 per week in addition to his base pay..." Effective April 1, 1975 the additional compensation was increased to \$5.50 per week. During the 1975-76 fiscal year \$1.5 million was budgeted for this purpose; \$1.93 million is recommended for the 1977-78 budget.

We understand that the purpose of the briefings is to account for all officers, announce assignment changes, inform officers of unusual situations and inspect uniforms. We attended pre-shift briefings at four correctional facilities and our observations are described below.

The briefings did not always include a roll call to account for the officers. In most instances post changes were minimal with assignments being made in accordance with the bidden post charts, or officers being notified of changes by chart officers before the briefing. We also noted instances where Department directives were not read at all briefings even though the information was pertinent to all shifts.

Security personnel received the compensation even though they did not attend pre-shift briefings. In the Clinton facility, briefings were only held for the early morning shift. Officers assigned to the other shifts checked with the chart officer for possible changes in their assignments or special notices. These officers received the pre-shift briefing pay. In the Fishkill facility officers assigned to noninmate contact posts often reported directly to their post after punching in on the time clock without attending a briefing. Institutional Safety Officers, who were not allowed inside the facility walls, and therefore did not attend briefings, also received pre-shift briefing pay.

At the six facilities that we visited officers who were on personal leave, sick leave or annual leave were paid the pre-shift briefing allowance. Based on Departmental leave figures for the 1974 calendar year, approximately \$228,000 was paid for pre-shift briefings even though the officers were on leave.

In the past, pre-shift briefings enabled supervisors to account for the officers and to make daily assignments. However, time clocks have now been installed in all facilities and most of the officers are normally assigned to the same posts each day based on a bidding procedure. Additional instructions or changes in posts could be given to the officers through bulletins or supervisor instruction.

In our opinion the pre-shift briefings should be held when necessary for the efficient operation of the correctional facilities. If briefings are not necessary, consideration should be given to reviewing Section 16.4 of the Agreement at the next union negotiations to determine if the need for additional pay for this purpose should be a factor in the compensation of correctional officers.

Recommendations

1. The facilities should use pre-shift briefings when necessary for the efficient operation of the facilities.

(Department officials concurred.)

2. If briefings are not needed in all instances, consideration should be given to reviewing Section 16.4 of the union agreement to determine if additional pay for this purpose should be included in the compensation of all security officers.

3. Consideration should be given to compensating only the officers who attend the pre-shift briefings.

(In response to recommendation 2 and 3, Department officials stated that facilities have been instructed to hold roll calls, review officer appearances, hold periodic uniform inspections and review and inform officers of all current orders, directives, and job changes, etc. as applicable. In addition, custodial staff at all facilities have been directed to review this matter to be sure that the purposes for which the briefing pay was provided are being met.)

D. Overtime Premium Costs Could be Reduced by an Adequate Relief Factor, Fewer Officers Assigned to Monitor Construction Sites, and Better Monitoring of Facilities by the Department

Officers are assigned to facilities on the basis of plot plans which specify the time periods that posts are to be manned. A factor is provided for additional positions to cover posts for periods when officers are on leave and for miscellaneous security duties (relief factor). The Department and the Division of the Budget did not provide an adequate relief factor. We estimated that an additional 117 officers were needed to cover the officers on leave and another additional 60 officers were needed to cover those officers on outside hospital assignments. Had the relief factor been based on the actual experience of prior years and 177 more positions been provided, about \$1.5 million on overtime premium pay would have been saved. The 177 additional positions needed to provide adequate relief could be obtained from the 230 security assignments which we believe could either be eliminated (117) or reclassified to civilian positions (113).

Another reason for the large amount of overtime was that officer positions were not provided to secure construction areas in the facilities. As a result, overtime was used to man the construction posts. The number of posts manned were excessive and resulted in the Department incurring unnecessary overtime costs.

Security personnel are paid time and one-half for all time worked over 8 hours a day. During the 1974-75 fiscal year over \$5.7 million was expended for overtime (Exhibit B).

The Department needs to improve its procedures used in monitoring overtime incurred at the facilities, approving plot plan changes, and control over use of leave by correction officers. Improvements in these procedures would enable the Department to curb abuses of leave used and give prior approval for specific overtime incurred.

1. Inadequate Relief Factors

a. Officer Leave Allowance

Relief factors were based on an approximate number of days which an officer would be at work during the year. The factor was based on the criteria that each officer would annually use 47 days of sick, personal, holiday and vacation leave as well as 104 regular days off, resulting in a correction officer work year or 214 days. Based on this factor additional officer positions are provided facilities for posts allocated by plot plans. The factor provides .2 officer positions for five day posts, .5 position for six day posts and .7 position for seven day posts.

With the exception of the allowance for sick leave the work year was based on the number of leave days accrued annually by the officers. Thirteen days of sick leave are accrued by each officer annually, however, the relief factor provided only 11 days. Each officer used an average of about 17 days of sick leave in 1973 and 15 days in 1974. Because of the discrepancy between the number of days allowed per the relief factor and the number of days sick leave actually used a deficiency of 15,703 man days (73 man years) was realized during the 1974 calendar year.

No allowance was provided in the relief factor for workmens compensation leave. Due to the nature of correction officer duties many injuries are sustained on the job, resulting in a high use of workmen's compensation credits. During the 1973 and 1974 calendar years each officer used an average of 1.5 and 2.1 days of workmen's compensation leave respectively. This usage was equivalent to 44 man years.

Because of the nature of some posts it is not possible to close them and protect the security of a facility. As a result overtime is often incurred to cover the post. The large deficiency between the amount of sick and workmen's compensation leave provided in the relief factor and used by officers increases the amount of overtime used to secure the facilities.

Budget Division officials informed us that the relief factor was based on a survey of leave used by State employees 8 - 10 years ago. At that time, an average of nine sick days were used annually by employees. Two

additional days were provided to allow for the high use of sick and workmen's compensation leave among correction officers to arrive at the allowance of 11 days sick leave. The Department's 1974-75 proposed budget included a request to expand the relief factor to a level more commensurate to the actual sick and workmen's compensation leave used by correction officers. The proposal was refused by the Budget Division on the grounds that if the additional allowance was provided leave use in these categories would increase. Budget officials also noted that Department sick leave controls were inadequate, especially concerning extended use of sick leave before retirement.

b. Miscellaneous Assignment Allowance

Officers are often used outside the facilities for such assignments as providing security for inmates in hospitals and escorting inmates to local doctors or home for illness or death in the family. Plot plans allocated 64 man years for these purposes, however, this was not adequate when compared to the time spent on these assignments during the 1974 calendar year. Below is a table showing the number of man years used by the facilities for outside hospital coverage and escorts during 1974 and the number of man years provided by the 1975 plot plans.

| | Total | Outside Hospital Coverage | Escorts |
|--------------------------|-------|---------------------------|---------|
| *Man Years Expended 1974 | 124 | 68 | 56 |
| *Man Years Provided 1975 | 64 | 38 | 26 |
| *Man Years Deficiency | 60 | 30 | 30 |

*Based on a 214 day man year.

Department and Budget Division officials informed us that because of the daily variance in the use of officers in these assignments it is difficult to project the number of man days to be used during the upcoming year. However, our review of officer assignments and inmates housed in outside medical facilities during the 1974 and 1975 calendar years by the Clinton facility indicated that the security needs were relatively consistant.

During the two years there was a daily average of about five inmates from the Clinton facility in an outside hospital. For 80 percent of the period the inmate population at the hospital consisted of three or more inmates. The facility had entered into an agreement with a local hospital that inmates would be placed in a special area and that a total of eight officers would be provided each day for 24 hour coverage. Adjustments to the coverage would be made when there were especially dangerous inmates in the hospital. Including relief, 13 officers would be necessary to provide this coverage yearly at a cost of about \$229,000. However, only 2 1/2 officer man years were provided the facility for outside hospital coverage. This resulted in a deficiency of 10 1/2 man years from what was necessary to provide coverage. The additional annual cost of filling these posts on an overtime basis amounted to about \$93,000.

All facilities do not have arrangements with local hospitals setting forth standard security coverage as at the Clinton facility. Common practice is to assign one officer for each inmate housed in the hospital. As a result the workload varies each day depending on the number of inmates in the hospital. To ensure that sufficient officers are provided to cover at least minimum needs the Department and the Division of Budget should review the use of officers in outside hospitals during past years to determine the actual daily needs of facilities for this purpose. Miscellaneous assignment allowances should then be revised where necessary to fill these needs.

2. Excessive Construction Assignments

In April, 1975 the Department and the Division of Budget directed the facilities to secure all construction areas with extra personnel or through the use of overtime. Until then facilities had been provided temporary officer positions to cover major construction projects. The purpose of the policy change was to make the facilities more responsive to daily security needs rather than providing a specific number of construction area posts to be filled each day. Although facilities were directed to assign officers to construction areas on an as needed basis, no criteria was given as to what conditions would warrant coverage of construction areas. We noted what appeared to be excessive construction coverage at the Elmira, Green Haven and Fishkill facilities.

1) Elmira

A new gymnasium was being constructed in the facility. Six officers were assigned to the area daily. Three of the construction officers inspected and escorted incoming construction trucks. During the months of May and June 1975, an average of 12 construction trucks entered the facility daily. Trucks not related to construction projects entered another gate at which four escort officers were assigned. An average of 11 trucks entered this gate daily. Due to the relatively small number of trucks entering the facility daily through both gates (23) only one gate should be used for all trucks. The four escort officers provided by the plot plan should be adequate to escort the trucks, thereby relieving three officers from construction assignments.

Another construction post was located in the construction area to prevent entrance of unauthorized persons through a connecting door. An officer was assigned to the lobby into which this door led, and through numerous inspections of this door we noted that the door was locked most of the time. Since there was a post assigned in the area of the door, and in light of its infrequent use, we considered this construction post unnecessary. The weekly cost, including overtime payments, of the four posts we considered excessive was about \$2,100.

2) Green Haven

Normally, eight officers were assigned daily to cover three construction projects. A cell block, laundry, and visiting room were under construction. Two officers were assigned to the rear gate to inspect construction trucks and two officers were assigned to each project. We believe five of these assignments could be abolished without seriously affecting construction area security.

During November and December 1975, an average of 11 construction vehicles entered the rear gate daily. In addition to the two construction officers assigned to the rear gate, two other officers were provided by the plot plan to inspect and escort vehicles. Because of the low number of construction trucks entering the facility daily, we believed that one construction officer would be adequate.

No inmates were allowed in the cell block and laundry construction areas. Doors leading to inmate areas were locked, and the construction areas were within visual access of wall towers. There were two officers assigned to each project. Since there is no inmate contact, and surveillance of the area is provided by wall towers, we believe one officer assigned to each project would be adequate to secure the areas, and escort construction workers when necessary.

A new visiting room was being constructed inside the walls of the facility, but outside the inmate living area. No inmates are allowed in this area with the exception of work crews, which were accompanied by officers. The area is also secured by a wall tower. Since the construction project is outside inmate areas, we do not believe officer coverage is necessary. Escort officers could be used if the construction workers had cause to enter the facility.

Elimination of the five construction assignments would result in a weekly savings, including overtime costs, of about \$2,600.

3) Fishkill

An average of six officers were assigned to construction projects daily. Five of these officers were normally assigned to two construction projects in five wards, while another officer was assigned to an electrician who worked outside and under the facility. The construction workers renovating the wards entered the rear gate into a yard closed to inmates. Doors leading to inmate areas from the wards under construction were locked. Access between the two construction sites could be made through connecting doors and stairways. Since the construction area did not involve inmate contact, and in light of the accessibility of the construction sites to the rear gate, we believe that only three officers should be assigned to these construction projects. Two officers could be used as escorts and the other one as security in the event inmates entered the area.

An officer was assigned to an electrician to provide access to the firehouse and employee houses and to guide the electrician in the basement man holes. No inmate contact was involved in either instance. The areas the electrician was working were either outside the facility or in areas not accessible to inmates. Since no inmate contact is involved a maintenance employee, rather than a correction officer, should be assigned to guide the electrician. The weekly cost of manning the three construction posts considered excessive is about \$1,600.

Including overtime payments, it costs about \$530 a week to man a construction post. In view of the high cost involved with these assignments it is essential that their use be closely monitored to ensure they are only assigned when necessary for facility security. Our review showed what appeared to be excessive construction assignments in three facilities. The weekly savings resulting from eliminating these positions would be about \$6,300. Additional overtime savings would also be realized because officers would be available to fill vacant posts caused by absent officers.

We understand that it is necessary for facility personnel to make the daily construction assignments because only they are able to adjust the staffing to meet current security needs in line with available personnel. However, we also believe that it is necessary for the Department to monitor the use of officers in construction areas.

3. Reporting and Justification of Correction Officer Overtime

Departmental overtime costs for the supervision and rehabilitation of inmates totaled \$6.4 million during the 1974-75 fiscal year. Of this amount \$5.8 million or 90 percent represented overtime payments to security personnel. Overtime is paid based on biweekly summaries of overtime worked submitted to the Central Office by the Superintendent of each facility. Central Office personnel also use the overtime reports to monitor the use of overtime by the facilities.

A review of overtime summaries submitted by four facilities showed that in many instances insufficient information was provided to enable the Department to make an evaluation as to the cause or necessity of the overtime. In addition, inconsistent reporting methods were used by the facilities to justify the overtime.

-30-

For each instance of overtime the summary specifies the name and title of employees who worked overtime, days and hours worked, hourly overtime rate and reasons as to why the overtime occurred. In many instances vague reasons such as "officer sickness", "minimum coverage", or "trip" were cited as justification for the use of overtime. In addition, facilities varied as to how the overtime was explained. One facility indicated only the location of the post covered by overtime whereas another facility specified the shift worked and the cause of the overtime, but neglected to specify the post covered. We also noted that facilities would in one instance report where an officer worked and in another instance specify why the overtime was used.

Vague explanations and inconsistent reporting methods do not provide the Central Office with adequate information to effectively evaluate or compare the use of overtime by the facilities. Standardized procedures should be established for the facilities to justify the use of overtime. At a minimum, justifications should include the shift during which the overtime occurred, location of the post covered, and the cause of the overtime.

4. Plot Plan Changes Made Without Notification

Plot plans are used by the Division of Budget to allocate security positions, by the Department to monitor and evaluate the staffing of facilities, and by the facilities to control and distribute its security personnel. Plot plans are similar to a budget, in that facilities attempt to forecast future manpower and staffing needs. Because of changing programs and facility security needs it is often necessary to assign officers in a different way than shown by the plot plan. These changes may last as little as a day, or may be permanent changes involving daily assignment to the post. In the six facilities reviewed a total of 95 permanent plot plan alterations had been made. Below is a schedule showing the facilities and the number of permanent plot plan changes made at each.

| <u>Facility</u> | <u>Most Recent Plot Plan Approval Date</u> | <u>Total Changes</u> | <u>Additional Posts</u> | <u>Closed Posts</u> |
|-----------------|--|----------------------|-------------------------|---------------------|
| Bedford Hills | 6/ 7/74 | 7 | 0 | 7 |
| Green Haven | 10/ 1/75 | 29 | 20 | 9 |
| Fishkill | 5/ 1/75 | 4 | 2 | 2 |
| Clinton | 10/14/75 | 13 | 12 | 1 |
| Elmira | 5/30/74 | 30 | 21 | 9 |
| Ossining | 9/25/75 | 12 | 5 | 7 |
| Total | | 95 | 60 | 35 |

Reviews of the duties associated with these posts showed that 28 percent of the additional posts involved primarily clerical duties. We were also informed by facility personnel that although the plot plans had recently been revised provision was not provided for the additional posts even though some had been filled continually for up to 10 years.

When a post is added to the plot plan additional officer coverage is necessary. To cover the post the facility may close another post, pay overtime, or use officers assigned for relieving other posts, which could result in overtime. When a post is closed either a program has been discontinued or security has been weakened in the area.

Although plot plan changes affect the degree of security or the cost of securing facilities the Department was not notified of permanent plot plan changes. Without such notification the Department is unable to monitor the current staffing of facilities, and may be unaware of additional security needs. As a result security may be inadequate in areas, or avoidable overtime may be paid. To prevent this from occurring the Department should be notified and give approval to permanent changes in facility plot plans.

5. Facility Control of Officer Leave Not Adhering to Department Policies

During the 1974 calendar year over 74,000 man days of sick and workmen's compensation leave were used by correction officers. Primary responsibility for controlling the use of leave time by security personnel lies with the facilities. The Department issued guidelines, both through the policy and procedure manual and numerous memorandums, concerning the types of controls which should be used by the facilities to monitor the use of leave by security personnel. The Department was in the process of consolidating these directives, especially in regard to control of workmen's compensation leave.

In an attempt to reduce the amount of extended sick and workmen's compensation leave used by officers the Department recently expanded its use of physicals given by the Department of Civil Service Division of Employees Health Services. By examining the officers soon after they begin to take extended amounts of leave, abusers can be identified and corrective action taken.

Our review of leave abuse controls at the Fishkill, Green Haven, Clinton and Bedford Hills facilities showed that Department policies regarding control of leave used by officers were not being enforced. By not following the Department's policies the facilities control over leave use was weakened.

a. Monitoring of Leave Use

Department policies specified that a doctor's certificate may be required for any use of sick leave, but that it was not usually required until an employee took four consecutive days of sick leave. The Department also required that employees submit doctor certificates to validate absence from work on workmen's compensation leave.

We reviewed 243 cases where officers used four or more consecutive days of sick leave, and 147 cases of workmen's compensation leave. Seventy three sick leave and 38 of the workmen's compensation cases did not have doctor certificates as required by the Department.

b. Accrued Leave Charged for Unauthorized Absences

Officers are required to notify the facility before the start of a shift that they will be absent. If this notification is not made, the officer is absent without authorization (AWOL). During the 1974 calendar year a total of 1,156 man days of unauthorized absences were used by correction officers.

In May, 1974, the Department directed the facilities to deduct a day's pay for each day an officer is AWOL. However, in the Green Haven, Fishkill, and Clinton facilities accrued leave credits were charged for the days the officers were AWOL. An officer's failure to notify the facility that he is going to be absent disrupts the assignment process and does not provide chart officers an opportunity to change assignments to cover the vacant post. This situation could result in overtime being used where it may have been avoided. A primary purpose of docking pay for being AWOL was to discourage officers from not reporting an absence to the facility. Charging accrued leave credits does not provide incentive for officers to notify the facility.

6. Disciplinary Action for Leave Abuse Untimely

The facilities, with the exception of counseling and lag payrolls, have no power to take disciplinary action against time abusers. The Bureau of Labor Relations is responsible for disciplining such offenders. It also has responsibility for processing employee grievances and for taking disciplinary action against employees for criminal activity, or negligence. During the 1975 calendar year the Bureau issued 150 discipline notices in regard to employee misconduct, of these 47 were attendance related.

Cases involving criminal or negligent actions are often given priority over leave abuse cases. As a result time abuse cases are sometimes delayed because of large workloads in other misconduct cases.

The Bureau had not informed the facilities as to what documentation should be submitted when a leave abuse referral is made. As a result, information submitted by facilities varied, causing lengthy investigations by Bureau personnel to obtain leave data and statements from involved personnel. These investigations added to the period of time between the date of referral and notice of discipline.

We reviewed 19 leave abuse referrals from the Fishkill, Green Haven and Bedford Hills facilities. Of nine cases referred during 1973 and 1974, six had not received notices of discipline. The other three had an average processing period of 19 months. In 1974, seven additional persons were assigned to the Bureau, and referrals were processed quicker. Of the ten 1975 cases, three were processed within one month, five within two months, and two within six months after referral.

Quick disciplinary action not only stops known leave abusers, but also serves as a deterrent to leave abuse by other personnel. Although the time period for processing the cases had been reduced, a good deal of time was still used by the Bureau between the date of referral and issuance of the notice of discipline. We believe that it would be beneficial for the Bureau to require specific information from the facilities for each leave abuse case referral. Detailed and consistent information should reduce the amount of investigation required of the Bureau for leave abuse cases and could further reduce the time between the referral and notice of discipline.

Recommendations

1. The adequacy of officer relief factors should be reviewed by the Department and the Division of Budget and adjustments made as considered necessary to provide coverage for the legitimate use of sick leave and workmen's compensation by correction officers.

2. A sufficient number of officers should be allotted the facilities to provide coverage of inmates housed in outside hospitals.

3. The excessive assignments to construction areas in the Elmira, Green Haven and Fishkill facilities should be discontinued and the Department should review construction assignments in other facilities to ascertain all construction assignments are necessary.

(Department officials stated that each of the above have been addressed and recognized by Department and Division of Budget staff. A formal proposal has been presented to the Legislature in the 1977-78 Budget Request for an additional 442 Correctional Officer items to be utilized in the areas of revised relief factors, miscellaneous relief items, outside hospital coverage, construction needs and adjustment and grievance committees. Approval of this proposal will provide the required staffing of each of these areas to affect a dramatic reduction in current overtime expenditures.)

4. Controls over the assignment of officers to construction areas should be strengthened. The Department should develop guidelines specifying when officers should be used for construction security assignments and should evaluate the use of officers through on site reviews and periodic reports.

(Department officials concurred and stated that facilities will be directed to review security requirements for construction projects. On-going analysis through the period of the project will provide a basis for day to day assignments in these areas.)

5. Information required for justification of the use of overtime should be standarized. Data required should include the shift involved, post location, and the cause of the overtime.

(Department officials concurred and stated that a standardized system for reporting on a weekly basis all overtime required has been developed and implemented. Weekly individual facility reports are submitted and information relative to shifts, posts and causes are reviewed and corrective measures are implemented.)

6. The Department should be notified and give approval to any permanent changes made by facilities to plot plans.

(Department officials concurred and stated that facilities will be directed to secure Central Office approval for all permanent plot plan changes.)

7. Department policies regarding sick leave, workmen's compensation and unauthorized absences should be followed by the facilities.

(Department officials concurred and stated that their Bureau of Personnel has initiated a series of field audits to assure facility compliance with time allowance procedures. Suspected time abusers are scheduled for physical examinations. Guidelines concerning workmen's compensation have been distributed to all facilities and efforts to control all absences is an on-going project.)

8. The Bureau of Labor Relations should specify information to be submitted by the facilities for leave abuse cases.

(Department officials concurred and stated that guidelines were issued in October, 1976.)

E. Training of Security Personnel Could be Improved

The primary responsibility of security personnel is the safety and security of persons sentenced and working at State Correctional Facilities. Because of their daily contact with inmates, officers also have the opportunity to counsel and help motivate inmates towards rehabilitation. To help security personnel fulfill these duties the Department instituted a Statewide Security Officer Training Program.

Prior to 1973 training classes for new security personnel were held at the Fishkill Correctional Facility, Plattsburgh University, and the State Police Academy. In September 1973, the present Correctional Services Training Academy at Albany was established. The Academy provided a 13 week training program for new correction officers as well as specialized courses for permanent correction officers and supervisory security personnel. The Divisions of Parole and Probation, Department civilian employees and the Commission of Corrections also utilized Academy facilities.

Training of new correction officers was one of the primary functions at the Academy. The 13 week training program provided ten weeks of instruction in such areas as correction theory, Spanish, human relations, guidelines for job performance, physical conditioning, use of weapons, security and facility safety. The remaining three weeks were spent at one of the State's Correctional Facilities where the trainees received on the job training. As of December 1975, 33 training classes, including 853 correction officer trainees, were graduated from the Albany Academy.

Refresher courses and weapon requalifications were provided to officers through training programs at the facilities in which each officer was to receive 32 hours of training annually. The facility training programs were monitored by the Academy staff.

1. Security Personnel Not Receiving Required In-House Training

In all the facilities we reviewed, security personnel were not receiving the full 32 hours of in house training. As a result, officers were not qualified to use all weapons on hand at the facilities, and had not received training regarding facility emergency plans, defensive tactics, or first aid.

The 379 officers whose training records we reviewed at the Elmira, Clinton, Green Haven, Fishkill and Bedford Hills facilities each received an average of 14 hours training during the 1974-75 training year. Only 66 had received the required 32 hours of training, and 97 officers received less than six hours of training during the year.

a. Weapons Training

The Department required security personnel to receive training and qualify annually in the use of a pistol, rifle, shotgun and submachine gun. This policy was not being achieved. The following table shows the number of officers whose training records we reviewed and the weapons training received by them during the 1974-75 training year.

| Facility | Security Personnel Reviewed | Fully Qualified | Failed in One or More Weapons | Not Trained in all Weapons |
|---------------|-----------------------------|-----------------|-------------------------------|----------------------------|
| Elmira | 74 | 45 | 15 | 14 |
| Clinton | 120 | 46 | 12 | 68 |
| Green Haven | 66 | 24 | 18 | 28 |
| Fishkill | 88 | 3 | 22 | 85 |
| Bedford Hills | 31 | -0- | 6 | 31 |
| Total | <u>379</u> | <u>118</u> | <u>73</u> | <u>226</u> |
| Percentage | 100 | 31 | 19 | 60 |

Note: Thirty-eight officers failed one or more weapons and also were not trained in all weapons.

Of the 379 officers included in our review only 118 (31 percent) qualified in all required weapons. Of the remaining, 226 did not receive training in all weapons and 73 failed to qualify in one or more weapons.

Officers in the Bedford Hills facility were required by facility administrators to train only with the pistol. Only three of 88 officers in the Fishkill facility were trained in the use of a submachine gun and were fully qualified.

Facilities were especially negligent in giving supervisors weapon training. Of 80 sergeants and lieutenants reviewed, only 25 were qualified to use all the required weapons. Fifty-one of the 80 supervisors had not received training for all required weapons.

The Department required that all officers assigned to armed posts (wall towers) be qualified in the use of all weapons. If an officer did not qualify he was to be removed from the post. We reviewed the qualifications of officers assigned to wall towers at the Clinton and Green Haven facilities. Of the 70 wall post officers reviewed, only 51 were qualified in the use of all weapons. Twelve officers failed to qualify in one or more weapons and 12 officers were not trained in all required weapons. Five officers had failed in one or more weapons and had not been trained in all required weapons. We also noted that 21 of the wall post officers who had qualified in a weapon, had done so more than a year ago. The Department required annual requalifications.

In an emergency, all officers would be called upon to secure the facility, and may be required to use a weapon, therefore, it is essential that all officers receive the proper training in the use of weapons. In addition, since supervisors would be required to direct the officers, and thus be responsible for action taken by the officers, special consideration should be given to ensure that all supervisory personnel are qualified and knowledgeable in the use of all weapons in the facilities.

Assignment of unqualified officers to wall towers is contrary to Departmental policy, and endangers the security and safety of the facility.

b. Classroom Training

The Department required that officers receive annual training in facility emergency plans, unarmed defense, first aid and human relations. Officers were not receiving instruction in these courses as required. The table below showed by facility the officers reviewed, and those who had received training in each course during the 1974-75 training year.

| Facility | Security Personnel Reviewed | Unarmed Defense | Emergency Plans | First Aid |
|---------------|-----------------------------|-----------------|-----------------|------------|
| Elmira | 74 | 2 | 31 | 66 |
| Clinton | 120 | 39 | 35 | 48 |
| Green Haven | 66 | 39 | 38 | 32 |
| Fishkill | 88 | 63 | 67 | 73 |
| Bedford Hills | 31 | 11 | 21 | 11 |
| Total | <u>379</u> | <u>154</u> | <u>192</u> | <u>230</u> |
| Percentage | 100 | 41 | 51 | 61 |

Training in the above courses provides security personnel with knowledge on what action to take during an emergency and ensures that officers and supervisors are familiar with evacuation and security procedures. Such training is necessary to ensure the security of the facilities and their personnel.

Correction officers often have daily contact with inmates, and as a result, have numerous opportunities to aid in their rehabilitation. The Department required that four of 32 hours in the in-house training program be devoted to human relations. The course was to include a review

of inmate background, officer/inmate relationships, and inmate supervision. Each month facilities submit a listing of courses provided officers during the month. Based on the reports submitted from January through August, 1975, 15 facilities were not providing any human relations training to security personnel. These facilities included Attica, Auburn, Bedford Hills, Coxsackie, Eastern, Elmira, Fishkill, Great Meadow, Ossining, Taconic, Wallkill and the four Camps. About 69 percent of the State's security personnel and 67 percent of the inmates were assigned to these facilities.

2. Academy Staffing

Both civilian and security instructors are used at the Academy to teach security personnel. As of November, 1975 security instructors assigned to the Academy consisted of a captain, two lieutenants, two sergeants, and six correction officers. They also monitored the in-house training programs at the facilities.

In addition to the permanent staff, officers normally assigned to the facilities were temporarily assigned to the Academy to instruct and counsel correction officer trainees. During the period from October 1974, through November 1975, facility security personnel were used as instructors at the Academy 368 days. This practice cost approximately \$24,656 in salaries as shown below.

| <u>Position</u> | <u>Days Assigned</u> | <u>Approximate Daily Cost*</u> | <u>Period Cost</u> |
|--------------------|----------------------|--------------------------------|--------------------|
| Captain | 1 | \$112 | \$ 112 |
| Lieutenant | 10 | 91 | 910 |
| Sergeant | 6 | 78 | 468 |
| Correction Officer | <u>351</u> | <u>66</u> | <u>23,166</u> |
| Total | <u>368</u> | | <u>\$24,656</u> |

* Includes fringe benefits

The Academy assigned two counselors to each training session. Counselors helped trainees with personal or subject difficulties, assisted the instructors, and taught courses when necessary. From October 1974 to November 1975, 718 facility officer man days were used in this capacity at a cost of approximately \$47,417.

We reviewed the staffing of one training session which began in August and ended in November 1975. The session began with 49 trainees, of which 44 graduated. During the ten weeks the session was at the Academy, 39 different instructors were used. Twenty-four of the instructors were not on the permanent Academy staff as shown below:

| | |
|----------------------|-------------|
| Academy Staff | 15 Persons |
| Central Office Staff | 6 Persons |
| Facility Staff | 17 Officers |
| Outside Consultant | 1 Person |
| Total | <u>39</u> |

Instructors drawn from the facilities consisted of 12 correction officers, and five lieutenants. Correction officers taught courses in such areas as "legal responsibilities, Spanish, types of inmates, drug identification, weapon use, fire and safety, inmate/officer relationships and decision techniques." Each of the correction officers taught one course, but were at the Academy a total of 51 days. The lieutenants each taught one course and were at the Academy 5 days. Based on an approximate daily salary of officers and lieutenants these services cost approximately \$3,800. The actual cost of using these officers at the Academy is perhaps much higher however, because of travel expenses and the overtime costs for other officers to man the instructor's assigned post while at the Academy.

No one on the staff permanently assigned to the Academy was qualified to teach the Spanish course. As a result an officer from the Bedford Hills Facility had been temporarily assigned to the Academy since September 21, 1972. This position has been left vacant at the facility, causing overtime.

Our review of the courses other than the Spanish course taught by facility personnel showed that staff permanently assigned to the Academy possessed the expertise to teach these subjects. The use of facility personnel, rather than Academy staff to teach these courses cost approximately \$1,700 in direct salary costs, plus fringe benefits. Two correction officers from the facilities were also used at the Academy as counselors. Each was on hand for 34 days of the session. Based on an approximate daily salary, including fringe benefits, this service cost \$4,500.

3. Outside Housing Costs

The Department of Correctional Services, Division of Probation, and the Commission of Correction are the primary users of Academy facilities. Prior to October 1975, the Academy had a housing capacity of 154 persons. In October room occupancy was lowered to two men per room, reducing the housing capacity to 117 persons. Since training classes for new correction officers begin only when there is a sufficient number of vacancies at the facilities it is not always possible to plan the occupancy of the Academy in advance, as a result overcrowding often occurs. When Academy facilities were not adequate to house all persons involved in Training Academy programs local motels were used. Since the Academy's inception in September 1973 through October 1975, outside housing costs have totaled \$88,350. No attempt had been made by the Academy to use vacant housing that other State agencies may have available.

One State agency which may be able to provide dormitory space at a cost less than the local motels is the State Police Academy. The State Police Academy is located on the State Campus and is capable of housing 208 persons. During the period of April through October, 1975, 295 persons receiving training by the Department of Correctional Services were housed in a local motel by the Academy, costing \$8,133. During the same period the State Police Academy had an average occupancy rate of 69 percent capacity. A review of the number of units vacant at the State Police Academy each of these months showed that there was adequate space to

house all the persons who were assigned to hotels.

Recommendations

1. All security personnel should receive annual weapon and classroom training as required by the Department.

(Department officials responded that all officers manning posts that require weapons qualification are required in their initial training to meet those qualifications. Subsequently, on an annual basis, they are required to requalify according to Departmental procedures.)

2. Officers assigned to wall posts who have not qualified for all weapons within the last year should be withdrawn from the post until Department requirements are met.

(Department officials responded that officers who do not fully qualify in all weapons are removed from armed posts until such time as they requalify on required weapons.)

3. The policy of using facility security personnel at the Academy should be reevaluated.

(Department officials stated that they attempt to avoid the use of facility personnel in the Training Academy except when training needs exceed the capabilities of permanently assigned training staff. In addition Department officials added that subsequent to our review a position had been received for a Spanish instructor. They also noted that one additional counselor position was received. The officials noted that with these positions they are set up to have 90 recruits in training at all times. However, when the training load exceeds 90 recruits, counselor and supervisory coverage must also be increased to insure consistency in the program.)

4. The Department should arrange with other governmental agencies to use available housing when the Academy's facilities are full.

(Department officials stated that when it is possible and space is available, they call upon other agencies or departments to house trainees.)

DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
SECURITY PERSONNEL COSTS (BY FACILITY) *
FISCAL YEARS 1973-74, 1974-75

| | Fiscal Yr. 1973-74 | Fiscal Yr. 1974-75 | Increase |
|--------------------------------------|-----------------------|-----------------------|---------------------|
| <u>CORRECTIONAL FACILITIES</u> | | | |
| Albion | \$ 1,138,465 | \$ 1,451,477 | \$ 313,012 |
| Attica | 7,042,995 | 8,536,115 | 1,493,120 |
| Auburn | 6,492,585 | 7,482,059 | 989,474 |
| Bedford Hills | 3,343,720 | 3,707,008 | 363,288 |
| Clinton | 8,055,270 | 9,492,277 | 1,437,007 |
| Clinton East | 3,541,139 | 3,767,557 | 226,418 |
| Coxsackie | 3,162,136 | 3,672,164 | 510,028 |
| Eastern | 4,102,611 | 4,922,063 | 819,452 |
| Elmira | 6,722,433 | 7,989,464 | 1,267,031 |
| Fishkill | 11,202,108 | 12,752,896 | 1,550,788 |
| Great Meadow | 6,255,011 | 7,425,526 | 1,170,515 |
| Green Haven | 8,058,766 | 8,992,566 | 933,800 |
| Ossining | 6,566,700 | 7,929,077 | 1,362,377 |
| Wallkill | 2,066,520 | 2,372,903 | 306,383 |
| Woodbourne | -0- | -0- | -0- |
| Total | <u>\$77,750,459</u> | <u>\$90,493,152</u> | <u>\$12,742,693</u> |
| <u>CAMPS</u> | | | |
| Georgetown | \$ 335,336 | \$ 379,823 | \$ 44,487 |
| Monterey | 299,894 | 329,604 | 29,710 |
| Pharsalia | 285,185 | 329,328 | 44,143 |
| Summit | 338,414 | 393,038 | 54,624 |
| Total | <u>\$ 1,258,829</u> | <u>\$ 1,431,793</u> | <u>\$ 172,964</u> |
| <u>RESIDENTIAL TREATMENT CENTERS</u> | | | |
| Bayview | \$ 931,112 | \$ 931,112 | |
| Edgecombe | 629,284 | 629,284 | |
| Parkside | 45,858 | 45,858 | |
| Rochester | 70,250 | 70,250 | |
| Taconic | 1,263,639 | 1,263,639 | |
| Total | <u>-0-</u> | <u>\$ 2,940,143</u> | <u>\$ 2,940,143</u> |
| Total Facility Cost | <u>\$79,009,288</u> | <u>\$94,865,088</u> | <u>\$15,855,800</u> |
| Central Office | <u>\$ 819,349</u> | <u>\$ 1,477,372</u> | <u>\$ 658,023</u> |
| Grand Total | <u>\$79,828,637</u> | <u>\$96,342,460</u> | <u>\$16,513,823</u> |

* Includes Fringe Benefit Costs

DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
SECURITY OVERTIME COSTS (BY FACILITY)

EXHIBIT B

| <u>Facility</u> | Fiscal Year 1973-74 | | | Fiscal Year 1974-75 | | | Fiscal Year 1975-76 (April-September) | | |
|--------------------------------------|---------------------|-----------------|--------------------------------|---------------------|-----------------|--------------------------------|---------------------------------------|-----------------|--------------------------------|
| | <u>Expended</u> | <u>Budgeted</u> | <u>Over (Under) Budget</u> | <u>Expended</u> | <u>Budgeted</u> | <u>Over (Under) Budget</u> | <u>Expended</u> | <u>Budgeted</u> | <u>Over (Under) Budget</u> |
| Correctional Facilities | | | | | | | | | |
| Albion | \$ 23,025 | \$ 7,500 | \$ 15,525 | \$ 32,244 | \$ 8,000 | \$ 24,244 | \$ 7,477 | \$ 8,900 | (\$ 1,423) |
| Attica | 382,425 | 33,000 | 349,425 | 722,827 | 76,100 | 646,727 | 411,737 | 133,300 | 278,437 |
| Auburn | 189,358 | 23,000 | 166,358 | 290,769 | 65,500 | 225,269 | 118,867 | 119,100 | (233) |
| Bedford Hills | 177,670 | 15,000 | 162,670 | 357,381 | 25,100 | 332,281 | 107,926 | 31,500 | 76,426 |
| Clinton | 293,857 | 33,000 | 260,857 | 130,159 | 75,700 | 354,459 | 216,296 | 130,800 | 85,496 |
| Clinton East | 7,501 | 15,000 | (7,499) | 101,009 | 7,300 | 93,709 | 30,781 | 10,400 | 20,381 |
| Coxsackie | 84,707 | 10,000 | 74,707 | 130,154 | 41,600 | 88,554 | 120,158 | 91,900 | 28,258 |
| Eastern | 250,545 | 15,000 | 235,545 | 246,901 | 58,800 | 188,101 | 64,365 | 111,100 | 46,735 |
| Elmira | 122,328 | 17,000 | 105,328 | 649,355 | 52,000 | 597,355 | 182,120 | 104,100 | 78,020 |
| Fishkill | 1,161,875 | 30,000 | 1,131,875 | 1,356,601 | 72,700 | 1,283,901 | 368,558 | 85,200 | 283,358 |
| Great Meadow | 296,330 | 23,000 | 273,330 | 500,330 | 65,100 | 435,230 | 210,251 | 118,700 | 91,551 |
| Green Haven | 722,384 | 28,000 | 694,384 | 577,927 | 70,700 | 507,227 | 166,636 | 124,900 | 41,736 |
| Ossining | 280,425 | 25,000 | 255,425 | 264,718 | 67,400 | 197,318 | 124,699 | 79,100 | 45,599 |
| Wallkill | 37,072 | 10,000 | 27,072 | 45,625 | 51,600 | (5,975) | 11,549 | 102,800 | (91,251) |
| Woodbourne | -0- | -0- | -0- | -0- | -0- | -0- | -0- | -0- | -0- |
| Total | 4,029,502 | 284,500 | 3,745,002 | 5,706,000 | 737,600 | 4,968,400 | 2,141,420 | 1,251,800 | 889,620 |
| Camps | | | | | | | | | |
| Georgetown | 8,523 | 4,000 | 4,523 | 13,257 | 12,500 | 757 | 1,813 | 14,200 | (12,387) |
| Monterey | 11,611 | 2,000 | 9,611 | 14,402 | 9,300 | 5,102 | 9,485 | 10,500 | (1,015) |
| Pharsalia | 7,495 | 2,000 | 5,495 | 18,006 | 9,300 | 8,706 | 1,798 | 10,500 | (8,702) |
| Summit | 6,841 | 4,000 | 2,841 | 19,555 | 12,500 | 7,055 | 3,667 | 14,100 | (10,433) |
| Total | 34,470 | 12,000 | 22,470 | 65,220 | 43,600 | 21,620 | 16,763 | 49,300 | (32,537) |
| Residential Treatment Centers | | | | | | | | | |
| Bayview | -0- | -0- | -0- | 7,180 | -0- | 7,180 | 1,494 | 10,000 | { 8,506} |
| Edgecomb | -0- | -0- | -0- | 6,489 | 6,600 | { 111) | 3,973 | 7,500 | { 3,527} |
| Parkside | -0- | -0- | -0- | 665 | 1,000 | { 335} | 420 | 1,000 | { 580} |
| Rochester | -0- | -0- | -0- | -0- | 400 | { 400) | -0- | 400 | { 400} |
| Taconic | 187 | -0- | 187 | 9,685 | -0- | 9,685 | 2,638 | 7,400 | { 4,762} |
| Buffalo | -0- | -0- | -0- | -0- | -0- | -0- | -0- | 1,000 | { 1,000} |
| Syracuse | -0- | -0- | -0- | -0- | -0- | -0- | -0- | 1,000 | { 1,000} |
| Total | 187 | -0- | 187 | 24,019 | 8,000 | 16,019 | 8,525 | 28,300 | (19,775) |
| Total Facility Cost | 4,064,159 | 296,500 | 3,767,659 | 5,795,239 | 789,200 | 5,006,039 | 2,166,708 | 1,329,400 | 837,308 |
| Central Office | -0- | -0- | -0- | -0- | 7,000 | (7,000) | -0- | 7,000 | (7,000) |
| Grand Total | \$4,064,159 | \$296,500 | \$3,767,659 | \$5,795,239 | \$796,200 | \$4,999,039 | \$2,166,708 | \$1,336,400 | \$830,308 |

DEPARTMENT OF CORRECTIONAL SERVICES
SECURITY PERSONNEL UTILIZATION
SUMMARY OF SECURITY PERSONNEL AND INMATES
AS OF NOVEMBER 1975

EXHIBIT C

| FACILITY | TOTAL | SECURITY PERSONNEL | | | | INSTITUTION SAFETY OFFICERS | INMATES |
|------------------------------|-------|------------------------|-----------|-------------|----------|--------------------------------|---------|
| | | CORRECTION OFFICERS | SERGEANTS | LIEUTENANTS | CAPTAINS | | |
| <u>Correctional Facility</u> | | | | | | | |
| Albion | 84 | 73 | 2 | 4 | 0 | 5 | 269 |
| Attica | 522 | 493 | 21 | 7 | 1 | 0 | 1,865 |
| Auburn | 390 | 362 | 19 | 8 | 1 | 0 | 1,564 |
| Bedford Hills | 190 | 162 | 10 | 7 | 1 | 10 | 403 |
| Clinton | 562 | 519 | 33 | 9 | 1 | 0 | 1,908 |
| Clinton East | 199 | 181 | 11 | 6 | 1 | 0 | 410 |
| Coxsackie | 214 | 195 | 11 | 7 | 1 | 0 | 747 |
| Eastern | 272 | 247 | 17 | 7 | 1 | 0 | 659 |
| Elmira | 406 | 374 | 19 | 12 | 1 | 0 | 1,554 |
| Fishkill | 609 | 533 | 39 | 14 | 1 | 22 | 961 |
| Great Meadow | 399 | 371 | 20 | 7 | 1 | 0 | 1,435 |
| Green Haven | 503 | 465 | 29 | 8 | 1 | 0 | 1,721 |
| Ossining (Tappan) | 427 | 396 | 19 | 11 | 1 | 0 | 888 |
| Wallkill | 133 | 114 | 12 | 6 | 1 | 0 | 485 |
| Woodbourne | 239 | 219 | 12 | 7 | 1 | 0 | 550 |
| Sub-Total | 5,149 | 4,704 | 274 | 120 | 14 | 37 | 15,509 |
| <u>Camps</u> | | | | | | | |
| Georgetown | 23 | 20 | 2 | 1 | 0 | 0 | 94 |
| Monterey | 21 | 18 | 2 | 1 | 0 | 0 | 67 |
| Pharsalia | 21 | 18 | 2 | 1 | 0 | 0 | 76 |
| Summit | 23 | 20 | 2 | 1 | 0 | 0 | 104 |
| Sub-Total | 88 | 76 | 8 | 4 | 0 | 0 | 341 |
| <u>Resid. Treat. Ctrs.</u> | | | | | | | |
| Bayview | 54 | 46 | 3 | 4 | 1 | 0 | 174 |
| Edgecombe | 32 | 26 | 5 | 1 | 0 | 0 | 170 |
| Parkside | 5 | 5 | 0 | 0 | 0 | 0 | 29 |
| Rochester | 9 | 9 | 0 | 0 | 0 | 0 | 38 |
| Taconic | 70 | 62 | 3 | 4 | 1 | 0 | 150 |
| Sub-Total | 170 | 148 | 11 | 9 | 2 | 0 | 561 |
| TOTAL | 5,407 | 4,923 | 293 | 133 | 16 | 37 | 16,411 |

EXHIBIT D

DEPARTMENT OF CORRECTIONAL SERVICES
 SECURITY PERSONNEL UTILIZATION
 POTENTIAL SECURITY COST SAVINGS (POSTS NOT NECESSARY)

| <u>Post</u> | Posts (Including Relief) | Approximate Maximum Annual Savings |
|--|--------------------------------|---|
| <u>All Facilities</u> | | |
| Superintendents Residence | 11.0 | \$194,000 |
| Work Gangs | 5.0 | 93,000 |
| Employee Restaurant | 15.0 | 268,000 |
| <u>Facilities Included in Our On Site Review</u> | | |
| <u>Fishkill:</u> | | |
| Visiting Room Door | 1.7 | 30,000 |
| Package Rooms | 1.7 | 30,000 |
| <u>Elmira:</u> | | |
| Earphone Shop | 1.7 | 30,000 |
| Reception Center Ent. | 1.7 | 30,000 |
| <u>Clinton:</u> | | |
| Cell Block Frisk | 12.0 | 212,000 |
| Radio Repair | 1.7 | 30,000 |
| Early Utility | 1.7 | 30,000 |
| Head Farmer | 1.7 | 30,000 |
| Total | <u>54.9</u> | <u>\$977,000</u> |

DEPARTMENT OF CORRECTIONAL SERVICES
 SECURITY PERSONNEL UTILIZATION
 POTENTIAL OFFICER REPLACEMENT SAVINGS (ALL FACILITIES)

EXHIBIT E

| <u>Post</u> | <u>Posts (Including Relief)</u> | <u>Maximum Annual Cost</u> | <u>Maximum Annual Replacement Cost</u> | <u>Approximate Annual Savings</u> |
|---|---|------------------------------------|--|---|
| <u>Civilian Replacement (Statewide)</u> | | | | |
| Commissary and Correspondence | 60 | \$1,060,000 | \$ 609,000 | \$451,000 |
| Deputy Superintendent Office | 23 | 406,000 | 233,000 | 173,000 |
| Time Office | 8 | 141,000 | 81,000 | 60,000 |
| Telephone Operator | 9 | 159,000 | 87,000 | 72,000 |
| Chart and Finance Office | 4 | 71,000 | 40,000 | 31,000 |
| Adjustment Committee | 5 | 88,000 | 47,000 | 41,000 |
| Total Civilian Positions | <u>109</u> | <u>\$1,925,000</u> | <u>\$1,097,000</u> | <u>\$828,000</u> |

Note 1 - All costs include fringe benefit costs.

END