



Corrections and Community Supervision

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Governor

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REPORT ON SECURITY STAFFING

2021

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

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Introduction

In accordance with Correction Law § 29(4)(a) and (4)(b), the purpose of this annual report is to provide information to the Legislature on the staffing of correction officers and correction sergeants in state correctional facilities. The report provides information about post closures, plot plan positions, security overtime for correction officers and correction sergeants and the number of beds and empty beds in New York State correctional facilities.

Closed post and plot plan information is provided for the report period of October 1, 2020 through September 30, 2021. Overtime data is provided for the prior fiscal year, since that is how such funding is appropriated. Information for prior time periods may be found in earlier Reports on Security Staffing issued since 2003. Information regarding total Beds and Empty Beds reflects totals on December 31 as mandated.

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

Daily Closed Posts

Closed posts occur as a result of a function ceasing which allows staff to be utilized to offset staff vacancies, absences, additional services or overtime expenditures. Facility plot plans are designed to detail the security staff necessary for facility security and routine coverage of the incarcerated individual population. Posts (jobs) are created for security functions that must be performed such as coverage in housing units, mess halls, infirmaries, classrooms, shops and other areas that incarcerated individual access.

The closing of posts or utilization of overtime to staff necessary security functions are options usually reserved to accommodate unexpected situations, such as staff absences, facility emergencies, emergency medical trips, unusual incidents, etc. The system is well managed, documented by the fact that, since 2010 the system averaged around 3 percent of posts being closed per day. For this report period, the statewide daily average number of closed posts is 3 percent. Generally, facilities that averaged a significantly higher number than the statewide daily average had either a reduction in incarcerated individual population or posts were located in an area that was temporarily closed. For example, Ulster Correctional Facility, which is a reception facility that provides both general and HUB transportation services, has numerous officer and supervisory posts assigned to transportation duties. Departmental policy stipulates that no statewide transportation occurs on Wednesdays except for emergency situations. This results in an increase in Ulster's average number of post closures.

It is the Superintendent's responsibility to evaluate and adjust staff resources to maintain safety and security in an efficient, cost effective manner. As a result, posts may be closed when job functions cease. This allows staff from the closed posts to offset staff vacancies, absences, or overtime when possible. For example, due to COVID-19 restrictions, incarcerated individual visits, programs and the transfer of incarcerated individuals to other facilities were paused. These post officers would then be redirected to cover other security priorities. No posts are closed that would jeopardize the safety and security of the facility.

Sergeant closed posts for this report period had a daily average of less than one per facility and a statewide daily average of 3 percent of total sergeant posts.

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

Table A displays correction officer and correction sergeant total posts and the average daily full-time equivalent closed posts for each facility by security classification for the period October 1, 2020 through September 30, 2021.

TABLE A					
DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION					
AVERAGE DAILY CLOSED POSTS					
OCTOBER 1, 2020 - SEPTEMBER 30, 2021					
FACILITY CLASSIFICATION	FACILITY	CO PLOT PLAN POSTS	AVERAGE CLOSED POSTS	SGT PLOT PLAN POSTS	AVERAGE CLOSED POSTS
MAX	ATTICA	572	6.90	24	0.90
MAX	AUBURN	568	10.82	26	1.14
MAX	BEDFORD HILLS	430	17.33	17	3.64
MAX	CLINTON	711	27.40	22	0.66
MAX	COXSACKIE	370	17.68	16	0.03
MAX	DOWNSTATE	505	33.45	22	1.54
MAX	EASTERN	335	5.97	12	0.38
MAX	ELMIRA	481	10.70	20	0.23
MAX	FIVE POINTS	469	5.28	19	0.12
MAX	GREAT MEADOW	562	7.94	20	1.15
MAX	GREEN HAVEN	566	19.81	22	0.90
MAX	SHAWANGUNK	260	3.59	9	0.04
MAX	SING-SING	622	15.48	25	0.41
MAX	SOUTHPORT	277	10.16	13	0.44
MAX	SULLIVAN	297	4.45	11	0.08
MAX	UPSTATE	332	18.40	17	2.93
MAX	WENDE	506	6.60	19	0.21
MED	ADIRONDACK	150	16.66	6	0.48
MED	ALBION	418	21.65	15	0.07
MED	ALTONA	148	8.04	7	0.10
MED	BARE HILL	320	1.93	13	0.02
MED	CAPE VINCENT	218	4.90	8	0.01
MED	CAYUGA	231	7.43	9	0.02
MED	COLLINS	379	6.25	17	0.51
MED	FISHKILL	760	15.72	28	1.04
MED	FRANKLIN	340	6.14	13	0.07
MED	GOUVERNEUR	242	3.02	11	0.07
MED	GREENE	443	16.05	21	1.06
MED	GROVELAND	315	6.78	14	0.19
MED	HALE CREEK ASACTC	110	4.82	4	0.10
MED	HUDSON	164	15.80	8	0.02
MED	MARCY	332	8.26	14	0.44
MED	MID-STATE	474	13.78	19	0.19
MED	MOHAWK	451	10.09	21	0.36
MED	OGDENSBURG	194	4.59	8	0.23
MED	ORLEANS	257	6.44	11	0.03
MED	OTISVILLE	212	3.87	8	0.09
MED	RIVERVIEW	221	2.03	8	0.66
MED	TACONIC	124	10.50	6	0.02
MED	ULSTER	258	14.91	16	0.39
MED	WALKKILL	153	3.81	7	0.31
MED	WASHINGTON	226	8.06	8	0.21
MED	WOODBOURNE	290	2.55	10	0.13
MED	WYOMING	356	1.67	14	0.40
MIN	EDGECOMBE	67	4.06	5	0.05
MIN	LAKEVIEW SICF	299	25.55	12	0.05
MIN	MORIAH SICF	66	4.16	3	0.20
MIN	QUEENSBORO	159	11.51	7	0.43
	WILLARD DTC	228	16.62	8	0.24
	TOTAL	16468	509.59	673	22.98

Percentage of closed posts

3%

3%

Plot Plan Positions

Plot Plan documents organize security staff by posts that provide routine coverage for facility security and the incarcerated individual population. Plot Plans are designed to support the mission, security level designation, incarcerated individual capacity, physical plant configuration, and operational and program schedules of each correctional facility. Plot Plans identify each post by function, shift, and the number of days per week the post is covered. The Plot Plan also reflects the number of officers assigned to the facility's resource pool, a group of officers intended to cover unanticipated workload; but now predominantly utilized to offset absences and securing coverage for unfunded mandates.

Facility Plot Plans are adjusted to reflect decreases and increases of security posts for statewide initiatives, as well as individual facility adjustments. For example, Mohawk CF reopened several housing units and their Budget Fill Level (BFL) increased by 16 to create the needed posts. Another example is the closure of the Clinton Annex, Gowanda, and Watertown Correctional Facilities.

From January 2000 through September 2021, the incarcerated individual population declined by 55.3 percent while correction officer and correction sergeant plot plan positions declined by a combined 18.3 percent due to consolidations and facility closures. The fact that these are not proportionate is due to the security needs that exist in the facilities regardless of the incarcerated individual population. This is most often attributed to the facility layout.

Table B displays the net change in positions added to or eliminated from Correction Officer and Correction Sergeant plot plans by facility for the report period of October 1, 2020 through September 30, 2021. To best represent the population requiring security supervision, the data includes incarcerated individuals in general confinement, special housing, infirmary, and outside hospitals. Incarcerated individuals that were out to court or on temporary release are excluded because supervision is provided by other agencies, or by non-uniformed staff.

TABLE B

DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION

NET CHANGE FOR CORRECTION OFFICER AND CORRECTION SERGEANT PLOT PLAN POSITIONS AND INCARCERATED INDIVIDUAL POPULATION

OCTOBER 1, 2020 - SEPTEMBER 30, 2021

FACILITY	TOTAL	TOTAL	TOTAL
	CO NET	SGT NET	INCARCERATED
	+/-	+/-	INDIVIDUAL NET*
			+/-
ADIRONDACK			17
ALBION			-167
ALTONA			-144
ATTICA			-30
AUBURN			-271
BARE HILL			-253
BEDFORD HILLS			-46
CAPE VINCENT			-127
CAYUGA			-132
CLINTON	-219	-15	-707
COLLINS			54
COXSACKIE			-156
DOWNSTATE			112
EASTERN			-127
EDGECOMBE			-9
ELMIRA			-421
FISHKILL			257
FIVE POINTS			-82
FRANKLIN			-218
GOUVERNEUR	2	1	-191
GOWANDA	-505	-28	-923
GREAT MEADOW			-58
GREEN HAVEN			-199
GREENE			21
GROVELAND			33
HALE CREEK ASACTC			-129
HUDSON			-9
LAKEVIEW SICF			69
MARCY			-139
MID-STATE			170
MOHAWK	16		206
MORIAH SICF			20
OGDENSBURG			-115
ORLEANS			-58
OTISVILLE			23
QUEENSBORO			-44
RIVERVIEW			-74
SHAWANGUNK			-19
SING-SING			0
SOUTHPORT			-53
SULLIVAN			-54
TACONIC			-13
ULSTER			68
UPSTATE			30
WALLKILL			78
WASHINGTON			-118
WATERTOWN	-211	-14	-273
WENDE			11
WILLARD DTC			-17
WOODBOURNE			1
WYOMING			197
Net Change	-917	-56	-4009
% Change	5%		11%

* Excludes out to court and temporary release
Rochester has no COs or Sgts. Supervision is by non-uniformed CCCAs.

Overtime Hours and Costs

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

In fiscal year 2020-2021, the State, recognizing the need to maintain prison safety and security through the use of overtime, appropriated a state operations overtime base of approximately \$226 million for the supervision of incarcerated individuals. That paid for approximately 3,145,564.24 hours of overtime at the Correction Officer overtime rate of \$49.65 per hour and the Sergeant overtime rate of \$62.58 per hour.

Funding for staff does not cover all absences. Workers' compensation, or situations where employees may be in work status but not at their assigned posts (i.e., detached assignment correction officers detailed to the Training Academy or the Office of Special Investigations), travel status, union business, military leave and jury duty are examples of absences not covered.

The five highest correction officer absence categories are personal sick leave, workers' compensation, detached assignments, family sick, and training. These absences have the biggest impact on overtime. During the last fiscal year, approximately 1.8 million staff hours were charged to sick leave absences. Our funding assumes a maximum of 11 days of sick leave for each correction officer annually. During fiscal year 2020-2021, 13.5 days of sick leave were taken per correction officer, 2.5 days or 331,220 hours of which were funded using overtime expenditures.

In relation to the aforementioned leave categories, there were 1,192,368 correction officer vacancy hours for the period of October 1, 2020 through September 30, 2021, an increase of 165 percent compared to the same period the prior year, which had 449,028 vacancy hours. Since vacancies in permanent positions present a potential security risk, both post closures and overtime were used to cover the vacancies in the system to safeguard employees and the incarcerated individual population.

Workers' compensation leave increased this fiscal year from last fiscal year. DOCCS used 1,792,644 staff hours to cover workers' compensation absences in 2020-2021, an increase of 9 percent from the prior fiscal year and an increase of 61 percent since fiscal year 2010-2011 through fiscal year 2020-2021.¹

Overtime Hours and Costs (continued)

Coverage for military leave required 249,629 staff hours. The Department has long supported its employees serving in the military.

To a much lesser extent, additional workload also impacts overtime. Construction overtime was funded by capital monies, but still requires significant use of staff resources. In fiscal year 2020-2021, a total of 395,658 hours was used to cover construction projects, a decrease of 21 percent from the prior year. These hours are far fewer than the absence hours spent on sick leave and workers' compensation.² The Department must also expend approximately 8,891 hours of overtime annually to comply with Federal Occupational Safety and Health Administration (OSHA) training standards pertaining to Fire Brigades.

The delivery of health care to incarcerated individuals required the use of an additional 174,239 staff hours for medical trips and 364,119 hours for outside hospital posts beyond the established plot plan posts. In 2020-2021, medical trip hours decreased by 60 percent from the prior fiscal year due to COVID-19, with non-emergency trips being cancelled. On-going agency efforts to contain costs include combining various clinics within a hub, use of Telemed for medical assessments and consolidating medical trips within the HUB to use fewer officers to transport the same number of incarcerated individuals to medical appointments.

Overtime is monitored daily by the Security Information Staffing Unit in Central Office and facility Superintendents. Mid-shift overtime reviews are conducted at the supervisory level on all shifts at the HUB and facility levels.

Facility reviews are continuously conducted by the Security Information Staffing Unit to evaluate overtime, staff utilization, additional services usage, preplanning practices, leave policies and schedules, local agreements, supervisor charts and post descriptions. HUB managers are trained in techniques to monitor and prioritize workload, improve staff utilization, and reduce overtime. Time and attendance audits are conducted by Central Office Personnel to monitor and improve attendance.

In addition to the daily, bi-weekly, and multiple other periods by which overtime is monitored by the Security Information Staffing Unit; overtime is also monitored by the Department's Office of Budget and Finance. Data is provided by both offices to the Department's Executive Team.

Table C displays fiscal year 2020-2021 overtime hours and costs for correction officers and correction sergeants by correctional facility security classification. Overtime rates for correction officers and correction sergeants are based on the average hourly overtime rate paid last fiscal year.

NOTES

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

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

Prepared by:

Security Information Staffing Unit
January 2022

TABLE C
APRIL 1, 2020 - MARCH 31, 2021

FACILITY CLASSIFICATION	TOTAL CO OT/HOURS	CO OT Rate \$49.65	TOTAL SGT OT/HOURS	SGT OT Rate \$62.58
MAX	1,584,848.31	\$78,687,718.59	208,557.77	\$13,051,545.25
MED	1,073,909.16	\$53,319,589.79	181,515.50	\$11,359,239.99
MIN	57,851.75	\$2,872,339.39	12,311.00	\$770,422.38
WILLARD DTC	21,438.00	\$1,064,396.70	5,137.75	\$321,520.40
TOTAL	2,738,047.22	\$135,944,044.47	407,522.02	\$25,502,728.01

TABLE D

TOTAL NUMBER OF BEDS AND EMPTY BEDS as of 12/31/21

FACILITY CLASSIFICATION	FACILITY	TOTAL NUMBER OF BEDS	TOTAL NUMBER OF EMPTY BEDS
MAX	ATTICA	2,143	466
MAX	AUBURN	1,766	350 (39)
MAX	BEDFORD HILLS	819	198
MAX	CLINTON	2,059	518
MAX	COXSACKIE	1,006	321 (76)
MAX	DOWNSTATE	1,221	583
MAX	EASTERN	985	131 (30)
MAX	ELMIRA	1,774	255
MAX	FIVE POINTS	1,587	553
MAX	GREAT MEADOW	1,611	302
MAX	GREEN HAVEN	2,068	396 (59)
MAX	SHAWANGUNK	532	98 (19)
MAX	SING-SING	1,741	281
MAX	SOUTHPORT	693	413 (55)
MAX	SULLIVAN	566	106 (8)
MAX	UPSTATE	1,093	446
MAX	WENDE	918	147 (30)
MED	ADIRONDACK	181	74
MED	ALBION	1,101	517 (190)
MED	ALTONA	414	271 (50)
MED	BARE HILL	1,434	551 (366)
MED	CAPE VINCENT	742	277 (78)
MED	CAYUGA	742	118 (24)
MED	COLLINS	1,150	203
MED	FISHKILL	1,942	216
MED	FRANKLIN	1,450	335 (400)
MED	GOUVERNEUR	942	369 (74)
MED	GREENE	1,567	429
MED	GROVELAND	993	223 (52)
MED	HALE CREEK	472	309
MED	HUDSON	266	148 (5)
MED	MARCY *	1,062	196 (50)
MED	MID-STATE	1,501	201
MED	MOHAWK **	1,316	158
MED	OGDENSBURG	557	321 (109)
MED	ORLEANS	934	350
MED	OTISVILLE	622	18 (21)
MED	RIVERVIEW	742	206 (100)
MED	TACONIC	387	179
MED	ULSTER	690	380
MED	WALKKILL	536	58
MED	WASHINGTON	734	105 (81)
MED	WOODBOURNE	849	90
MED	WYOMING	1,434	375 (220)
MIN	EDGECOMBE	129	75 (10)
MIN	LAKEVIEW SICF	922	352 (108)
MIN	MORIAH SICF	300	290
MIN	QUEENSBORO	424	224
MIN	ROCHESTER	70	26
	WILLARD DTC	664	537

* Marcy RMHU is included in these figures.

** Walsh RMU is included in these figures.

() These represent additional empty beds that are currently unstaffed and consolidated, can be used if necessary with staff assignment.