



NEW MEXICO CORRECTIONS DEPARTMENT

Secretary
Alisha Tafoya Lucero

CD-032400 Manpower Deployment Management System	Issued: 11/10/97 Effective: 11/1/97	Reviewed: 4/24/26 Revised: 07/31/15
Alisha Tafoya Lucero, Cabinet Secretary		<i>Original Signed and Kept on File</i>

AUTHORITY:

- A. NMSA 1978, Section 33-1-6, as amended.
- B. Policy *CD-010100*—Authority and Responsibility of the Department Secretary

REFERENCES:

- A. ACA Standard 2-CO-1C-06, *Standards for the Administration of Correctional Agencies*, 1993.
- B. ACA Standards 5-ACI-1C-03, 5-ACI-1C-04 and 5-ACI-3A-07, *Performance Based Expected Practices for Adult Correctional Institutions*, 5th Edition.
- C. ACA Standards 4-APPFS-3A-25 and 4-APPFS-3A-26, *Standards for Adult Probation and Parole Field Services*, 4th Edition.

PURPOSE:

To establish the manpower deployment management system to ensure that staff scheduling is accomplished in the most efficient and cost-effective manner possible using the most contemporary correctional methodology available.

APPLICABILITY:

New Mexico Corrections Department employees.

DEFINITIONS:

- A. *Absenteeism*: The failure of workers to report to the job when they are scheduled to work. It is a term that is applied to planned and unplanned absences because sickness as well as the time spent away from the job for other unauthorized reasons. Workers who quit without notice are also counted as absentees until they are officially removed from the payroll.
- B. *Absence Types*: The specific reasons for an employee's absence from work. Examples are unplanned sick leave, suspensions, annual leave, jury duty, AWOL, etc.
- C. *Absent Without Leave (AWOL)*: Without authorization, abandoning a post, leaving while on an assigned shift, or failing to report within the first hour of any assigned shift or workday. As used in this policy, “assigned shift” includes regularly scheduled work hours and assigned overtime.
- D. *Approved Absence Limits*: The number of employees who may be absent on any given day for any reason.

- E. Custody Employee: Correctional Officer I, Sergeant, Lieutenant, Captain, and Major.
- F. Daily Roster: A daily shift assignment schedule, by post and post classification for all custody personnel.
- G. Mandatory Post: A post that may not be left vacant at any time (except in an emergency).
- H. Manpower Deployment Management Plan: Fiscal plans that control the expenditures of funds per deployment strategies and permanent posts defined in the approved post matrices. These plans are prepared as part of the budget preparation process and may be modified once appropriations have been finalized. The plan is presented in two parts:
1) Narrative and 2) Matrix with Roster.
- I. Master Roster: An employee work schedule prepared weekly which includes the posts staffed by shift, the days off assigned to each post and the positions needed to provide coverage.
- J. Non-Mandatory #1 Post: A post that may be left vacant for part of a shift or that may have alternate coverage for part of a shift.
- K. Non-Mandatory #2 Posts: A post that may be left vacant for an entire shift.
- L. Overtime: Hours earned by Fair Labor Standards Act (FLSA)-covered employees for extra work hours over the approved work schedule and as defined in appropriate Collective Bargaining Agreements and overtime policy.
- M. Planned Leave: A leave request approved in advance.
- N. Post Class: The classification of posts, which includes Mandatory, Non-Mandatory #1 and Non-Mandatory #2.
- O. Post Skills: Mandatory skills that an employee must possess to work in a particular post.
- P. Post Type: The type of posts that includes Relieved and Non-Relieved.
- Q. Relief to Other Services: Activities that periodically require staffing or any added post or service that requires staffing above the approved balanced roster.
- R. Roster Adjustments: Adjustments to the Daily Roster which reflect actual post assignments and absence activity.
- S. Roster Management: The continuous assignment of employees to a precisely calculated number of posts.
- T. Agency Seniority: Measured by the length of continuous service in a career or term position, including a probation period in the employee's current agency assignment.
- U. Site Folder: A folder located on J-Drive and accessible to all which contains pertinent

information related to State Roster Management.

- V. Unfunded assignments: Occurrences when posts or activities must be added based on directives, laws, etc., for which funds are not provided to the facility.

POLICY:

- A. The New Mexico Corrections Department shall establish a Manpower Deployment Management System to:
1. Analyze schedule designs;
 2. Control absenteeism and the leave process;
 3. Aid in Personal Services budget preparation;
 4. Manage custody training; and
 5. Prepare and manage required reports.
- B. Manpower deployment management data will be used by the Corrections Department as the source of payroll information for correctional officers and correctional officer specialists for the Human Resources Bureau.
- C. Manpower deployment management policies and procedures will be viewed in their entirety.
- D. Manpower deployment management will be centralized within the Corrections Department in accordance with procedures CD-032401.
- E. The Department shall assess its personnel needs and assignments at least annually. **[2-CO-1C-06]**
- F. When both males and females are housed in the facility, at least one male and one female staff member shall be on duty at all times. **[5-ACI-3A-07]**
- G. The institutions shall use a formula to determine the number of staff needed for essential positions. The formula considers, at a minimum, holidays, regular days off, annual leave, and average sick leave. **[5-ACI-1C-04]**
- H. The staffing requirements for all categories of personnel are determined on an ongoing basis to ensure that inmates have access to staff, programs, and services. **[5-ACI-1C-03]**
- I. The Probation and Parole Division shall have a written workload formula, which is implemented in the allocation of work to District staff and supervisors to accomplish its stated goals. **[4-APPFS-3A-25]**
- J. District staff with caseloads shall report to a designated supervisor who is trained in the supervisory function. **[4-APPFS-3A-26]**



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AUTHORITY:

Policy *CD-032400*

PROCEDURES:

A. Manpower Deployment Management Plans: [2-CO-1C-06]

The Manpower Deployment Management Plans will be prepared annually and/or revised as needed by each facility Warden, the Facility Roster Management Team (FRMT), and the State Roster Management Coordinator (SRMC) for presentation to the Director of Adult Prisons.

1. The plan will be presented in two parts:
 - a. Manpower Deployment Management Plan Narrative:
 - Deployment Plan summary;
 - Budget History;
 - Managing the Complement;
 - Cost Control regarding the Complement;
 - Building the Complement;
 - Staffing the Complement;
 - Rostering the Complement.
 - b. Manpower Deployment Management Plan Matrix:
 - Posts Matrix
 - Prepared Roster
2. The plan shall be used in the budget process and shall be adjusted based on final appropriations or revisions of the matrix.

B. General Responsibilities:

1. Director of Adult Prisons: The Director of Adult Prisons will assign a State Roster Management Coordinator (SRMC) who will be responsible for overseeing system operations at all institutions.

2. Warden: The Warden will have authority, responsibility, and oversight of the roster management operations and direct supervision of the Facility Roster Management Team (FRMT) and review as needed:
 - a. Cost analyses
 - b. Overtime and Compensatory time expenditures
 - c. Training windows and fiscal impact
3. State Roster Management Coordinator (SRMC):
 - a. According to FTE availability and the Collective Bargaining Agreement (CBA), the Warden and SRMC will assign custody and non-custody roster management staff that will be responsible for the day-to-day operation of the system under the supervision of the Warden and the Director of Adult Prisons.
 - b. The SRMC will oversee system operations at all institutions and develop and update policy and procedure, ensuring that they are in compliance with Federal and State laws, and the CBA, and provide continual policy review as new situations arise, making appropriate adjustments as needed.
4. Facility Roster Management Team Members (FRMT):
 - a. The team members will oversee systems operations at their facility under the supervision of the Warden and the SRMC, and will be responsible for the day- to-day database operations.
 - b. The team members will ensure that employees are scheduled for leave on a leave calendar in compliance with approved absence limits and other duties will include:
 - Reporting of problems;
 - Employee data collection and entry;
 - Schedule training in corroboration with training officer;
 - Generate reports; and,
 - Auditing daily rosters.

C. Matrix Development:

1. Each post shall be assigned a classification as being either Mandatory, Non- Mandatory #1 or Non-Mandatory #2.
2. The post classification system shall be used to shape staffing decisions when there is limited staff to fill posts due to vacancies or other events.
3. The posts matrices will be reviewed bi-annually in conjunction with the Master Roster Post Bidding process and in accordance with the provisions set forth in the CBA.

4. FIRST STAGE: The FRMT and SRMC will build the post matrix for presentation to the

Director of Adult Prisons. FTE must balance to posts before the presentation.

5. The SRMC will present the Matrix for all facilities to the Director of Adult Prisons.
6. SECOND STAGE: The FRMT and SRMC will revise the matrix and Master Roster containing all corrections, deletions, and/or additions that have been approved by the Director of Adult Prisons. The SRMC will then present the matrix for all facilities to the Director of Adult Prisons and Wardens with attached Rosters for final review and approval.
7. THIRD STAGE: The Director of Adult Prisons and SRMC will submit the matrix to the Union and allow the Union an opportunity to comment on any proposed revisions.

D. Matrix Analyses:

1. The FRMT and local HR Staff will reconcile posts to manpower on a weekly basis and a report of any circumstances beyond the control of the Warden will be reported to the Director of Adult Prisons (e.g., excessive vacancies, terminations, program services, uncontrollable transport, outside hospital, etc.)

E. Out-of-Balance Matrix:

1. The Director of Adult Prisons and the SRMC shall be notified immediately of any emergency revision requests to the approved post matrices. Examples of emergency revision requests include temporary duty assignments, unfunded assignment and special assignments.
 - a. Emergency revisions, position history and cost must be captured on the Weekly Exceptions Report, as an Unfunded Assignment or approved Special Assignment/TDY but not both.
2. The Director of Adult Prisons shall review all emergency revision requests to approved matrices and establish allowable time limits for approved requests. The SRMC shall ensure that emergency revisions do not exceed allowable time limits.
 - a. If the emergency change exceeds the approved time limit and will last more than 30 days, the post then becomes an unfunded assignment.

F. Roster Management:

1. Regular days off are assigned to posts and not employees.
2. Regular days off are balanced such that a prescribed number of employees are off- duty every day of the year.
3. Mandatory skill requirements are assigned to posts.

4. **ALL** custody staff/correctional officer specialists reporting to work are required to sign in on the daily roster to confirm attendance and support the payroll process.

The shift supervisor shall verify attendance at the time the daily roster is adjusted or validated and shall be responsible for controlling, observing, and recording employee attendance.

- a. If an employee is unable to sign in on the Daily Roster due to an assignment elsewhere, i.e. outside hospital, transport, etc., the shift supervisor may confirm the employee's attendance with his/her initials.

G. Assigning Employees to the Master Roster:

When both male and female inmates are housed in a facility, at least one male and one female staff member shall be on duty at all times. **[5-ACI-3A-07]**

1. Assignment of employees shall be in accordance with provisions set forth in the CBA and based on operational need.
 - a. The FRMT shall give the employee a seven-day advance notice (10 day notice for 12-hour shifts) for all assignments, winning bids, or re-assignments that are not associated with the Master Roster Post Bidding process.
 - b. The employee may waive the seven-day notice (10 day notice for 12-hour shifts) but documentation must support the waiver.
2. Vacancies on shift and posts created through transfers, resignations or promotions will be posted for interim post bidding a minimum of seven working days on an as- needed basis. Agency seniority applies to this bidding process.
3. Interim post bidding provides post coverage and occurs as needed throughout the fiscal year and is not to be confused with master post bidding which occurs only twice in a fiscal year.

H. Shift Hours:

1. Eight-hour shifts will be referred to as:

FIRST SHIFT	GRAVEYARD or MORNING 10 p.m. to 6 a.m. with the majority of the day representing the date of the Daily Roster (e.g. 10 p.m. on Saturday night up to 6am Sunday morning shall represent Sunday)
SECOND SHIFT	DAY 6 a.m. to 2pm
THIRD SHIFT	SWING or EVENING 2 p.m. to 10 p.m.
FOURTH SHIFT	ADMIN shift supports hours between 6 a.m. and 10 p.m.

2. Twelve-hour shifts shall be referred to as:

FIRST SHIFT	EVENING 6 p.m. to 6 a.m. with the majority of the day representing the date of the Daily Rosters (e.g. 6 p.m. on Saturday night up to 6 a.m. Sunday morning shall represent Sunday)
SECOND SHIFT	DAY SHIFT 6 a.m. to 6 p.m.
THIRD SHIFT	None.
FOURTH SHIFT	ADMIN shift supports hours between 6 a.m. and 6 p.m.

3. Employees shall be paid a shift differential of no less than \$.60 per hour for each hour of regular scheduled work between 6 p.m. and 7 a.m.

I. Absenteeism Control—PLANNED LEAVES AND ABSENCES FOR CUSTODY EMPLOYEES:

1. **ALL** custody employees shall plan leave in advance with the FRMT using Form SPB 101 or the Union Time Form for the purposes of union business. (Union business is considered time worked for the purposes of overtime computation.)
 - a. Annual leave must be accrued before it is used and authorized according to approved absence limits by the FRMT before it is taken. The Warden/FRMT may approve annual leave beyond the approved absence limits in extenuating situations.
 - b. Approval by the Warden is required for any annual leave request that exceeds four consecutive weeks.
 - c. Approved leave without pay will not be approved unless all accrued annual leave and compensation time is exhausted.
2. If an employee is on special assignment or TDY, the employee shall plan leave in advance with the FRMT and in conjunction with the Supervisor overseeing the special assignment or TDY.
3. Planned leave should be scheduled as early as possible and at least ten days in advance of the start date for the leave (with the exception of military leave); however, the FRMT will continue to accept leave requests up to the Wednesday of each week for any dates requested for the following week (to begin Saturday) or later.
 - a. Under unusual/extenuating circumstances, the FRMT may waive the Wednesday deadline and accept leave requests up to and no later than 24 hours in advance of the shift start (with the exception of Military).
 - b. The Warden or designee may approve emergency leave requests.
4. **ALL** custody leave within approved absence limits will be approved and scheduled by the FRMT and the individual approving the leave will complete the check box and sign as Final Authority.
5. The leave calendar shall consist of the following calendar packages:

- a. Approved leave by each shift,
 - b. Approved leave of Shift Supervisors,
 - c. Approved training,
 - d. Approved other training,
 - e. Denied.
6. The FRMT shall distribute the calendar package weekly to:
 - a. Shift Supervisors (attached to Weekly master roster),
 - b. Deputy Wardens as advance notice of possible staff shortage.
 7. Leave forms may be received in any manner (under the door, mailed, door slot, in- basket, hand-delivered, etc.); however, it is the responsibility of the employee who is requesting leave to verify receipt by the roster management office.
 8. Denials and pending decisions (up to four weeks) shall be noted on the leave form, and the form will be returned to the employee within seven days from receipt.

J. Absenteeism Control—LEAVE AND TRAINING WINDOWS FOR CUSTODY EMPLOYEES:

1. Primary vacation periods will be scheduled in accordance with the Collective Bargaining Agreement (CBA) and using the window process.
 - a. Primary leave windows are July, August, October, November, December, May, and June.
 - b. Training windows are September, January, February, March, and April.
2. The training window may extend from the last two weeks of August into September and/or September into the first two weeks of October, and April into the first two weeks of May; however, the pre-established approved absence limits for the annual leave window must be strictly observed.
3. Annual leave, training leave, and other applicable leaves shall be combined to determine the approved absence limits (the number of staff that can be off during each week of the various windows).
4. Military leave shall be scheduled before vacation leave and shall be included in the number of staff permitted off daily. A file shall be kept specifically for military orders with a log of employees who are active and inactive.

K. Overtime Management:

1. The FRMT shall provide, in accordance with the provisions set forth in the CBA, the shift supervisors all necessary overtime tracking documents (with agency seniority details) attached to the daily rosters to include:
 - a. A master overtime list used to track all employees' voluntary and mandatory overtime for each shift for each day of the week.
 - b. An on-site and off-site voluntary list of employees in agency seniority order for each shift for each day of the week.
 - c. A list of CO Specialists and a list of non-custody staff in agency seniority order that are approved to work overtime on the line.
2. Whether a scheduled overtime shift is voluntary or mandatory, failure to report for that assigned shift for any reason shall be considered AWOL and information will be noted on the Daily Roster.

L. Assessments, Audits and Internal Controls

1. A team selected by the Director of Adult Prisons will complete an annual post audit to support the building of the posts matrices required throughout the year at each facility.
2. The FRMT will conduct post assessments and/or audits quarterly or as needed or directed by the SRMC.
3. The FRMT shall assess and audit the established supervisory rotation and associated supervisory rostered posts on a quarterly basis.
4. The SRMC shall audit each facility FTE's to facility roster on a quarterly basis and in conjunction with the Human Resource Office.
5. The SRMC and the FRMT, the facility Human Resource Office, and the Corrections Academy will assess vacancies on a weekly basis and provide data in advance of each academy class ensuring that the proper number of recruits reconciles with rostered vacancies.
6. The SRMC, the FRMT, the facility Business Office, and the Warden will assess fiscal year budget information, overtime expenditures, vacancy savings, and projected overtime each pay period. The assessment shall include a study of information from the Central Office Budget Bureau.
7. The SRMC, the FRMT, the facility Payroll Officer, and the Warden will assess the payroll process, error rate, retroactive payroll correction, and related processing information on a quarterly or as needed basis. The assessment shall include a study of information from the Central Office Budget and HR Bureaus.

8. The SRMC and the FRMT shall assess Key Performance Measures on a regular basis to include:
 - a. Overtime for previous fiscal year, current fiscal year and goal, with measure as percent of funded positions;
 - b. Sick days goal and actual, with measure as percent of hours divided by officers;
 - c. Vacant FTE positions versus total vacant positions on the roster;
 - d. Unfunded assignments, special assignments, outside hospital, transport, one-to-one watches, security threat group actions, and any other uncontrollable overtime item that may be of interest with measure above zero hours;
 - e. Other training with measure as number of hours less percent of staff.
9. The SRMC and the FRMT shall assess the ratio of staff to inmates, posts to inmates, staff to posts, and FRMT to staff and inmates, or any other requested ratio on a quarterly basis.

M. Reports:

1. The FRMT shall provide reports using the existing reporting system. If reports are unavailable, the FRMT, with the SRMC, shall create and/or generate reports that do not exist in the reporting system and, upon doing so, shall add the report format to the reporting system.
2. Reports will be created and/or generated for any department request, including but not limited to Training, Budget, Personnel, Payroll, Compliance, and Security.
3. Reports will be made available to all interested parties.

N. Training:

1. ALL custody and specialist training shall be scheduled by the FRMT in coordination with the facility trainer according to windows approved absence limits, and a standardized training in-service training schedule to be used by all facilities.
 - a. In-service training shall be scheduled at the beginning of each fiscal year in the appropriate training windows and in conjunction with the Training Office with monthly updates, additions, or revisions as needed.
 - b. Other training may fall outside of training windows but only in accordance with off-duty limits and without impact to an employee's scheduled leave.
 - c. Other training must be scheduled at least two weeks in advance and a cost analysis of the training shall be forwarded to the Director of Adult Prisons with an alternate schedule for possible consideration.

2. A bulletin board shall be located in the roster management office promoting training requests, available training, training schedules, and any other information that may be of interest to the employee.
3. The SRMC shall conduct a Roster Management Users Group Meeting on a quarterly basis.
 - a. A schedule with location, date and time will be posted at the beginning of each fiscal year and amended as needed, with a copy to the Director of Adult Prisons, the Human Resource Bureau Chief, the facility Warden, and the Business Manager.

O. USE OF THE DAILY ROSTER:

1. The FRMT shall generate a daily roster package of all shifts for 7 consecutive days (Saturday thru Friday).
2. The shift supervisor will receive the Master Roster with all attachments and the Daily Roster each Thursday for the week to come.
3. The shift supervisor shall ensure that each mandatory post is filled.
4. If there is excess coverage on the shift, the shift supervisor may ask employees who would like to go home and agency seniority shall be used as the determining factor. If the senior employee does not have enough leave to cover the absence, the next senior officer will be considered.
5. The Daily Roster is adjusted by the Shift Supervisor and validated by a Captain or Major.
 - a. Return the adjusted and validated Daily Roster to Roster Management at the end of each shift with ALL attachments; leave forms, overtime forms, even if employee signature is missing.
 - b. Adjustment notations shall follow a standard format and can be entered to an existing database, spreadsheet, word document, etc.
 - c. Capture the post problems in the order they appear on the Daily Roster (what post and who holds that post (e.g. 78/102 or post number/employee id).
 - d. Note the reason for the post problem, list the absence and the reason why the assigned employee is absent:
 - A for absent
 - C for comp time used
 - T for tardy
 - (E.g. Sick leave, Annual, Edit, Pull, etc.) and the hours absent (e.g. 6 hours 15 min)
 - e. Capture what will occur to resolve the post problem and list:

- 1) The post and who holds that post used as relief;
 - 2) Overtime (Voluntary Overtime (VOT) or Mandatory Overtime (MOT));
 - 3) An ADDED post not on the roster, or
 - 4) Whatever other information is necessary.
6. The shift supervisor will ensure that all adjustment notations are accurate.
 7. The shift supervisor will ensure that all adjustments are made in accordance with the provisions set forth by the CBA, and any variation from this order of priority shall require advance approval by the Warden or designee.
 - a. **MANDATORY POST:**
The employee will NOT be reassigned to work another post or other duties that are not contained in the post orders unless there is an emergency, unless the employee agrees, or unless, on an occasional basis, the facility needs to use the employee's skills for some other assignment.
 - b. **NON-MANDATORY #1 POST:**
 - 1) The employee assigned to a non-mandatory #1 post may be assigned to work another post or other duties in order to address legitimate operational needs.
 - 2) The employee may not be pulled for inappropriate reasons such as to provide favoritism or special treatment to another employee.
 - 3) The employee will not be pulled from a non-mandatory #1 post and replaced by another employee (except in an emergency), unless the employee agrees or the employee's skills are needed for some other assignment.
 - 4) A non-mandatory #1 post may sometimes be covered for part of a shift in an alternative manner, such as being covered by a supervisor for part of a shift; or an employee assigned to one non-mandatory #1 post may be required to cover two non-mandatory #1 posts for part of a shift.
 - c. **NON-MANDATORY #2 POST:**

The employee may be reassigned to work another post or other duties for the entire shift in order to address legitimate operational needs as determined by the facility.

P. PPD Workload Formula: [4-APPFS-3A-25]

1. A supervisor who also carries a workload shall reduce their average caseload by 20% per each Probation Parole Officer supervised. Support staff is not included in this calculation.

600 Reporting Offenders

Example:	District Caseload Offenders	=	600
	Number of PPO's	=	4
	Caseload by Supervisor	=	20% of PPO
	Formula Where X	=	PPO Caseload (150)
	$4X + .2X$	=	$4 (150) + .2 (150)$
	X	=	150 Offenders
	.2X	=	30 Offenders

2. Workload averages will be computed quarterly to maintain the supervisor's caseloads at a minimum level.
3. Probation Parole Officers carrying workloads will be directly supervised by a Probation Parole Supervisor or by a Probation Parole Officer appointed by the Director or designee. Any person appointed to supervise Probation Parole Officers will complete the specific supervisory training program offered by the Division as soon as possible after the appointment. Credit may be given for applicable courses Completed prior to the appointment and staff will be encouraged to attend such training prior to seeking an appointment to a supervisory position. **[4-APPFS-3A- 26]**
4. The Director shall ensure the supervision and investigative functions are equally maintained.