

State of Iowa Department of Corrections

Policy and Procedures

Policy Number: AD-PR-03
Applicability: DOC
Policy Code: Public Access
Iowa Code Reference: 904.303
Chapter 1: ADMINISTRATION & MANAGEMENT
Sub Chapter: PERSONNEL
Related DOC Policies: N/A
Administrative Code Reference: N/A
Subject: REVIEW OF STAFF REQUIREMENTS
ACA Standards: 5-ACI-1C-03, 5-ACI-1C-04
PREA Standards: 115.13(a)(b)(c)
Responsibility: Steve Dick, William Sperfslage
Effective Date: June 2021
Authority:

1. PURPOSE

To describe the procedures that will be used by the Iowa Department of Corrections (IDOC) to conduct regular reviews of staffing.

2. POLICY

It is the policy of the IDOC to have an orderly system for establishing, reviewing, and revising the staffing requirements of each correctional institution, so as to effectively meet the specific programs, services, and security needs of the incarcerated individual population at each location.

CONTENTS

- A. Evaluation
- B. Staffing Formula Calculation
- C. Staffing Formula
- D. PREA Requirements

3. DEFINITIONS – As used in this document:

- A. Relief Factor – The process of calculating the staffing required for each post in relation to the hours employees are available to work.
- B. See IDOC Policy **AD-GA-16** for additional Definitions.

4. PROCEDURES

A. Evaluation

Will include a systematic ongoing determination by the Warden to ensure incarcerated individual access to staff and availability of support services. **(5-ACI-1C-03)**

The systematic ongoing evaluations shall be conducted by a group of IDOC staff comprised of facility staff as well as staff from other facilities to include Central Office staff. Managers at the facility should conceive that the staffing analysis process is ongoing. The goal is to improve staff assignments and schedules in order to create the potential for operational improvements do not require an adjustment in total staffing numbers. Upon completion of the evaluation, the staffing analysis team shall present the recommendations to the respective Warden and the Deputy Director of Institution Operations.

The evaluation team members shall have training and experience with staffing analysis operations.

B. Staffing Formula Calculation

Arithmetics and policy decisions affecting staffing requirements must be made prior to performing the staffing formula calculation.

A relief factor of 1.5 shall be used when computing for a 24/7 post.

C. Staffing Formula

The institution uses a formula to determine the number of staff needed for essential positions. **(5-ACI-1C-04)**

The staffing formula will account for essential positions, physical plant, scheduled work days with respect to reasons creating a need for staff relief. The overall mission of each facility will have an effect on the planning factor when determining the necessary amount and type of staff required to accomplish the mission. This mission/correctional philosophy will vary based on the facility and will include the level of service that shall be provided to the

incarcerated individual population. These previously mentioned considerations will aid in the appropriate deployment of staff that supports direct supervision.

D. PREA Requirements

1. IDOC shall ensure that each facility it operates shall develop, document, and make its best efforts to comply on a regular basis with a staffing plan that provides for adequate levels of staffing, and, where applicable, video monitoring, to protect incarcerated individuals against sexual abuse. In calculating adequate staffing levels and determining the need for video monitoring, facilities shall take into consideration:
 - a. Generally accepted detention and correctional practices, as in planning their budget process;
 - b. Any judicial findings of inadequacy;
 - c. Any findings of inadequacy from Federal investigative agencies;
 - d. Any findings of inadequacy from internal or external oversight bodies;
 - e. All components of the facility's physical plant (including "blind-spots" or areas where staff or incarcerated individuals may be isolated);
 - f. The composition of the incarcerated individual population;
 - g. The number and placement of supervisory staff;
 - h. Institution programs occurring on a particular shift;
 - i. Any applicable State or local laws, regulations, or standards;
 - j. The prevalence of substantiated and unsubstantiated incidents of sexual abuse; and
 - k. Any other relevant factors.
2. In circumstances where the staffing plan is not complied with, the facility shall document and justify all deviations from the plan. These documented deviations and justifications shall be sent to the Deputy Director of Institution Operations for review.

3. Whenever necessary, but no less frequently than once each year, for each facility the IDOC operates, in consultation with the PREA coordinator required by § 115.11, the IDOC shall assess, determine, and document whether adjustments are needed to:
 - a. The staffing plan established pursuant to paragraph (a) of this section;
 - b. The facility's deployment of video monitoring systems and other monitoring technologies; and
 - c. The resources the facility has available to commit to ensure adherence to the staffing plan. **(PREA 115.13(a)(b)(c))**