

Seniority Assignments (SA) for Correctional Lieutenants and Sergeants

This procedure is not to be altered or revised without prior approval of the Youth and Adult Correctional Agency (YACA) Deputy Secretary of Labor (DSL). All disputes over this procedure will be reduced to writing and submitted to the DSL for resolution.

A. Methods

1. There shall be Sixty percent (60%) of the qualifying Correctional Sergeant and Correctional Lieutenant post assignments at each CDC Institution assigned by seniority. These Seniority Assignments (SA) will be distributed among the watches and RDOs in the same proportion as their percentage of the total number of posts. The break point will be .6 of the total number of qualifying posts. For example: 32 jobs (60%= 19.2; 40%=12.8). Therefore, thirteen (13) jobs will be management assignments, nineteen (19) jobs will be SA.

60/40 Split: Sixty (60%) percent represents the percentage of posts that shall be available for SA otherwise known as "Seniority Assignments (SA)". Forty (40%) percent represents the percentage of posts that shall not be subject to SA. The representative number of SAs at each institution will be determined by establishing an equitable distribution of posts by area, watch and RDO. An "equitable distribution" is as close to a 60/40 representation in each of these areas, in keeping with operational needs.

Upon completion of the 60/40 split, reconciliation shall be completed to insure the institution's overall representation is within plus or minus one (1) position.

2. Time for Implementation

All institutions will implement a continuous SA process as outlined in subsection E. (CONTINUOUS SA PROCESS)

- a. New implementation will follow the implementation time lines set forth in this procedure. However, if the implementation dates change, the time-frames will continue to be adhered to.
- b. All institutions shall conduct a SA to incorporate changes of this procedure.
- c. Implementation for new institutions: Within eighteen (18) months of activation (receipt of inmates) all new institutions will begin the

implementation process for SA.

- d. In each instance supervisory SA will occur 60 days ahead of rank and file.

3. Definitions

- a. SA Period: Supervisors may participate in the SA process as otherwise described in this procedure during the SA period. Each "SA period" shall be three calendar years. A Realignment of Posts process will be used at the outset of each new SA period.
- b. Realignment of Posts: A Realignment of Posts follows a re-determination by the Appointing Authority or designee and the local supervisory representative about the number and specific posts which will be considered "posts" available for SA.
- c. Post: Any authorized post listed on the Master Assignment Roster after it has been reconciled with the Post Assignment Schedule and the Governor's Budget, except: The following posts may be exempted from the SA process, but will be included in the count for the purpose of establishing any pertinent calculation.
- d. In CDC, the Correctional Lieutenants and Correctional Sergeants positions will be exempted from SA process as defined by the two categories below;

In Facility/Prison

1. Personnel Assignment Lieutenants
2. In-service Training Lieutenants
3. Investigative Lieutenants
4. Public Information Officer/Administrative Lieutenants
5. Camp Lieutenants

Out of Prison Exemptions

Correctional Lieutenants assigned to all other units outside of prison to include any investigative unit, OIA, DCU, CCF, P&CSD or SSU.

Statewide Transportation
Background Investigation Unit
CDC Headquarters

*Added By
Management
Units*

Correctional SergeantsIn Prison Exemptions

1. Investigative Sergeants
2. Security Squad Sergeants
3. Transportation Sergeants
4. Armory Sergeants
5. Camp Sergeants

*Nature
of the job.*

Out of Prison Exemptions

Correctional Sergeants assigned to all other units outside of prison to include any investigative unit, OIA, DCU, CCF, P&CSD or SSU.

Statewide Transportation
Background Investigation Unit
CDC Headquarters

5. SA Process

- a. SA will consist of two (2) processes. One process consists of the SA as outlined in subsection C. IMPLEMENTATION.
- b. The continuous SA process is outlined in subsection E. CONTINUOUS SA PROCESS. The continuous SA process will be for the purpose of filling SA vacancies on a continual basis as they arise throughout the SA period.

B. Eligibility

1. Participation in the SA system is limited to eligible supervisors. An eligible supervisor:
 - a. Must be a permanent, full-time Lieutenant or Sergeant CDC. Probationary are excluded.
 - b. Must be permanently assigned to and working at the institution. Eligible supervisors may participate only in their institution's SAs. There shall be no inter-institution seniority assignments by personal preference.

Eligible supervisors who laterally transfer will be permitted to participate in the continuous SA process.

- c. In order to participate and maintain the rights and privileges defined throughout this procedure, the supervisor must maintain an overall standard performance rating.

- (1) Upon activation of a newly established institution, previous year supervisor performance evaluations will not be considered for the purpose of eligibility in the SA process.

- d. An supervisor successfully assignment to a SA who does not meet the qualifications (firearms, side-handle baton, chemical agents, fence training) for such post, must meet all qualifications, specified in this procedure, prior to the date of assignment to the SA. If the supervisor is not qualified for the SA, on the initial date of assignment, the supervisor will be assigned at management's discretion and allowed to participate in the continuous SA process. The vacated SA will be subject to the continuous SA process.

- (1) Management shall be responsible to ensure that training for all qualifications is available through In-Service Training. Supervisors shall be responsible for scheduling and attendance.

- (2) If the failure to qualify is based upon unavailability of training, the supervisor will be placed in a post in the same watch, with similar start/stop times. The SA will temporarily revert to management until such time that the employee qualifies and is placed back into the SA.

- (3) Once the training has been provided, and if the supervisor qualifies, the employee shall be placed in the SA. If the supervisor is not successful in qualifying, they shall be assigned at management's discretion. The vacated SA shall be subject to the continuous SA process.

- (4) In order to be retained in a SA armed post, supervisors must maintain current weapons qualification. Failure to maintain quarterly qualifications in compliance with departmental policy will result in the supervisor being assigned at management's discretion. An otherwise eligible supervisor may participate in the continuous SA process. Removal of the supervisor does not preclude the supervisor from being subject to other action

in accordance with departmental policy.

- e. For activation of a newly established institution, a supervisor may be precluded, in writing, from participating in the SA process to specific assignment areas as determined by the Appointing Authority. This preclusion must be based upon:

- (1) An supervisor who has an adverse personnel action which relates to the supervisor's job performance including, but not limited to:

- (a) Inattentiveness on the job
- (b) Insubordination
- (c) Excessive force toward an inmate, ward, or parolee
- (d) Sick leave abuse, etc.
- (e) Off-duty conducts, etc.

- (2) The preclusion will not be based upon an adverse personnel action for:

The adverse personnel action must have occurred twelve (12) calendar months preceding the onset of the SA process (i.e., the third Monday in September).

An supervisor receiving a performance related adverse action that may have a greater impact related to a specific assignment area (i.e., Ad Seg, Community Crews, Security Housing Units, entrance gates, etc.), may be excluded by the Appointing Authority from seniority assignment to the specific assignment area for one (1) SA period. (Refer to subsection H.14.)

- f. An otherwise eligible supervisor absent from the worksite during the SA process for such reasons as NDI, Workers' Compensation, leave of absence, annual military leave, etc., may participate in the SA process. Supervisors who are successful in obtaining a SA post must assume the duties of such post within one year of posting of the SA results. Until such time as the supervisor occupies the post, it temporarily reverts to the conditional SA process.

In the event the supervisor is unable to assume the duties within one year, the supervisor will be placed in a post at management's discretion.

- g. Failure of the supervisor to complete a SA will result in placing the supervisor in a post, at management's discretion, without regards to watch, RDOs or start/stop times.

C. Implementation

1. At the first meeting of the local management/supervisory representatives, the total number of institutional posts available for SA shall be designated for Correctional Lieutenants or Sergeants with the Sixty percent (60%) of the total authorized posts listed on the Master Assignment Roster, as defined in subsection A. 3.c. The remaining Forty percent (40%) shall be designated as management posts.

a. September

- (1) On the first Monday in September the Personnel Assignment Office at each institution will post an updated seniority roster. Employees alleging errors in the computation of seniority dates may file a complaint to the Personnel Assignment Lieutenant. If unresolved, the supervisor may submit to the Appointing Authority for second level of review with resolution required within fourteen (14) days of the posting of the seniority roster.

Errors in favor of the supervisor will result in the adjustment of the supervisor's seniority date at their institution.

- No written memorialization* (2) The local management/supervisory representatives at each institution shall meet and determine which posts will be management posts and which posts will be SAs. Such determinations will be completed no later than the first Monday in September.

- (3) Only those SAs which cannot be agreed on by the local management/supervisory representatives at each institution will be elevated to the YACA DSL within 14 days through the headquarters Labor Relations Branch. The DSL will make the determination on the disputed issue.

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position
1 person makes the
determination*

- (4) On the second Monday in September, an institutional memorandum will be published by the Personnel Assignment Lieutenant, advising staff of the following:

- (a) The date SA forms will be made available and the locations where the forms can be obtained.

- (b) The date SA forms must be returned to the Personnel Assignment Office.
 - (c) Location(s) of SAs open for SA and Master Assignment Rosters will be available for staff review.
 - (d) Supervisor who laterally transfers on or before the first Monday in September will be permitted to SA.
- (5) On the second Monday in September, the Personnel Assignment Office at each institution will publish a listing of SAs available for SA. This list shall be made available in locations previously specified.
 - (6) On the third Monday of September, SA forms will be made available at locations previously specified. A standardized SA form will be utilized at all locations for selection of SAs.
 - (7) Completed SA forms must be submitted to the Personnel Assignment Office, unless otherwise designated at the local level. These SAs must be submitted on or before close of business on the second Monday of October.
 - (8) At the time the supervisor submits the SA form, it will be date stamped and a copy given to the employee. The original will be retained in the Personnel Assignment Office.
 - (9) The watch designation for those SAs with multiple watch reliefs and posts requiring quarterly weapon qualifications will be noted on the listings of available SAs.
2. Eligible supervisors seniority assignments to a vacation relief (VR) SA shall be assigned as follows:
- (a) For the purposes of SA, all vacation relief SAs will be considered second watch.
 - (b) The most senior supervisor will be permitted to select the vacation slots of the supervisor's choosing for the duration of the SA period. The second most senior person will be permitted to select vacation slots from those remaining, etc.

- (c) In the event a vacation is canceled, the SA VR supervisor will replace the supervisor who is substituted for the original occupant.
 - (d) In the event a cancellation is not filled or a vacation slot is not available, the SA VR supervisor will be assigned at management's discretion until the supervisor's next scheduled vacation coverage.
- (11) Eligible supervisors may SA on any number of SAs.
- (12) Upon request from the supervisory representative, the institution may establish a walk-up SA process. If established any disputes regarding this process must be resolved at the local level.
- b. October
- (1) Beginning the first Monday of October, the Personnel Assignment Office shall have up to twenty-one (21) calendar days to determine the supervisor's placement into the SA of their selection.
- c. November
- (1) No later than the first Monday of November, the Personnel Assignment Office shall publish the listing of supervisors who were successful in their SA. Time period for qualifications for SAs begins as specified in subsection B.1.d.
 - (2) At the time of publishing, a thirty (30) day window will begin to allow for error correction. Supervisors who feel they were placed into a SA in error will have fourteen (14) calendar days to dispute any errors. Management must respond within ten (10) calendar days in writing to accomplish any adjustments necessary.
 - (3) The Personnel Assignment Office shall publish movement sheet(s) reflecting assignment changes. The assignment changes may occur as a single process or as locally agreed, may be phased-in by watch, based upon the following schedule:

- (a) Second Watch: Published on the third Monday of December with an effective date of fourteen (14) calendar days from publication.
- (b) Third Watch: Published on the fourth Monday of December with an effective date of fourteen (14) calendar days from publication.
- (c) First Watch: Published on the first Monday of January with an effective date of fourteen (14) calendar days from publication. Supervisors successful in SA process to a SA must meet qualifications as specified in subsection B.1.d.

D. Job Compatibility

1. In the event that an Lieutenant or Sergeant does not demonstrate that he/she possesses the knowledge, skills, aptitude, or ability to perform at an acceptable standard in the SA to which the supervisor has SA to his/her immediate supervisor must develop a detailed training plan to insure that the supervisor in question has the necessary training to perform his/her duties at an acceptable standard. In the event the supervisor is still unable to perform his/her job at an acceptable standard, a job change memorandum documenting the reasons for reassignment and what training steps have been taken to assist the supervisor in achieving an acceptable job performance, will be prepared by the immediate supervisor and attached to a job change request.

This document must be approved by the supervisor's second line supervisor and section manager prior to being forwarded to the Personnel Assignment Office. The approved job change memorandum shall be maintained by the Personnel Assignment Lieutenant and filed in accordance with existing procedures regarding the archiving of all other job change requests and the supervisor shall be provided a copy of the job change memorandum. Management may then reassign the supervisor as follows:

- a. The reassignment must be completed within one hundred twenty (120) days of the date the supervisor assumed assignment to the post. The time a supervisor is absent from the post is not counted toward the one hundred twenty (120) days.
- b. In the event of a Sergeant or Lieutenant is removed from a SA as a result of job incompatibility, will endeavor to placed the effected Supervisor in an assignment with the same RDO's, and will be placed in a position with

What Does
priority mean?

-substantially similar start/stop times. The effected supervisor will get priority in the continuous SA process.

- c. If the supervisor disagrees with the reasons for the removal from the SA, the supervisor can grieve the change, within twenty-one (21) calendar days of notification, directly to the Appointing Authority. This excluded grievance must be heard, and a written response provided, by the Appointing Authority within fourteen (14) calendar days. The filing of an excluded grievance shall not postpone any such removal.
- d. This section does NOT apply to those supervisors subject to adverse action or substandard performance appraisals.

E. Continuous SA Process

1. Statement of Purpose

The Continuous SA Process is to allow supervisors to continue to fill vacant SA's, by seniority, once the initial process has been implemented.

2. Implementation

- a. Vacant SAs will be posted on the first Monday of each month. Any eligible supervisor will be allowed to SA including those already in a SA.
- b. All assignment for those who were successful in achieving an available SA, the results will be posted by the fourth Monday of each month. All job changes will have an effective date of not more than fourteen (14) calendar days from the date of the posting results.
- c. This posting and SA "window" will be a minimum of ten (10) calendar days, with no SAs being accepted after the close of business on the second Friday after the initial posting.
- d. Subsequent to the initial SA, an otherwise eligible supervisor may participate in the continuous SA process up to five times during the SA period. SAs due to deactivations or changes to a post's RDO's or start/stop times shall not count towards this cap.

SAs due to removal for cause, job compatibility, performance evaluations or adverse actions shall only be counted against the cap for a maximum of two SAs.

F. Conditional SAs

The Conditional SA Process will be the process in which SAs are filled on a temporary basis. Once it is determined that a SA could be temporarily vacant for more than thirty (30) calendar days, the SA will be posted for a "conditional SA". The conditional SA would only be in effect until the original SA returns to assume the SA within the following time frames. A supervisor displaced from a conditional SA post may participate in the continuous SA process, or will be assigned at management's discretion without regard to watch, RDOs, or start/stop times:

1. All vacancies with the exception of Military Leave:

These supervisors would be subject to a one (1) year time limitation before the conditional status of the post expires. The supervisor in the job could remain in said post.

2. Military Leave:

In the event a supervisor is ordered to active military duty, these supervisors would be subject to length of the SA period before the conditional status expires. The supervisor in the job could remain in said post.

G. Re-evaluation

On or about June 30, 2005 and no later than July 31, 2005, the YACA DSL will convene a committee consisting of Supervisory Representatives and Management to discuss and evaluate this procedure and the parameters established for the Continuous and Conditional SA processes as defined in sections E and F. The Committee may make recommendations for refinements in this procedure to the DSL.

H. Maintenance

After the initial SAs have been made, the following steps will be adhered to regarding maintenance of the process:

1. If a SA becomes vacant, the SA will be filled through the continuous SA process. In the event it becomes necessary to alter a SA position, Management will discuss these changes in the SA with the Supervisor Representatives before the change takes effect.
2. In the event of a Sergeant or Lieutenant is displaced from a SA as a result of a deactivation, will endeavor to place the effected Supervisor in an assignment with the same RDO's, and will be placed in a position with

substantially similar start/stop times.

3. Upon activation, all activated posts will be subject to subsection A. METHODS, of this procedure. Newly designated SAs will be subject to the continuous SA process
4. Upon written request of a supervisor to vacate a SA management may, at its discretion, approve the supervisor's movement to a management position. Such movement will be without regard to watch, RDOs or start/stop times.
5. An supervisor shall be permitted to be reassigned to the same SA. Should the supervisor be successful in their SA attempt, the supervisor will be subject to all provisions of this procedure as if assigned for the first time.
6. Supervisors shall not be permitted to remain in any SA in a high stress area, commensurate with the provisions outlined in DOM Section 33010.30.2, unless exempted by the Appointing Authority. The supervisor may be reassigned to a SA in a high stress area after one (1) year in a non high stress assignment.
7. If after the SA process has completed the RDOs and start/stop times attached to a post are significantly changed, the affected supervisor may choose to remain in the post; and/or participate in the continuous SA process.
8. An supervisor may not be removed from a SA based upon the issuance of a LOI.
9. An supervisor may be temporarily removed from a SA pending a personnel investigation/EEO investigation, but every effort will be made to placed the effected supervisor in an assignment with the same RDO's, and will be placed in a position with substantially similar start/stop times.. Once the investigation has been concluded and if the charges have not been substantiated, the employees will be returned to their SA.
10. Any SA not assigned during the SA period by an eligible supervisor shall temporarily revert to management, and be subject to the continuous SA process.

Upon completion of the probationary period or one year in a current limited term assignment, an otherwise eligible employee, may participate in the SA continuous SA process.

12. Unless otherwise allowed by this procedure, once a supervisor has

successfully been assigned to a SA, the supervisor may only be moved involuntarily for cause. As used in this context, cause is NOT interpreted as adverse in nature or substandard for purposes of a performance appraisal. The supervisor must document the specific reasons for removing the supervisor from the SA and provide a copy to the supervisor. Management will endeavor to place the effected supervisor in an assignment with the same RDO's, and will be placed in a position with—substantially similar start/stop times. The vacated SA will be subject to the continuous SA process

If the supervisor disagrees with the reasons for the removal from the SA, the supervisor can grieve the change, within twenty-one (21) calendar days of notification, directly to the Appointing Authority. This grievance must be heard, and a written response provided, by the Appointing Authority within fourteen (14) calendar days. The grievance shall not postpone any such removal for cause.

13. If a supervisor is to be removed from a SA, as a result of an adverse action, the removal will be upon the effective date of the adverse action related to job performance (upon the conclusion of the *Skelly* hearing process and/or time frames associated with that process). Such movement will be to the same watch, without regard to RDOs or start/stop times. The supervisor will not be eligible to participate in the SA process for one (1) year period. The vacated SA will be subject to the continuous SA process. The Appointing Authority may exclude the supervisor from the SA to a specific assignment area for the remainder of the SA period and subsequent SA period.
14. In reference to subsection B.1.c., a supervisor may be removed from the SA upon receipt of the final copy of a substandard performance evaluation. Such movement will be to a post with substantially similar start/stop times. The vacated SA will revert to the continuous SA process. The supervisor will not be permitted to participate in the SA process for a one (1) year period.

I. Disputes

All disputes concerning SA issues unresolved at the local level shall be directed to a Committee for resolution, except those sections that have a dispute resolutions process already outlined in the procedure, this will be the final level of review. This Committee shall be comprised of the YACA DSL, Managers appointed by the Director of Corrections (not to exceed (3)) and the respective supervisory representatives and/or the grievant (not to exceed (3)). This committee will meet upon written request to the DSL by either management or the supervisory representative/grievant, within thirty (30) days of the request to the DSL. All disputes will be resolved by DSL.

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