

May 2, 2000

Citizens of Snohomish County

The Performance Audit Division completed their review on Corrections Overtime (LEJ01-0001-1999).

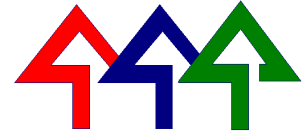
The Performance Audit Committee Authorizes the issuance of the Correction Overtime as reported by the Performance Audit Division as complying with the Performance Audit Committee report issuance process.

This report is intended as information for department managers and elected officials, and it serves to disseminate information to the public as a reporting tool to help citizens assess government operations. This report is a matter of public record and its distribution is not limited.

Sincerely,

Bob Terwilliger
Chairman
Performance Audit Committee

CORRECTIONS OVERTIME
LEJ01-0001-1999



Snohomish County
Performance Audit Division

Final Report

Issued to:

PERFORMANCE AUDIT COMMITTEE

April 27, 2000

Issued By:

Performance Audit Division

April 27, 2000

Performance Audit Committee Members:

This report presents the results of our audit on Corrections Department overtime (policies, budgeting and assignment practices). The primary purpose of the project, as documented in the approved work plan, was to investigate causes for the rapidly increasing rate of overtime and the impact overtime policy has on Corrections' personnel.

Our analysis required the development of a comprehensive baseline-staffing model that considers personnel requirements as defined by union agreement; available hours to meet mission requirements based on generally accepted jail management guidelines. Security and safety issues are the main considerations in determining numbers of Corrections Officers needed to monitor inmates. Due to the 24-hour, 7-day-per-week requirements, there is little discretionary decision-making in determining proper staffing levels.

Decisions on overtime assignment (hours and for what activities) are more discretionary as overtime is used in meeting training, administration, and other non-inmate supervision tasks. Due to mission staffing hour shortages, and increases in inmate population, overtime, including mandatory overtime, increased from 7,497 hours in 1993 to over 38,750 hours in 1998.

We found data on overtime has been collected routinely, however analysis of collected data is not being used as an analytical basis for budgeting, position needs and overtime costs. We also found management practices for authorizing overtime could be improved through closer scrutiny of overtime request and approval documents.

Through improved data collection, reporting and staffing model development, there is potential for considerable cost savings in overtime and total budgeted labor costs for the Department. We believe there is a need to reduce the mandatory minimal hour levels (per shift) which may help address the added stress and potential health and safety hazards that high levels of overtime can promote.

We wish to acknowledge the efforts of Director Andrea Bynum and her staff, despite their workload pressures in providing data and access to records in support of this project. Their commitment to developing a factual picture of their overtime situation seemed to motivate them to make the extra effort.

Reviews such as these help develop new tools and are important in helping county managers address the ongoing challenges of law and justice management. The project audit team was led by Martin T. Standel and included Steve Torrence.

Dean L. Ritchhart
Performance Audit Manager



Executive Summary

BACKGROUND

During their September 3, 1999 regular meeting, the Performance Audit Committee concurred with the Performance Auditor's risk assessment and authorized review of Corrections' overtime. The committee also approved overtime reviews for the Sheriff Office and Public Works.

Corrections was selected for the first review partially based on the State Auditor's September 2, 1999 Management Letter that stated:

"During the last four audits, we [State Auditor] noted that the Corrections Department staff was allowed to accrue Holiday Leave time over the contract limit of 80 hours per employee. We also understand that this was allowed to occur due to extenuating circumstances with staffing. However, at December 31, 1998, we found 24 employees who carried over an excess of 1,166 hours in total to January 1999. This excess represented 941 (1997), 687 (1996) and 312 (1995) hours at years-ended. "

The September 2, 1999 Management Letter goes on to note the Department Director, Andrea Bynum, in a April 30, 1999 memorandum..."required all department staff to take the necessary Holiday time and reduce their leave balances to the maximum, by year-end 1999." The State Auditor concurred with the Director's efforts noting that..."this excess accrual represents a growing liability for the County."

The Corrections Department like all regional county jails has traditionally incurred a significant overtime amount. The Law & Justice Survey (Performance Auditor's Division - June 1999) figures indicated Snohomish County had the highest level of overtime as compared to base budgeted salaries of the five largest Washington counties. However, the amount of overtime increased dramatically between 1993 and 1999. While this study's scope was limited to the years 1996 to 1999, our initial risk analysis looked at the period between 1993 and 1998. Corrections' overtime costs increased from \$181,000 in 1993 to over \$1,037,000 in 1998, an increase of over 472 percent. Overtime increased from \$708,000 in 1996 to a level of over \$1.4 million in 1999, an increase of over 197 percent during that period.

The Performance Audit Division's authority to review a specific area is after approval of submitted projects by the Performance Audit Committee. Upon approval, each project is incorporated into the annual audit plan. More detailed risk assessments are performed, along with development of a detailed audit plan, scope and methodology. The goal is to develop audit plans that ultimately answer questions identified by the Performance Audit Committee.



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Project questions for which the Performance Audit Committee requested answers are as follows:

- On what staffing standards is the study based?
- To what extent are overtime practices determined by the collective bargaining agreement?
- Have health and safety incidents increased in Corrections due to overtime?
- Is overtime being distributed equally?
- Is overtime the most cost-effective method for meeting the staffing needs of the County?

The audit objectives were to determine:

- If overtime policies are documented and consistently applied.
- To what extent is overtime needed to provide appropriate staffing levels?
- To what extent is overtime needed to provide adequate security standards?
- To what extent is overtime used for meeting, training, sick leave and other related matters?
- Alternative strategies to overtime planning and management.

APPROACH

Our review first looked at the policies and procedures used by the Corrections Department as well as the County agreement with Teamsters Local Union No. 763 as they pertain to granting and authorizing overtime. After review and investigation, it was deemed the next step should be to develop staffing standards on which the study would be based.

After collecting and analyzing Corrections' raw data, we determined available and required hours necessary to meet their 24-hour, 7-day-a-week (24/7) operation. Using these two databases, we built a model that computed minimum hours, required and available. Combining these enabled us to compute the number of hours that were considered surplus or shortage.

Differences between computed hours/costs were identified and analyzed. One difference was the amount of overtime expensed was not used to meet minimum staffing requirements. That amount was further analyzed to compute the amount that could be classified as controllable and uncontrollable overtime.

Our review continued by looking at the department's sick time accrued and used, along with the number of Loss and Injury (L&I) claims filed over the review period. Finally, we computed the amount of Holiday Leave time accrued and used to see if the ending balances were decreasing per the State Auditor's recommendation.



Findings

STAFFING

In each year we reviewed, the Corrections Department submitted its budget request asking for staff increases for prison inmate supervision (Detention Division). County management reviews these requests in conjunction with available and or projected funds. After considering all requests and studying all available data, they either approved or denied all or part of staffing increases.

The baseline-staffing model we developed computes required hours. (Required hours is defined, as those hours needed to fulfill Corrections' 24/7-mission.) Our analysis of hours necessary to meet mission requirements is based on the actual Detention FTE count, along with actual average hours used for sick, vacation, training, holidays and other. The net result showed a shortage of 114,249 mission hours for 1996 through 1999.

By combining the baseline staffing model (mission hours) with actual FTE (available hours) and actual, average straight, and premium pay by year, we projected the number of overtime hours needed to meet mission requirements with costs broken down by straight and premium pay. Those hours translate to a shortage in available hours which required related overtime costs of over \$3 million.

These expenditures could have been used to hire additional Corrections Officers or pay the expense of having the existing Officers work overtime. Our base line staffing model identified a shortage of 114,249 hours when comparing mission with available hours. If on average each FTE contributes 1,718 hours, this shortage equates to 16.6 FTE, however over the period this shortage has ranged between 17 to 20 FTEs.

Of this \$3 million overtime, straight time equivalent was \$2 million. The difference (\$1 million) was the overtime-premium pay. One time costs associated with training and equipping one new Corrections Officer is approximately \$6,000. Therefore after considering new hire costs, net cash savings to the County would have been in excess of \$900,000 if FTE staffing levels were increased. This new hire cost is projected to increase, as Corrections plans to implement 8 weeks of field officer training vs. the 2 weeks provided in the past. If this increase training regiment is adopted, new hire costs will increase to over \$11 thousand per new employee.

Between 1996 and 1999, our staffing model computed a base line staff increase of 17 to 20 Corrections Officers over levels approved. County management chose to increase



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supplemental budget requests for overtime rather than add new positions. This had the fiscal impact of \$900,000 being expended for overtime-premium pay.

INTERNAL CONTROL CONCERNS

We also performed a standard internal control test for employee and supervisor signatures on employee timesheets. Our statistical sample provides a confidence level of over 95 percent with a confidence interval of less than 10 percent. Based on our sample, we projected employees did not sign 39 percent and supervisors did not sign 5 percent of their timesheets. To insure a better internal control process, we recommend Department policy includes provisions requiring employee and supervisor signatures.

OVERTIME HOUR ANALYSIS

Our sample indicated the vast majority of overtime requests adhered to County policy. Only one hundredth of one percent (.11%) of all overtime claims (identified using statistical sampling techniques) could be classified as not adhering to County policy of attending personal meetings while on overtime pay. We consider this amount to be statistically insignificant and this problem not systemic, but an isolated incident.

During our testing, we noted several overtime requests, (stating a reason) which prompted our concerns regarding the process used by supervisors to authorize overtime. We understand the need to meet mission requirement hours. However, we feel this current environment may create an atmosphere where overtime authorizations are being routinely given by supervisors and thus diminish the internal control approval process. That type of environment may cause opportunities to circumvent procedures.

Lastly, we noticed data identified on overtime request forms had not been collected, stored or analyzed to provide meaningful management reports.

HEALTH AND SAFETY CONCERNS

One concern pertaining to high levels of mandatory overtime is its impact on the health and safety of employees. During 1996 - 1999, average sick time taken by Detention staff increased 34% from a low of 77 hours in 1997 to a high of 111 hours during 1999. It appears some of this increase may be attributed to staff members avoiding the demands of mandatory overtime and 16-hour workdays by claiming sick time or additional stress and physical fatigue may be driving the increase.



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Recommendations

COMMUNICATIONS

Corrections and County management need to expand and augment their communications process to provide the best available data. Per discussions with County management, they have not been adverse to providing necessary staffing to meet Corrections' mission requirements, but indicate they need better information to help in the decision making process. Corrections needs to expand and develop its processes and information gathering techniques in order to provide analysis so County management has the tools and data available to make meaningful and fiscally sound decisions.

Recommendation No. 1: We recommend Corrections consider establishing a new formalized scheduling process, and expand current data gathering techniques. Correction managers could better manage the workload and Corrections staffing by collecting and analyzing more information. Through the use of a formal scheduling process, Corrections could expand their ability to monitor and measure staffing needs, patterns and requirements.

Recommendation No. 2: We recommend County and Corrections management in partnership review the workload needs for the Corrections Department. Then through the use of additional Corrections staffing and overtime data, they could improve scheduling practices and implement more cost-effective staff and overtime scheduling changes.

HEALTH AND SAFETY

Even with the addition of 11 Corrections Officers during 2000, we project Detention Division overtime may exceed \$725 thousand dollars. While this helps the Division's current staffing problems, most improvements will not be felt until later in the year. In the interim, trends indicate higher usage of sick time along with a potential of increased Labor and Industry claims. The major condition impacting increased usage of sick time has been the need to meet mission requirements through the use of voluntary or mandatory overtime.

Recommendation No. 3: We recommend Corrections in conjunction with Local Union No. 763 continue their dialog and relationship that allows maximum overtime flexibility regarding the length of overtime performed.



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Recommendation No. 4: We recommend Corrections in conjunction with Local Union No. 763 continue their dialog to modify Article V. 5.4.4 regarding overtime and extra work to allow more equal distribution of required overtime hours among all Corrections staff.

Recommendation No. 5: We recommend Corrections continue and expand the hiring of part-time Corrections Officers for their own Department, and continue discussion with the union to foster this process.

Recommendation No. 6: We recommend additional Corrections Officers be hired, in addition to the 11 slated for 2000. While our baseline staffing model suggests this number should approximate 10 additional FTE's, we feel the department should verify our analysis prior to any action using data from the expanded scheduling process.

INTERNAL CONTROLS

Our review identified areas where internal controls need to be updated and modified to assure they adhere to County and Department policies and procedures.

Recommendation No. 7: We recommend employees and supervisors fill out completely and sign timesheets and Overtime/Extra Pay Authorizations. Our review showed that up to 39 percent of employees and 5 percent of supervisors did not sign employee timesheets. Our review also showed on several occasions, overtime forms were not filled out or signed by the supervisor.

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Introduction

As an ongoing process, the Performance Audit Division conducts risk assessments to identify and prioritize potential areas for review, which if approved, are subsequently incorporated in our annual audit plan. During April 1999, the Performance Audit Division conducted a risk assessment analysis on County overtime. This analysis was limited to quantifying the departments' overtime amount and growth rate for the 5-year period 1993 – 1998.

Three departments (Corrections, Sheriff and Public Works) collectively have incurred the largest County overtime expense amount. Since 1993, the combined actual overtime for these three departments increased over 400% from \$1.1 million (1993) to \$5.1 million (1998) with an annual growth rate in excess of 35%. While initially the trend for 2000 showed a slowing of this growth rate, the level of overtime expenditures was sufficiently high to merit detailed review and investigation.

During their September 3, 1999 regular meeting, the Performance Audit Committee concurred with the Performance Auditor's risk assessment and authorized reviews of all three departments with the highest priority being the Corrections Department.

CORRECTIONS OVERTIME – HIGH PRIORITY

Corrections was selected for the first review partially based on the State Auditor's September 2, 1999 Management Letter that stated:

“During the last four audits, we [State Auditor] noted that the Corrections Department staff was allowed to accrue Holiday Leave time over the contract limit of 80 hours per employee. We also understand that this was allowed to occur due to extenuating circumstances with staffing. However, at December 31, 1998, we found 24 employees who carried over an excess of 1,166 hours in total to January 1999. This excess represented 941 (1997), 687 (1996) and 312 (1995) hours at years-ended. “

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ORGANIZATIONAL BACKGROUND



On September 15, 1982, the Snohomish County Council adopted Ordinance No. 82-097 that created a Department of Corrections reporting to the County Executive. Prior to that time, jail operations were a bureau under the Sheriff's Department.

Under the provisions of the City and County Act, RCW 70.48, the Snohomish County Corrections Department provided jail services for the City of Everett, the Tulalip and Sauk Suiattle tribes and other County municipalities. The cities of Lynnwood and Marysville operate their own detention facilities. These facilities are used to hold prisoners who violate their city's municipal codes. Current state law limits the detention time to the first 30 days. Any jail time beyond 30 days must be served at the County jail.

Jail operations standards were governed under Chapter 289 of the Washington Administrative Code (WAC). However, in 1988, the State Legislature directed counties and cities to adopt their own standards of jail operations. Title 5 of the Snohomish County Code (SCC) replaced the WAC standards and now guides the operations noted below:

Administration	Safety	Operations
Security	Prisoner Conduct	Health and Welfare
Service and Programs	Communications	Work Release
Special Detention	Home Detention	

The last major revision of Jail Operations Standards in 1995 called for an inspection at least every 18 months and established Jail and Work Release facility maximum capacities.

In 1997, the Corrections Department was given the additional responsibility of managing Assigned Counsel Services. During 1998, the responsibility for providing courthouse security at Superior and District Courts was transferred from Corrections to the Department of Facilities Management.

The County jail's history traces its origin back to 1966 when the County Courthouse was built. Initially, the county's jail facility was located on the 5th floor of the new Courthouse. At that time, this floor housed male and female prisoners and certain juvenile offenders. In 1975, the female prisoners were moved to a different section in the Courthouse and the vacated space was used to establish a 15-bed work release program.

A pattern of severe overcrowding developed in the late 1970's and due to this, in 1979, the County was sued by Evergreen Legal Services. At that time, the average daily population had reached 180. The County and Evergreen Legal Services entered a consent decree setting a maximum capacity of 116 until a new facility could be constructed.



Since 1977, The City and County Jails Act called for upgrading physical plant and custodial care standards for the state's jail system. In 1980, the County and Department of Corrections were involved in planning a new jail and work release facility.

During that period, Snohomish County received \$16 million to commence a two-phase program. Phase I dealt with remodeling a building into a 60 bed work release facility. Phase II dealt with constructing a new 11-story jail facility with the capacity to house 277 prisoners. The current facility was completed in May 1986.

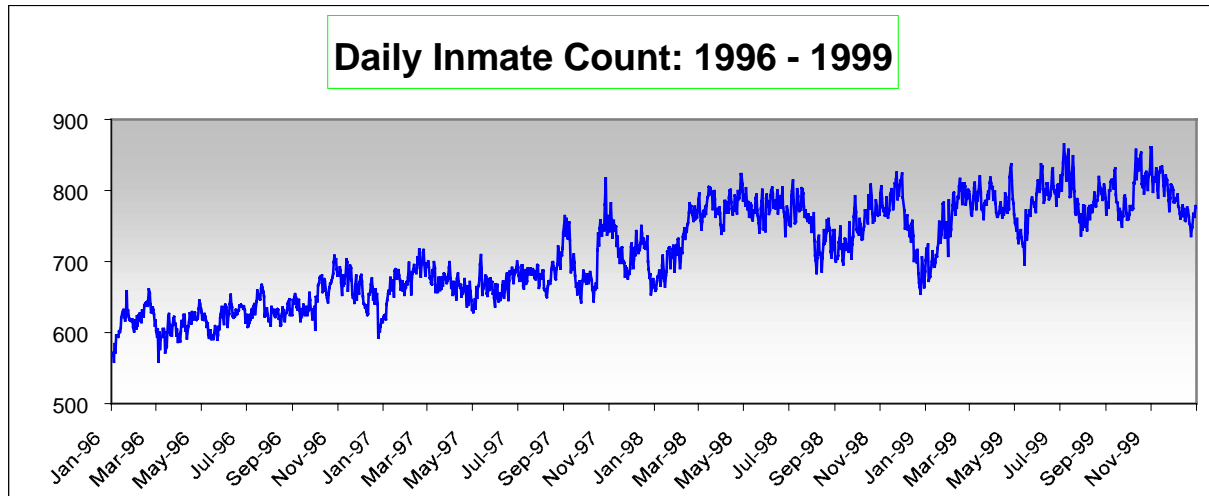
Using the latest technology and jail management theory, the new facility was designed for "direct supervision." This allowed the placement of corrections/custody (corrections) officers in the same housing unit with the prisoners who were under their care and supervision. As a result, disturbances and property damage incidences decreased. Over the years, peer groups have recognized this facility, and numerous jail administrators have requested and were granted tours.

Over time, the pattern of jail overcrowding resumed. Between 1991 – 1994, the facility increased its original 277-bed capacity to 477 by double bunking the majority of the cells. Using this same approach, the work release facility increased from 60 to 72 beds. However, due to population increases and new legislative demands, this increase in capacity was still not sufficient to fulfill County needs. During 1996, Snohomish County opened a 50-bed work camp at the County Fairgrounds. Finally, to further address overcrowded conditions, the County converted an existing building to a 60-bed special-detention facility in September 1997. This brought capacity to its current level of 659.

Beginning in 1996, the County signed contracts with four Eastern Washington counties. These contracts addressed Corrections' needs to house prisoners elsewhere. Today, prisoners housed out of County average more than 70. On a daily basis, the total number of inmates reached a high of 95 during 1999.

Snohomish County's Corrections Department currently houses an average daily population (ADP) of over 708 inmates with 77 additional inmates housed outside the County. However, on any given day, inmate population can exceed 850 of which 95 are housed outside the County. Corrections' current over-capacity concerns are being addressed in the plans for a new Regional Justice Center presently under review.

Exhibit 1 - Daily Inmate Count



From 1996 to 1999, the Department of Corrections expended \$67.1 million. Of this amount, \$45.3 million was for personnel costs, which represents 68% of the expenditures. Overtime expenses during 1996 to 1999 were over \$3.9 million, or 8.7% of total personnel costs.

Exhibit 2 - Department of Corrections Expenditures

Expenditures	Dollars (\$000)					Total 1996 - 1999	Growth % 1996 - 1999
	Actual		Adopted				
	1996	1997	1998	1999			
Salaries	8,263	8,473	9,018	10,070	35,824		
Personnel Benefits	2,209	2,038	2,437	2,822	9,506		
Supplies	867	1,157	1,326	1,879	5,229		
Other Services & Charges	1,195	4,193	3,564	5,384	14,336		
Interfund Services	-	-	43	4	47		
Capital Outlays	-	491	18	88	597		
Interfund Payments for Services	113	193	157	1,063	1,526		
Total Expenditures	\$12,647	\$16,545	\$16,563	\$21,310	\$ 67,065	168%	
Staffing - FTE	209	218	217	226		108%	
Overtime Dollars	\$ 708	\$ 718	\$ 1,038	\$ 1,486	\$ 3,950	210%	



DEPARTMENT OVERTIME

The Corrections Department like all regional county jails has traditionally incurred a significant overtime amount. The Law & Justice Survey (Performance Auditor's Division - June 1999) figures indicated Snohomish County had the highest level of overtime as compared to base budgeted salaries of the five largest Washington counties. However, the amount of overtime increased dramatically between 1993 and 1999. While this study's scope was limited to the years 1996 to 1999, our initial risk analysis looked at the period between 1993 and 1998. Corrections' overtime costs increased from \$181,000 in 1993 to over \$1,037,000 in 1998, an increase of over 472 percent. Overtime increased from \$708,000 in 1996 to a level of over \$1.4 million in 1999, an increase of over 197 percent during that period. The following Exhibit identifies overtime usage by divisions:

Exhibit 3 - Overtime Dollars and Percentages by Division

	Dollars (\$000)							
	19 96		19 97		19 98		19 99	
	Dollars	Percent	Dollars	Percent	Dollars	Percent	Dollars	Percent
Detention	644	91.0%	639	89.0%	946	91.1%	1,356	91.3%
Admin/Maint	45	6.4%	53	7.4%	64	6.2%	94	6.3%
Food Service	1	0.1%	2	0.3%	4	0.4%	6	0.4%
Prisoner Service	2	0.2%	5	0.7%	9	0.9%	8	0.5%
Medical	12	1.7%	14	1.9%	14	1.3%	20	1.3%
Facility Security	4	0.6%	2	0.3%	-	0.0%	-	0.0%
Court Services	-	0.0%	3	0.4%	1	0.1%	1	0.1%
Total	708	100.0%	718	100.0%	1,038	100.0%	1,485	100.0%

Full-time equivalent (FTE) staffing also increased during this period. Staffing increased from 209 FTE's in 1996 to 226 FTE's in 1999, or an increase of 8%. The following chart identifies FTE staffing by Division within Corrections between 1996 and 1999.

Exhibit 4 - Corrections FTE's by Division

FTE by Division	1996	1997	1998	1999
Detention	155	165	165	170
Admin/Maintenance	25	24	24	25
Food Services	2	2	2	2
Prisoner Services	9	10	9	9
Medical	10	11	12	15
Security Officer	3	2	-	-
Court Services	5	5	5	5
Totals	209	218	217	226



The majority of all staffing is covered by contract agreement. Teamster Local Union No. 763 (Detention) covers the largest group. Labor negotiations between the Snohomish County Corrections Department and Teamster Local Union No. 763 had a significant impact on overtime issues in the Corrections Department. The agreement between the County and local union addressed basically all aspects of overtime. The areas impacted by this agreement include Corrections Custody, Officers and Support Services.

While the current agreement ends on December 31, 2000, Article V Section 5.0 (Hours of Work, Overtime, Callback and Court Time) covers the following overtime aspects between the union and the County:

5.1	Hours of Work	5.1.1	Temporary Schedule Change
5.2	Meal Breaks	5.3	Rest Breaks
5.4	Overtime	5.4.3	Compensatory Time
5.4.4.1	Shift Extension	5.5	Overtime Sign-up List
5.6	Call Back	5.7	On Call Pay
5.8	Court Time	5.9	Required Meetings/Training
5.10	Daylight Savings Adjustment	5.11	Report Pay

HOURS OF WORK

Seniority is used to select shifts, days off and vacations. Each employee works a 40-hour week of 5 eight-hour days. A sign-up sheet based on seniority allocates overtime. If there are not enough volunteers who sign-up to meet overtime needs, mandatory overtime is assigned by reverse seniority.

Under Snohomish County personal rules for 24-hour/7-days-a-week employees, they can accumulate unused vacation time and holiday compensatory time. However, due to mission requirements (24/7), Corrections Department staff were, per the State Auditor, allowed to accrue Holiday Leave time over the contract limit of 80 hours per employee. The State Auditor..."found 24 employees who carried over an excess of 1,166 hours in total to January 1999...", and concurred with Director Bynum's efforts to reduce staff excess time (over 80 hours) by year-end 1999.

The reasons for overtime range from training needs to meeting basic mission requirements. Our analysis indicated the primary reason for overtime was to meet mission-staffing requirements.



Scope, Approach and Methodology

The following section outlines the process by which the Performance Audit Division conducted its review of Corrections overtime.

Authority to review a specific area is through approval of submitted projects by the Performance Audit Committee. Upon approval, the project is incorporated into the annual audit plan. More detailed risk assessments are performed, along with development of a detailed audit plan, scope and methodology. The goal is to develop a plan that ultimately answers questions identified by the Performance Audit Committee with its project approval.

QUESTIONS

- On what staffing standards is the study based?
- To what extent are overtime practices determined by the collective bargaining agreement?
- Have health and safety incidents increased in Corrections due to overtime?
- Is overtime being distributed equally?
- Is overtime the most cost-effective method for meeting the staffing needs of the County?

RISK ASSESSMENT

Risk Assessment is an audit responsibility and is the act or practice of identifying the risk drivers and their magnitude. It requires the auditor to review and identify risks that may adversely affect a department or organization. The risk assessment process requires a disciplined approach and enhances the audit process by identifying, analyzing, and assessing the likelihood of risk occurrence and consequences; estimating an organization's assessed risk exposure and possible impacts; and determining an acceptable risk level. As a component of pre-audit analysis, risk assessment uses previous audits and planning assessments to rank risk impact of a department or organization.

Our pre-project risk assessment of Corrections overtime management was deemed high.

Between 1993 and 1998:

- Corrections' overtime hours increased 417%
- Corrections' overtime dollars increased 472%



- Corrections' staffing increased 34%
- Current overtime levels perhaps caused health and safety issues
- The union contract influenced Corrections' actions.

The average overtime per FTE was also reviewed to identify which Divisions within Corrections had the highest risk. The following chart identifies overtime per FTE between 1996 and 1999.

Exhibit 5 - Average Overtime per FTE

Overtime per FTE	1996	1997	1998	1999
Detention	\$ 4,150	\$ 3,875	\$ 5,732	\$ 7,978
Admin/Maintenance	1,830	2,214	2,644	3,749
Cooks	280	1,129	1,805	2,816
Prisoner Services	195	471	947	924
Medical	1,199	1,309	1,294	1,392
Security Officer	1,483	989	-	-
Court Services	-	568	215	195
Department Average	\$ 3,386	\$ 3,291	\$ 4,790	\$ 6,585

AUDIT OBJECTIVES & SCOPE

Audit objectives were to determine:

- If overtime policies are documented and consistently applied.
- To what extent is overtime needed to provide appropriate staffing levels?
- To what extent is overtime needed to provide adequate security standards?
- To what extent is overtime used for meeting, training, sick leave and other related matters?
- Alternative strategies to overtime planning and management.

The scope of the audit included the period between January 1, 1996 to December 31, 1999.

AUDITING STANDARDS, AUTHORITY

Snohomish County Code (Chapter 2.700.020) states all performance audits and or reviews are conducted in accordance with government auditing standards. Per Division policy, this review adhered to Government Accounting Office Standards concerning procedures to develop findings and for communicating results with responsible managers and officials.

According to GAO Standards, a finding or set of findings is complete to the extent that the objectives are satisfied and the report clearly relates those objectives to the finding elements.



Unlike a financial audit finding, a review finding is a statement that a condition exists. This may not necessarily imply a problem or that some corrective action must be implemented.

We conducted our review in accordance with generally accepted auditing standards and the Government Auditing Standards issued by the Comptroller General of the United States (1994 Revision). Those standards required we plan and perform the review to obtain reasonable assurance the Corrections Department provides the critical financial management and operational controls and oversight.

PUBLIC INFORMATION

This report is intended initially to provide information to the County Executive, County Council, and to Department Directors. All of this report is a matter of public record and distribution should not be limited. **However, confidential information is not public record and shall not be distributed.** Information extracted from this report may also serve as a method to disseminate information to the public as a reporting tool to help citizens assess government operations. All audit division reports are reviewed internally by responsible managers and officials and their formal written responses are incorporated into final reports as both a policy of the Performance Audit Committee and government auditing standards (GAO Standard 7.38).

APPROACH

Our review first looked at the policies and procedures used by the Corrections Department as well as the County agreement with Teamsters Local Union No. 763 as they pertain to granting and authorizing overtime. After review and investigation, it was deemed the next step should be to develop staffing standards on which the study would be based.

First, we developed data to compare growth rates and computed the base line staffing needs to meet Corrections' 24/7 mission. Next, we computed average daily population (ADP) by facility and module within the main jail to validate Correction/Custody (Correction) Officer minimum staffing. This also included the span of supervision necessary to ensure safety and security requirements regarding the ratio of inmates to Corrections Officers. These steps allowed us to compute the number of hours (posts) necessary to fulfil Corrections' mission and provided our staffing standards base line.

After collecting and analyzing Corrections' raw data, we determined available hours necessary to meet the 24/7 operations. Using these two databases, we built a model that computed minimum hours, required and available. Combining these two tables enabled us to compute the number of hours that were considered surplus or shortage. Further, if there was a shortage of staffing hours available, the model computed needed FTE to fill base staffing needs for straight



and overtime costs to meet those shortages. Finally, the model compared the computed costs for straight and overtime pay and compared it to actual hours and dollars expended.

Differences between computed hours/costs were identified and analyzed. One difference was the amount of overtime expended that was not used to meet minimum staffing requirements. That amount was further analyzed to compute the amount that could be classified as controllable and uncontrollable overtime.

Our review continued by looking at the department's sick time accrued and used, along with the number of Loss and Injury (L&I) claims filed over the review period. Finally, we computed the amount of Holiday Leave time accrued and used to see if the ending balances were decreasing per the State Auditor's recommendation.

DETENTION DIVISION

Exhibit 6 - Current Inmate ADP and Capacity

	19 96		19 97		19 98		19 99	
	Capacity	ADP	Capacity	ADP	Capacity	ADP	Capacity	ADP
General Housing II (2-N)	84	92	84	86	84	95	84	95
General Housing III (2-S)	65	64	65	63	65	66	65	70
Intake (3-N)	104	124	104	119	104	120	104	124
Programs Module (3-S)	65	62	65	62	65	69	65	71
4-N	49	44	49	43	49	35	49	29
Females General Housing (4-S)	56	59	56	60	56	73	56	71
5-N	17	19	17	19	17	20	17	18
5-S	37	41	37	37	37	36	37	36
Booking/Medical Beds	-	12	-	13	-	12	-	12
Total Jail	477	517	477	502	477	524	477	526
Jail	477	517	477	502	477	524	477	526
Annex	-	-	60	47	60	56	60	61
Special Detention	72	65	72	67	72	70	72	70
Fairgrounds	50	45	50	51	50	44	50	50
Total Facility	599	628	659	667	659	693	659	707
Contract	-	3	-	48	-	61	-	77
Totals	599	631	659	715	659	754	659	784

Total inmates under Corrections' supervision (ADP) increased by 154 or 24%. However, due to the over-capacity environment, the number of inmates being maintained outside the County increased (ADP) from 3 in 1996 to 77 for 1999 (an increase of 2467%). This leaves an increased facility population (ADP) of 80 or 13%. The cost of housing these inmates outside the County is estimated to exceed \$1.4 million in 1999 with continuing increasing costs during the foreseeable future.



Corrections' inmate population now normally exceeds planned capacity and has forced Corrections to maximum staffing levels. When inmate count exceeds capacity, Corrections staff requirements to meet mission needs becomes somewhat inelastic; an increase of inmates does not directly translate to staffing increases. When ADP consistently exceeds capacity and the inmate mix remains constant, requirements have driven maximum staffing and staffing will not be increased further unless the inmate mix changes or additional facilities become available. (Within individual modules, inmate population can activate staffing increases when the inmate/officer supervision ratio exceeds safety concerns. For example, one Corrections Officer can safely supervise 64 inmates, but an oversight safety rule recommends a second Corrections Officer when module inmate count exceeds 64.)

Driving forces for staffing are the Department's mission, number of inmates, facilities, modules, and staff supervision necessary to support a 24/7 operation. Facilities or modules requiring staffing include all areas previously identified, plus booking, control towers, property, release, reception, transport and general supervision. (Of these additional areas, transport and general supervision operate on a standard 40-hour week and reception is staffed daily by two 8-hour shifts.)

To meet its 1999 inmate supervision mission Corrections provided staffing to cover 333,264 hours. Since 1996, this mission requirement remained fairly constant with primary changes being the addition of the Annex operations and sergeant positions in 1997 and an increase of transport personnel in 1999.

The net result of this analysis allowed a quantification of the staffing needs (in hours) to meet the Department's mission requirements for each year from 1996 – 1999.

Exhibit 7 - Mission Staffing Needs in Hours

	1996	1997	1998	1999
Inmate Modules	93,440	93,440	93,440	93,440
Control Towers	26,280	26,280	26,280	26,280
Booking, Release, Property, Rovers	88,184	88,184	88,184	88,184
Reception	4,160	4,160	4,160	4,160
Transport	24,960	24,960	24,960	33,280
Annex	-	-	14,600	14,600
Fairgrounds	14,600	14,600	14,600	14,600
Work Release	23,360	23,360	23,360	23,360
Detention Manager	2,080	2,080	2,080	2,080
Work Release Counselor/Assistant	8,320	10,400	10,400	10,400
Supervisors	2,080	2,080	2,080	2,080
Sergeants	12,480	14,560	14,560	14,560
Lieutenants	6,240	6,240	6,240	6,240
Total Mission	306,184	310,344	324,944	333,264



Our next step was computing available hours to meet Corrections' mission requirements. This was accomplished by identifying staffing full time equivalents (FTE's) for each year (1996 – 1999) and mission available hours. While hours differ slightly by year based on actual results, available net hours approximate 1,718 per FTE. The following identifies the break out of gross and net hours.

Exhibit 8 - Average Gross and Net Hours

Gross hours:				2,080
Less:	Vacation	(150)		
	Holiday	(96)		
	Sick Leave	(96)		
	Training	(20)		
	Other + or (-)		<u>various</u>	
Net Hours				<u>1,718</u>

During the period 1996 - 1999 the hours available to fulfill Corrections mission requirements were as follows:

Exhibit 9 - Available Hours

	1996	1997	1998	1999
Hours Available to Meet Mission	279,500	292,585	290,662	297,740

During this period, the Corrections Department allowed Corrections Officers to accrue holiday leave time beyond the normal 80 hours. Using this technique and management initiative, the department by authorizing these additional accruals, helped balance the shortage of available hours to meet mission-staffing requirements. In the State Auditor's September Management Letter, they cited..."due to extenuating circumstances...Corrections Department staff has been allowed to accrue Holiday Leave time over the contract limit of 80 hours per employee."

This action, in effect, provided Corrections with added available hours per Corrections Officer, with the implicit understanding that sometime in the future, those hours would have to be paid back. Based on this understanding and with the State Auditor's continued emphasis (the last four audits), the Department has begun earnestly to reduce this outstanding liability.



Exhibit 10 - Detention Division Staffing

	1996	1997	1998	1999
Detention Manager	1	1	1	1
Lieutenant	3	3	3	3
Sergeant	6	7	7	7
Custody/Corrections Officers	104	113	113	118
Control Room Officer	13	12	12	12
Booking Assistant	9	9	9	9
Reception (Corrections Assistant)	1	2	2	2
Alternative Housing Administration	1	1	1	1
Work Release Supervisor	1	1	1	1
Corrections Officers	11	11	11	11
Work Release Counselors	4	4	4	4
Work Release Assistant	1	1	1	1
Total Mission	155	165	165	170

A final step in evaluating the Department's Correction Officer overtime was to identify the amount of overtime that could be classified as either controllable or uncontrollable. We defined controllable as those assignments or task management has discretionary control over. We accomplished this by using statistical sampling techniques. Based on the universe size, we selected a sample size, which would generate a confidence level of 95% with a confidence interval of 10%. We sampled 1998 to 1999; the only two years data was available.

Lastly, we researched and reviewed overtime management practices of other governmental agencies.

Findings

STAFFING

In each year we reviewed, the Corrections Department submitted its budget request asking for staff increases for prison inmate supervision (Detention Division). County management reviews these requests in conjunction with available and or projected funds. After considering all requests and studying all available data, they either approved or denied all or part of staffing increases.



As part of our review, we compared budgeted vs. actual overtime expended. During 1996 to 1999, Corrections overtime budget was \$1.764 million, however actual overtime totaled \$3.950 million. As the table below indicates, during 1996 -1999, in total, the Detention area incurred all excess budget overtime.

Exhibit 11 - Budgeted and Actual Overtime Usage

	Custody	WkRIs	Total Detention	Support Services	Total
1996 - BUDGET	\$ 182,400	\$ 5,348	\$ 187,748	\$ 22,085	\$ 209,833
1996 - ACTUAL	609,672	34,456	644,128	64,284	708,412
1997 - BUDGET	162,000	5,348	167,348	23,085	190,433
1997 - ACTUAL	580,387	58,674	639,061	78,720	717,781
1998 - BUDGET	162,000	5,348	167,348	313,775	481,123
1998 - ACTUAL	888,743	57,098	945,841	91,839	1,037,680
1999 - BUDGET	748,240	59,830	808,070	74,800	882,870
1999 - ACTUAL	1,279,851	76,479	1,356,330	129,220	1,485,550
1996 - 1999 BUDGET	\$ 1,254,640	\$ 75,874	\$ 1,330,514	\$ 433,745	\$ 1,764,259
1996 - 1999 ACTUAL	\$ 3,358,653	\$ 226,707	\$ 3,585,360	\$ 364,063	\$ 3,949,423

The table also indicates of the \$3.949 million overtime dollars expended, \$3.585 million was for Detention. This represents 91% of all Corrections' overtime dollars expended.

The baseline-staffing model we developed computes required hours. (Required hours is defined, as those hours needed to fulfill Corrections' 24/7-mission.) Our analysis of hours necessary to meet mission requirements is based on the actual Detention FTE count, along with actual average hours used for sick, vacation, training, holidays and other. The net result showed a shortage of 114,249 mission hours for 1996 through 1999.

Exhibit 12 - Base Line Mission Staffing Hours "Surplus or Shortage"

	1996	1997	1998	1999	Total
Base Line Mission Staffing Hours	306,184	310,344	324,944	333,264	1,274,736
Available Hours	279,500	292,585	290,662	297,740	1,160,487
Number of Hours over/(shortage)	(26,684)	(17,759)	(34,282)	(35,524)	(114,249)



By combining the baseline staffing model (mission hours) with actual FTE (available hours) and actual, average straight, and premium pay by year, we projected the number of overtime hours needed to meet mission requirements with costs broken down by straight and premium pay. Those hours translate to a shortage in available hours which required related overtime costs of over \$3 million.

These expenditures could have been used to hire additional Corrections Officers or pay the expense of having the existing Officers work overtime. Our base line staffing model identified a shortage of 114,249 hours when comparing mission with available hours. If on average each FTE contributes 1,718 hours, this shortage equates to 16.6 FTE, however over the period this shortage has ranged between 17 to 20 FTEs.

Of this \$3 million overtime, straight time equivalent was \$2 million. The difference (\$1 million) was the overtime-premium pay. One time costs associated with training and equipping one new Corrections Officer is less than \$6,000. Therefore after considering new hire costs, net cash savings to the County would have been in excess of \$900,000 if FTE staffing levels were increased. This new hire cost is projected to increase, as Corrections plans to implement 8 weeks of field officer training vs. the 2 weeks provided in the past. If this increase training regiment is adopted, new hire costs will increase to over \$11 thousand per new employee.

Exhibit 13 - Straight and Premium Time to Meet Base Line Staffing

	1996	1997	1998	1999	Totals
Number of Hours of Projected Overtime	27,054	25,075	35,473	48,244	135,846
Number of Projected Hours not Covered	26,684	17,759	34,282	35,524	114,249
Number of Hours Over/(Shortage)	370	7,316	1,191	12,720	21,597
FTE Count	155	165	165	170	655
Average Wage Rates					
Straight	\$ 15.87	\$ 16.99	\$ 17.78	\$ 18.74	\$ 17.51
Premium	7.94	8.50	8.89	9.37	8.75
Total	\$ 23.81	\$ 25.49	\$ 26.66	\$ 28.11	\$ 26.26
Cost of Overtime Hours					
Straight	\$ 423,546	\$ 301,737	\$ 609,390	\$ 665,809	\$ 2,000,481
Premium	211,773	150,869	304,695	332,904	1,000,241
Total	\$ 635,319	\$ 452,606	\$ 914,085	\$ 998,713	\$ 3,000,722

Detention overtime costs for the period totaled \$3.585 million. The base-line staffing model in the above table identifies that projected costs associated to meeting mission requirements totaled \$3.001 million, thus the model projected that Detentions expended \$584 thousand more



on overtime than that needed to meet direct mission requirements. It is this \$584 thousand of overtime costs that could be classified as controllable or uncontrollable.

Using statistical sampling techniques, we sampled all available overtime records (1998 - 1999). Our sample used a confidence level of 95% with a confidence interval of 10%. To minimize any sample bias, we used a random start and interval number for each year.

Our sample projected that mission requirement hours would total 84 percent and non-mission requirements would total 16 percent of overtime dollars. Non-mission requirements were identified to be for training and meetings.

Exhibit 14 - Reason for Overtime and Percentages

Reason for Overtime	Percent	
Court Transport	.92%	
Meetings	.37%	
Minimum Staffing	71.65%	(Mostly Transportation)
Security/Shakedown	1.41%	
Special Prisoner Transport	.06%	
Training	15.62%	
Workload Extra	9.97%	

Of the total overtime, meetings and Training consumed 15.99%. This percentage when applied to Detention overtime expenditure (\$3.585 million) would equate to \$573 thousand. Our statistical sample result validated the projections of the base line staffing model.

Between 1996 and 1999, our staffing model computed a base line staff increase of 17 to 20 Corrections Officers over levels approved. County management chose to increase supplemental budget requests for overtime rather than add new positions. This had the fiscal impact of \$900,000 being expended for overtime pay premium.

INTERNAL CONTROL CONCERNS

We also performed a standard internal control test for employee and supervisor signatures on employee timesheets. Our statistical sample provides a confidence level of over 95 percent with a confidence interval of less than 10 percent. Based on our sample, we projected employees did not sign 39 percent and supervisors did not sign 5 percent of their timesheets.



To insure a better internal control process, we recommend Department policy includes provisions requiring employee and supervisor signatures.

OVERTIME HOUR ANALYSIS

Our sample indicated the vast majority of overtime requests adhered to County policy. Only one hundredth of one percent of all overtime claims (.11%) identified using statistical sampling techniques could be classified as not adhering to County policy of attending personal meetings while on overtime pay. The table shows the breakdown of overtime by assignment for the Detention area.

Exhibit 15 - Overtime Hours by Assignment

Assignment Percentage - Detention Division			
Booking	1.67%	Meeting	0.57%
Control Room	6.17%	Job Fair	0.80%
Housing	25.79%	AFLAC Meeting	0.11%
Property	6.09%	Fairgrounds	0.92%
Reception	1.87%	Diversity Council	0.23%
Rover	21.34%	Work Release	0.40%
Transport	10.48%	Sgt. Coverage	1.26%
Other	18.81%	PA	1.12%
Staff Meeting	0.98%	Release	0.46%
Quartermaster	0.92%		

Normally attending an AFLAC meeting is not mandatory, but Human Resources required each County employee to attend. However, based on statistical probabilities, the .11 percent, when projected to the entire Detention overtime costs, would equal less than \$4 thousand dollars. We consider this amount to be statistically insignificant and this problem not systemic, but an isolated incident.

During our testing, we noted several overtime requests, (stating a reason) which prompted our concerns regarding the process used by supervisors to authorize overtime. We understand the need to meet mission requirement hours. However, we feel this current environment may create an atmosphere where overtime authorizations are being routinely given by supervisors and thus diminish the internal control approval process. That type of environment may cause opportunities to circumvent procedures.

Lastly, we noticed data identified on overtime request forms had not been collected, stored or analyzed to provide meaningful management reports.



HEALTH AND SAFETY CONCERNS

One concern pertaining to high levels of mandatory overtime is its impact on the health and safety of employees. During 1996 - 1999, average sick time taken by Detention staff increased 34% from a low of 77 hours in 1997 to a high of 111 hours during 1999. It appears some of this increase may be attributed to staff members avoiding the demands of mandatory overtime and 16-hour workdays by claiming sick time or additional stress and physical fatigue may be driving the increase.

Conclusions

Over the past few years, Corrections and County management have been keenly aware of staffing shortages and concerns expressed by Corrections personnel. County management consistently approved the Department's supplemental budget requests to cover overtime expenditures, but has not authorized additional staffing. The process of measuring and meeting staffing needs during 1996 to 1999 resulted in expending over \$900 thousand dollars more than if staffing levels had been increased according to our model.

Some, but not all of the staffing needs were addressed in the Department's 2000 adopted budget. The Department's 2000 adopted budget calls for hiring of 11 additional Corrections Officers beginning in April 2000. The Detention Division's budgeted overtime expense for 2000 is \$842 thousand, or a reduction of \$514 thousand from 1999's actual \$1.356 million expended.

Using our base line staffing model and assuming this year's new Corrections Officers will effectively work 4 months on average this year, we estimate Detention's actual 2000 overtime will still exceed \$725 thousand dollars. However, this will be the first time in over five years the projected actual 2000 overtime expense will be less than or equal to the Department's initially adopted budget.

OVERTIME SCHEDULING PRACTICES

In 1999 Corrections had 226 FTE's of which 170 were Corrections Officers. These officers managed to operate the County's jail facilities, but at a cost of \$1.4 million in overtime expense. This is because Corrections must ensure enough staff is on duty to supervise inmates 24 hours a day, 7 days a week.



One primary objective of Corrections' management is to match staff levels to workload. However, on a daily basis, both available staff and workload are uncertain. If there are not enough Corrections Officers available to meet workload demands, overtime must be used to make up the difference. If too many Corrections Officers are assigned for the workload, staff utilization may be less productive.

For management to better meet this objective, the process and systems for identifying, analyzing and collecting data need to be expanded. Data from overtime request forms is not collected and analyzed. Standard measurements for actual and projected staffing available are not collected and developed. Currently if mission requirements call for a staffing of 40 posts, current operations only bid for those 40 posts. Shift staffing is not fully considering requirements for training, sick or vacation days, and shortages are made up by overtime.

AUDIT COMMITTEE QUESTIONS

On what staffing standards is the study based?

Staffing standards are based on mission requirements, health and safety issues.

To what extent are overtime practices determined by the collective bargaining agreement?

The County and Union entered into a collective bargaining agreement between Local Union No. 763, covering most overtime practices. This ranges from how overtime is handed out to the number of hours.

Have health and safety incidents increased in Corrections due to overtime?

Health and safety issues are a concern as sick time increased during the past few years, from an average of 77 hours per Correction Officer to 111 hours per Correction Officer.

Is overtime being distributed equally?

Overtime may not be distributed equally, because of the union agreement. The Department has a sign-up sheet and when overtime is required, they first try to meet needs by the use of voluntary methods. Mandatory overtime is assigned by reverse seniority.

Is overtime the most cost-effective method for meeting staffing needs of the County?

Overtime can be extremely cost-effective, but Corrections is primarily using overtime to meet mission requirements instead of uncontrollable events. Our analysis (staffing model) showed



that between 1996 to 1999, if the Department could have hired additional Corrections Officers to meet mission requirements, the County may have avoided as much as \$900,000 in costs.

Recommendations

COMMUNICATIONS

Corrections and County management need to expand and augment their communications process to provide the best available data. Per discussions with County management, they have not been adverse to providing necessary staffing to meet Corrections' mission requirements, but indicate they need better information to help in the decision making process. Corrections needs to expand and develop its processes and information gathering techniques in order to provide analysis so County management has the tools and data available to make meaningful and fiscally sound decisions.

Recommendation No. 1: We recommend Corrections consider establishing a new formalized scheduling process, and expand current data gathering techniques. Correction managers could better manage the workload and Corrections staffing by collecting and analyzing more information. Through the use of a formal scheduling process, Corrections could expand their ability to monitor and measure staffing needs, patterns and requirements.

Recommendation No. 2: We recommend County and Corrections management in partnership review the workload needs for the Corrections Department. Then through the use of additional Corrections staffing and overtime data, they could improve scheduling practices and implement more cost-effective staff and overtime scheduling changes.

HEALTH AND SAFETY

Even with the addition of 11 Corrections Officers during 2000, we project Detention Division overtime will still exceed \$725 thousand dollars. While this helps the Division's current staffing problems, most improvements will not be felt until later in the year. In the interim, trends indicate higher usage of sick time along with a potential of increased Labor and Industry claims. The major condition impacting increased usage of sick time has been the need to meet mission requirements through the use of voluntary or mandatory overtime.



Recommendation No. 3: We recommend Corrections in conjunction with Local Union No. 763 continue their dialog and relationship that allows maximum overtime flexibility regarding the length of overtime performed.

Recommendation No. 4: We recommend Corrections in conjunction with Local Union No. 763 continue their dialog to modify Article V. 5.4.4 regarding overtime and extra work to allow more equal distribution of required overtime hours among all Corrections staff.

Recommendation No. 5: We recommend Corrections continue and expand the hiring of part-time Corrections Officers for their own Department, and continue discussion with the union to foster this process.

Recommendation No. 6: We recommend additional Corrections Officers be hired, in addition to the 11 slated for 2000. While our baseline staffing model suggests this number should approximate 10 additional FTE's, we feel the department should verify our analysis prior to any action using data from the expanded scheduling process.

INTERNAL CONTROLS

Our review identified areas where internal controls need to be updated and modified to assure they adhere to County and Department policies and procedures.

Recommendation No. 7: We recommend employees and supervisors fill out completely and sign timesheets and Overtime/Extra Pay Authorizations. Our review showed that up to 39 percent of employees and 5 percent of supervisors did not sign employee timesheets. Our review also showed on several occasions, overtime forms were not filled out or signed by the supervisor.

Response to Recommendations

Correction's response to the Final Draft (Attachment 1) was received on April 12, 2000. The Department Director (Andrea D. Bynum) thanked us for our effort and was in general agreement with our findings and recommendations. However she felt several areas needed clarification.

" The report portrays issues that concern me and my staff and it accurately reflects the problems facing us. However, we believe several areas need clarification and have addressed them below.



The auditors concluded, as we have, that more FTE are needed (Recommendation 6). However, because of some of the models used in this analysis, we are not in agreement on the number required. We agree also that better data collection and analysis would provide information useful for scheduling, work load analysis and justifying additional positions (Recommendations 1 and 2). We will continue working for changes in our Union Agreement regarding overtime and part-time positions (Recommendations 3, 4 and 5). We will enforce the requirement that timesheets and Overtime/Extra Pay Authorizations be completed in full and signed by the employee and supervisor (Recommendation No. 7)."

CLARIFICATIONS

MISSION REQUIREMENTS

Auditees Response:

"Some assumptions reflected in this report do not represent Corrections' true needs. The report discusses mission requirements to supervise the prisoner population and describes them as remaining constant from 1996 through 1998, with the exception of Sergeants and Transport Officers. The figures reported are accurate in terms of established positions, but they do not reflect posts that are needed for effective operation but have not been funded.

During the 1999 and 2000 budget request processes, Corrections made a concerted effort to provide information to County management regarding our operational needs. For the 2000 budget, we indicated that in order to cover existing requirements, we needed twenty more Corrections Officers, four more Control Room Officers, four more Booking Assistants and two more Receptionists. Eleven Corrections Officers and one Control Room Officer were approved.

We also addressed staffing needed to provide appropriate levels of safety, security and service to law enforcement. These posts are operational needs but have not been established because they cannot be filled. Combining the number of posts identified with the relief factor derived from an analysis of actual 1998 availability hours, we requested thirty-one additional corrections officers and ten more booking assistants, plus additional supervisory staff. None of these positions were approved.

The report's definition of mission requirements is also limiting because it excludes training and meetings. Based on Union contract, Corrections Standards and the law, training is required and should be viewed as a mission requirement in this analysis. The 20 hours of training cited as a reduction in hours on the job (Exhibit 8, Average Gross and Net Hours) is the absolute minimum required. The actual amount needed is in excess of 30 hours. It should also be noted that



attending training not only reduces hours available to staff posts, in many cases, it also creates a coverage gap that must be filled."

Auditor's Comments:

The objective of our review was to review the Departments overtime, causes, impacts and cost-effective alternatives. The scope of the audit was not to identify ideal staffing levels or requirements, but only review current staffing as it relates to the Departments overtime. Our development of a staffing model was done to quantify dollars that might be spent more effectively. Even with this limitation, our analysis identified a need for additional FTE's beyond the eleven new positions authorized during 2000. In the Departments response they say..." The figures reported are accurate in terms of established positions, but they do not reflect posts that are needed for effective operation but have not been funded."

The requirement to identify positions for effective operation was not in our scope or objectives. However, our analysis met the audit's scope and objectives, therefore we stand by our analysis.

AVAILABILITY HOURS

Auditees Response:

"The Auditors have demonstrated that we do not have sufficient FTE to cover mission requirements. They have done so using the assumption that one staff member will provide, on the average, 1,718 hours per year on the job. That number is based on time away from work for vacation, holiday, sick leave and training. This underestimates the average hours of absence from duty that must be covered and increase the additional FTE needed. We provided audit staff with figures for "Other" hours from our Availability Tracking information. Calculating from 1999 data, an average of 87 hours per position was required to cover L&I, family, military and bereavement leave, leave without pay, academy training, and court time. Coverage gaps when staff go to training and fill in as acting supervisors account for 33 hours. Gaps resulting from unfilled vacancies appear to be significant, but no figures are available. Using these data, average net hours available are 1,598, 120 hours less than the number used in the model."

Auditor's Comments:

We understand the Department's concern with the "Other" category. Our analysis identified average available hours to be 1,718 plus or minus hours identified as other. In the process of developing hours available, we reviewed all available actual data and considered hours associated to L&I, family, military and bereavement leave, leave without pay, academy training, and court time for each year 1996 - 1999.

Hours used in our staffing model are as follows: (See Statistical Supplement A, Exhibit 4)

Year	Available Hours	Other Hours
1996	1,686	42
1997	1,665	79
1998	1,639	55
1999	1,630	47

Our analysis looked at all available data for all years under review. The statement of 1,718 was identified as average plus or minus other hours. We stated in our report, page 12..."While hours differ slightly by year based on actual results, available net hours approximate 1,718 per FTE".

We stand by our original analysis.

CONTROLLABLE VERSUS UNCONTROLLABLE OVERTIME HOURS

Auditees Response:

"The report references controllable and uncontrollable overtime hours. Within Corrections, controllable overtime should be understood to mean overtime coming from activities that can be predicted in terms of type, timing and hours required. Overtime related to training is an example of controllable overtime. That type of overtime could and should be calculated into actual FTE at straight time hours, and should be used to the fullest extent possible. Uncontrollable overtime, on the other hand, is unpredictable and arises from work that must be done but has not been identified as a post. For example, when the population in a module normally supervised by one officer exceeds 64 prisoners, Corrections Standards require that a second officer be assigned. Similarly, a high security trial requires a second officer in the courtroom, and sometimes a third."

Auditor's Comments:

We concur with the Departments statement. Our analysis of actual "Overtime/Extra Pay Authorization" covering 1998 - 1999 showed that Training and Meetings consumed 15.99% of all overtime requests. Results are based on statistical sampling with a confidence level of 95% and confidence interval of 10%.

We also concluded during our analysis, that under the current staffing environment, management's ability to impact/affect controllable overtime is extremely limited. Where staffing demands greatly outdistance available hours, (page 14, Exhibit 12 shows shortage hours totaled 114,249 during 1996 - 1999) management's situation is driven by overtime needs and even controllable overtime is largely uncontrolled.



HEALTH AND SAFETY CONCERNS

Auditees Response:

"We share the Auditors' concern with the impact of mandatory overtime on employee health and safety. We believe that mandatory overtime is best addressed by increased staffing and union-agreed changes in how it is assigned."

Auditor's Comments:

We concur.

DATA COLLECTION AND ANALYSIS

Auditees Response:

"We are aware that data gathered on overtime authorization forms and staff utilization logs have not been "...collected, stored or analyzed to provide meaningful management reports." Given our minimal staffing, we could not spare the staff time to load and analyze our data to generate management reports. Reasons for overtime, explanations and other data categories have not been used consistently and correctly. Because of this, the information provided in Exhibits 14 and 15 is not an accurate reflection of overtime usage. For example, the figure of 0.92% of overtime devoted to transport in Exhibit 14 is misleading; we know that a substantial portion of transport overtime was categorized as minimum staffing, but not how much. We want better information and are looking at ways to improve the process."

Auditor's Comments:

We can not agree or disagree with the Department's statement. Our analysis used data from actual "Overtime/Extra Pay Authorization" forms. Exhibit 14 and 15 depicts what was gathered and identified from the actual forms. If this data does not reflect what the Department felt should be identified, it may provides more justification to implement Recommendation No. 1. (See Page 20)

FIELD OFFICER TRAINING

Auditees Response:

"At present, we require two weeks of on-the-job training under the supervision of a field training officer. Our goal has been to increase to eight weeks by July 1st. Despite the benefits of a longer training period, we are considering how much additional cost we can afford to devote to bringing a new officer on line."



Auditor's Comments:

This is a management decision and is beyond the scope of the overtime audit. However we noted on page 15 the following..."This new hire cost is projected to increase, as Corrections plans to implement 8 weeks of field officer training vs. the 2 weeks provided in the past. If this increase training regiment is adopted, new hire costs will increase to over \$11 thousand per new employee."

April 12, 2000

Dean Richart, Martin Standel and Steven Torrence
Snohomish County Performance Audit Division
3000 Rockefeller Avenue
Everett, Washington 98201

Gentlemen:

Thank you for the opportunity to review and comment on the Corrections Overtime Report. We appreciate the effort involved and the cooperation of the Performance Audit Division in accommodating our schedules and sharing information and analysis as the audit progressed. Developing prisoner population data by housing unit and demonstrating a simple method of generating is especially appreciated.

The report portrays issues that concern me and my staff and it accurately reflects the problems facing us. However, we believe several areas need clarification and have addressed them below.

Response to Recommendations

The auditors concluded, as we have, that more FTE are needed (Recommendation 6). However, because of some of the models used in this analysis, we are not in agreement on the number required. We agree also that better data collection and analysis would provide information useful for scheduling, work load analysis and justifying additional positions (Recommendations 1 and 2). We will continue working for changes in our Union Agreement regarding overtime and part-time positions (Recommendations 3, 4 and 5). We will enforce the requirement that timesheets and Overtime/Extra Pay Authorizations be completed in full and signed by the employee and supervisor (Recommendation No. 7).

Clarifications

Mission Requirements

Some assumptions reflected in this report do not represent Corrections' true needs. The report discusses mission requirements to supervise the prisoner population and describes them as remaining constant from 1996 through 1998, with the exception of Sergeants and Transport Officers. The figures reported are accurate in terms of established positions, but they do not reflect posts that are needed for effective operation but have not been funded.

During the 1999 and 2000 budget request processes, Corrections made a concerted effort to provide information to County management regarding our operational needs. For the 2000 budget, we indicated that in order to cover existing requirements, we needed twenty more Corrections Officers, four more Control Room Officers, four more Booking Assistants and two more Receptionists. Eleven Corrections Officers and one Control Room Officer were approved.

We also addressed staffing needed to provide appropriate levels of safety, security and service to law enforcement. These posts are operational needs but have not been established because they cannot be filled. Combining the number of posts identified with the relief factor derived from an analysis of actual 1998 availability hours, we requested thirty-one additional corrections officers and ten more booking assistants, plus additional supervisory staff. None of these positions were approved.

The report's definition of mission requirements is also limiting because it excludes training and meetings. Based on Union contract, Corrections Standards and the law, training is required and should be viewed as a mission requirement in this analysis. The 20 hours of training cited as a reduction in hours on the job (Exhibit 8, Average Gross and Net Hours) is the absolute minimum required. The actual amount needed is in excess of 30 hours. It should also be noted that attending training not only reduces hours available to staff posts, in many cases, it also creates a coverage gap that must be filled.

Availability Hours

The Auditors have demonstrated that we do not have sufficient FTE to cover mission requirements. They have done so using the assumption that one staff member will provide, on the average, 1,718 hours per year on the job. That number is based on time away from work for vacation, holiday, sick leave and training. This underestimates the average hours of absence from duty that must be covered and increase the additional FTE needed. We provided audit staff with figures for "Other" hours from our Availability Tracking information. Calculating from 1999 data, an average of 87 hours per position was required to cover L&I, family, military and bereavement leave, leave without pay, academy training, and court time. Coverage gaps when staff go to training and fill in as acting supervisors account for 33 hours. Gaps resulting from unfilled vacancies appear to be significant, but no figures are available. Using these data, average net hours available are 1,598, 120 hours less than the number used in the model.

Controllable versus Uncontrollable Overtime Hours

The report references controllable and uncontrollable overtime hours. Within Corrections, controllable overtime should be understood to mean overtime coming from activities that can be predicted in terms of type, timing and hours required. Overtime related to training is an example of controllable overtime. That type of overtime could and should be calculated into actual FTE at straight time hours, and should be used to the fullest extent possible. Uncontrollable overtime, on the other hand, is unpredictable and arises from work that must be done but has not been identified as a post. For example, when the population in a module normally supervised by one officer exceeds 64 prisoners, Corrections Standards require that a second officer be assigned. Similarly, a high security trial requires a second officer in the courtroom, and sometimes a third.

Health and Safety Concerns

We share the Auditors' concern with the impact of mandatory overtime on employee health and safety. We believe that mandatory overtime is best addressed by increased staffing and union-agreed changes in how it is assigned.

Data Collection and Analysis

We are aware that data gathered on overtime authorization forms and staff utilization logs have not been "...collected, stored or analyzed to provide meaningful management reports." Given our minimal staffing, we could not spare the staff time to load and analyze our data to generate management reports. Reasons for overtime, explanations and other data categories have not been used consistently and correctly. Because of this, the information provided in Exhibits 14 and 15 is not an accurate reflection of overtime usage. For example, the figure of 0.92% of overtime devoted to transport in Exhibit 14 is misleading; we know that a substantial portion of transport overtime was categorized as minimum staffing, but not how much. We want better information and are looking at ways to improve the process.

Field Officer Training

At present, we require two weeks of on-the-job training under the supervision of a field training officer. Our goal has been to increase to eight weeks by July 1st. Despite the benefits of a longer training period, we are considering how much additional cost we can afford to devote to bringing a new officer on line.

Once again, I want to thank the Performance Audit Division, Martin Stadel and Steve Torrance for preparing the Corrections Overtime Report. It is my hope that your report assists us in making Corrections a more efficient and cost-effective operation.

Sincerely,

Andrea D. Bynum
Director of Corrections

cc: Gary Weikel, Executive Director
Mambo Emedi, Senior Financial Consultant
File

CORRECTIONS OVERTIME
LEJ01-0001-1999



Snohomish County
Performance Audit Division

Statistical Supplement

Issued By:
Performance Audit Division

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A. Total Facility Count 1996 - 1999.....	1
B. Total Jail 1996 - 1999	2
C. Annex 1996 - 1999	3
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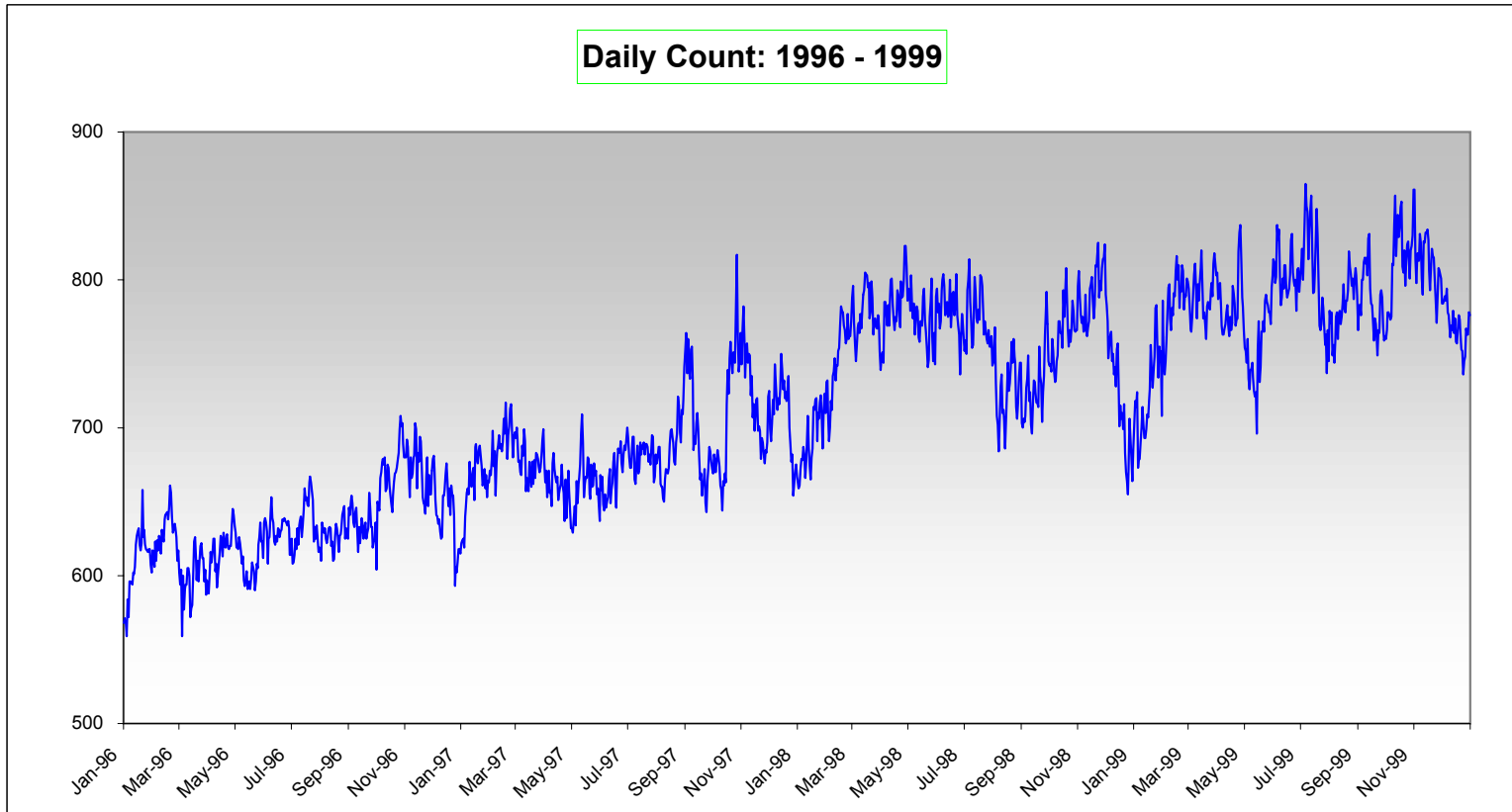
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A. General Housing II (2-N) 1996 - 1999	1
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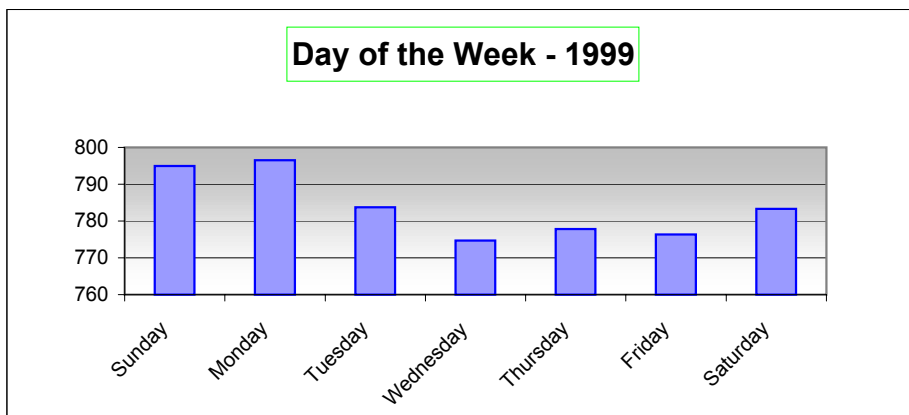
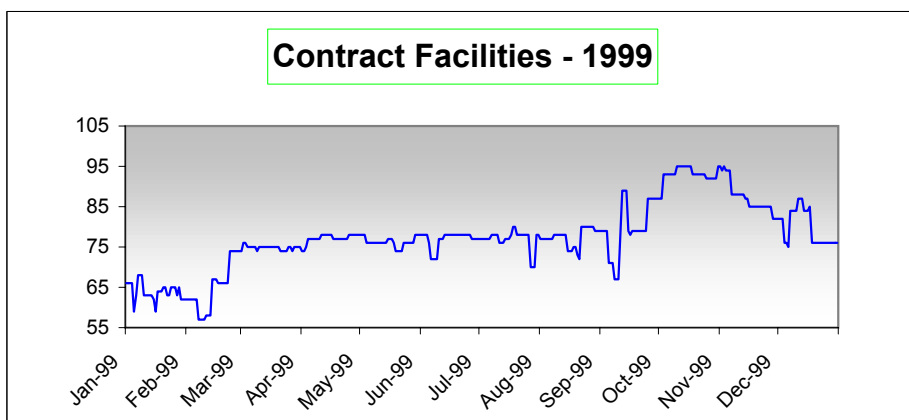
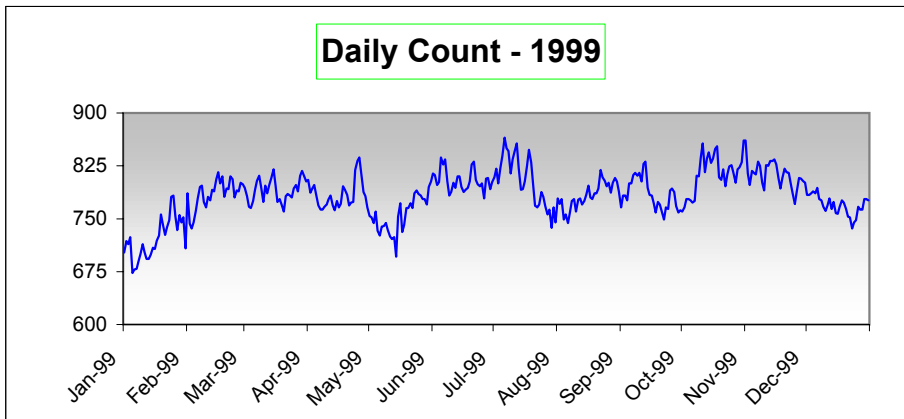
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A. Posts Needs 1999	1
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E. Posts Needs 1997	5
F. FTE - 1997	6
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Corrections Overtime
LEJ01-0001-1999

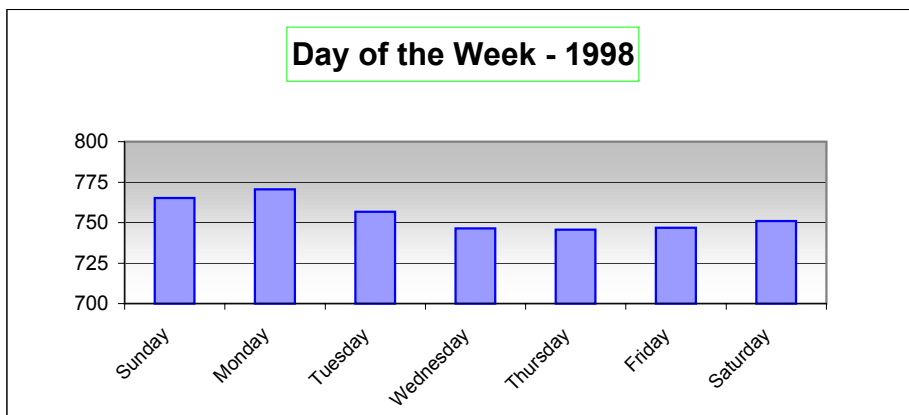
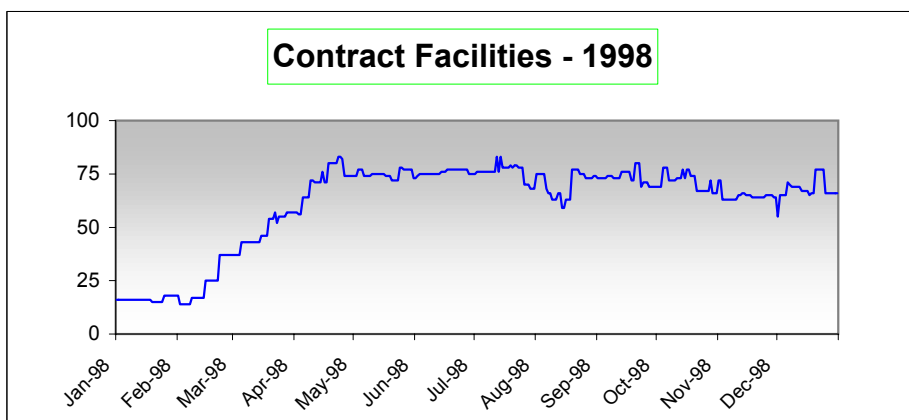
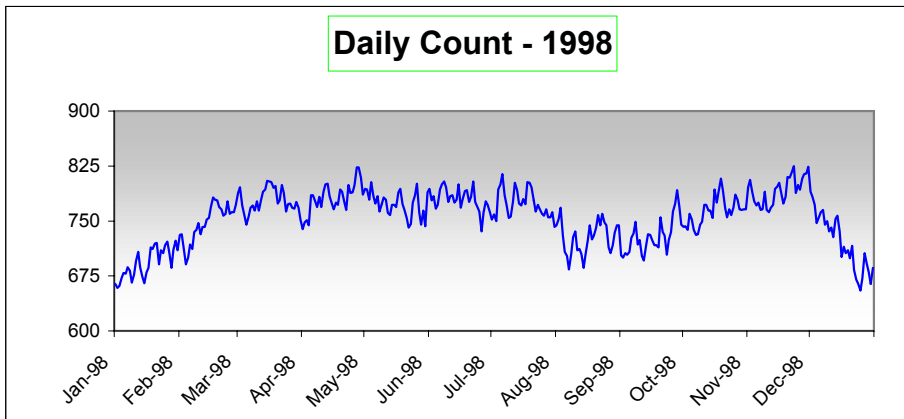


**Corrections Overtime
LEJ01-0001-1999**



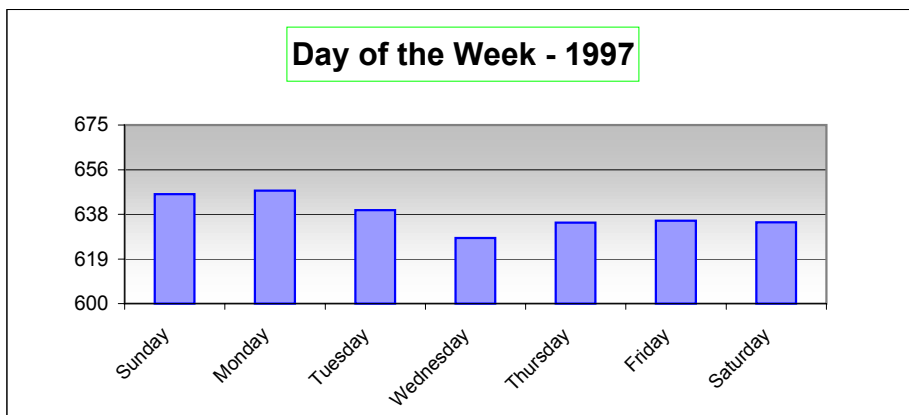
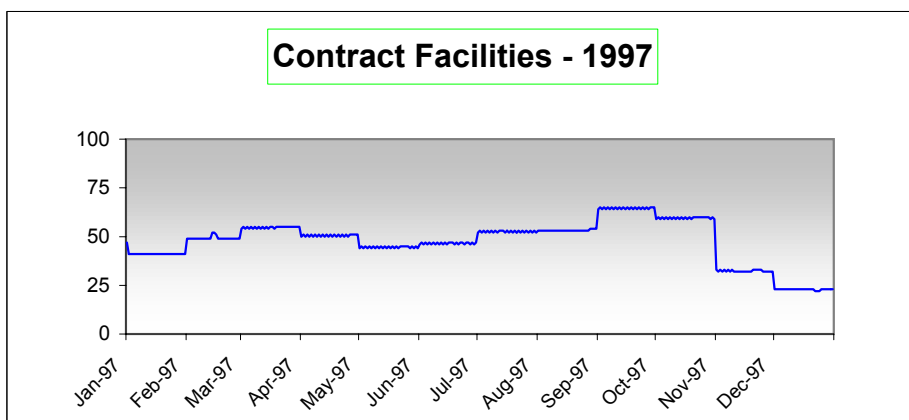
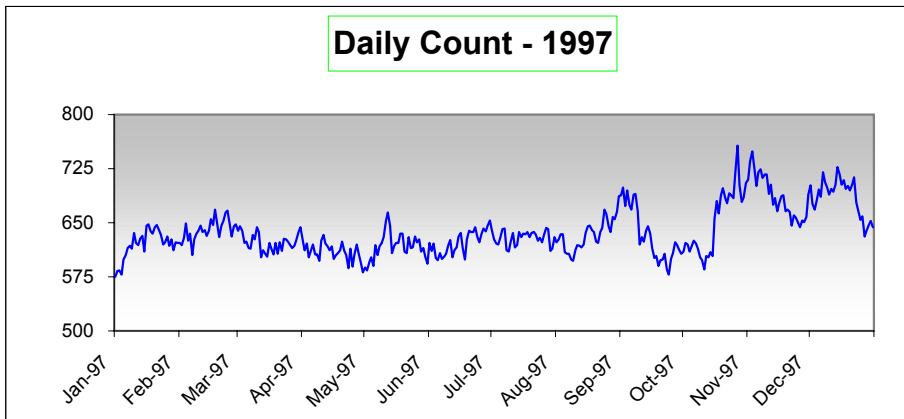
Average Daily Population (ADP)		
County	Contract	Total
708	77	785

**Corrections Overtime
LEJ01-0001-1999**



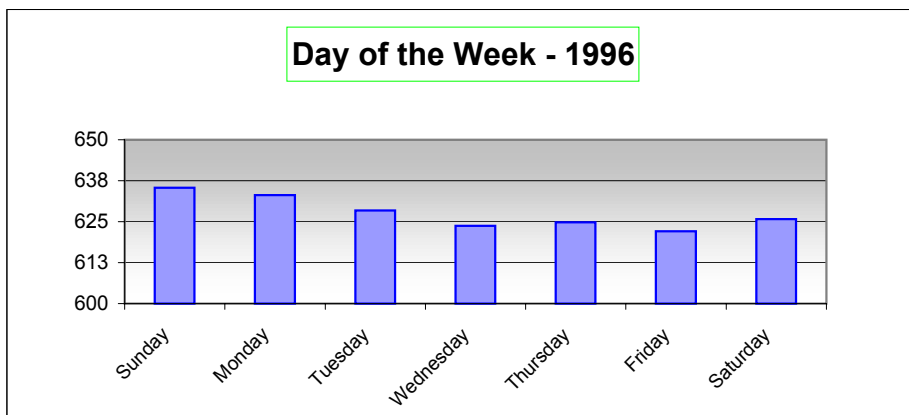
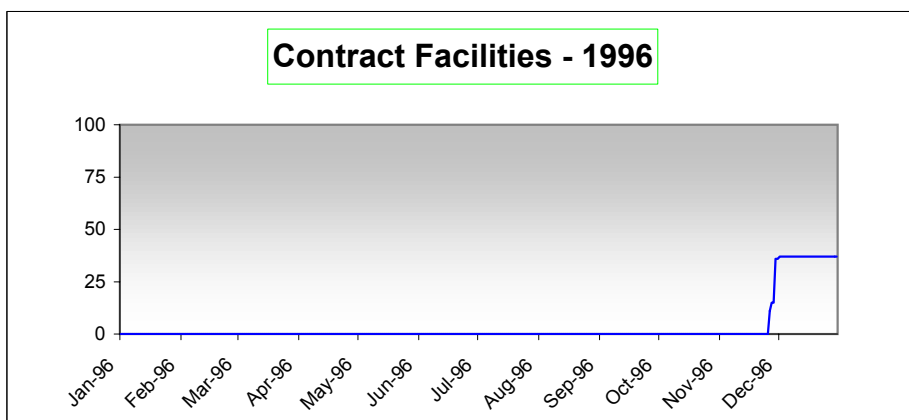
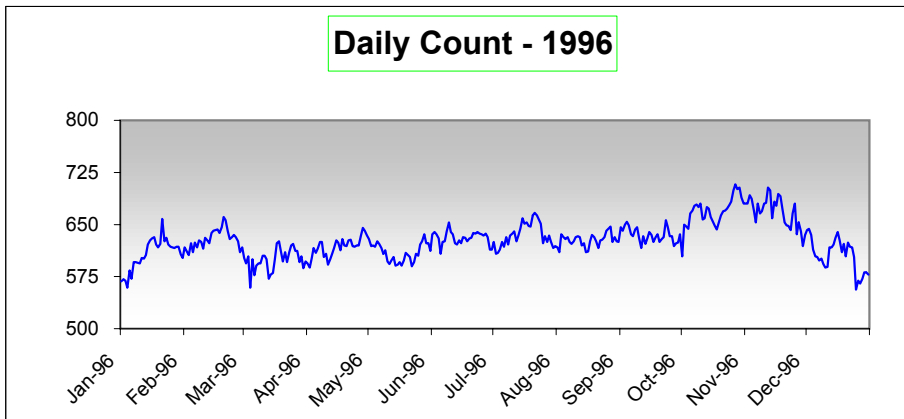
Average Daily Population (ADP)		
County	Contract	Total
693	61	755

**Corrections Overtime
LEJ01-0001-1999**



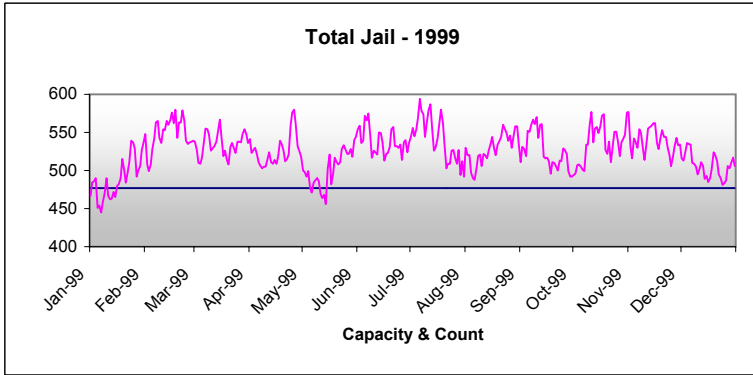
Average Daily Population (ADP)		
County	Contract	Total
638	48	685

**Corrections Overtime
LEJ01-0001-1999**

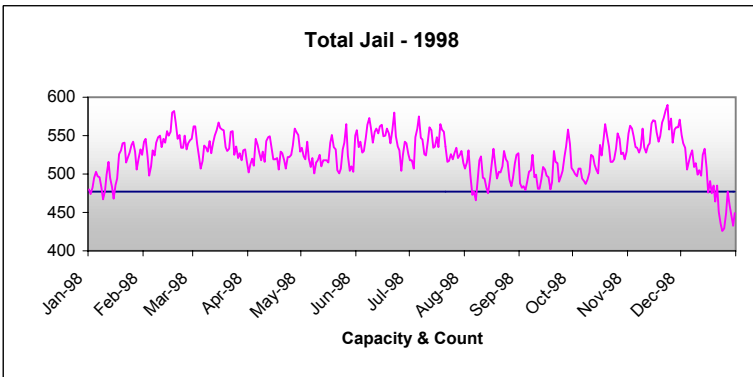


Average Daily Population (ADP)		
County	Contract	Total
628	3	631

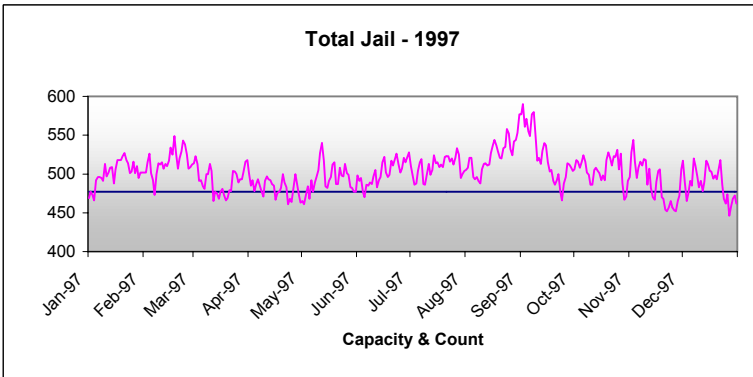
**Total Jail Count
1996 - 1999**



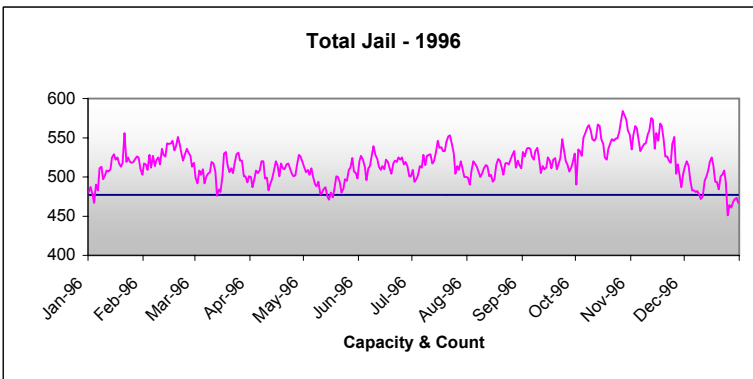
AVERAGE - 1999		
Capacity	Count	Percent
477	526	110%



AVERAGE - 1998		
Capacity	Count	Percent
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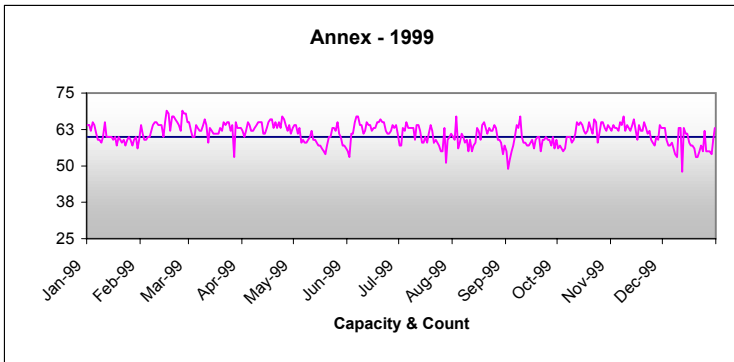


AVERAGE - 1997		
Capacity	Count	Percent
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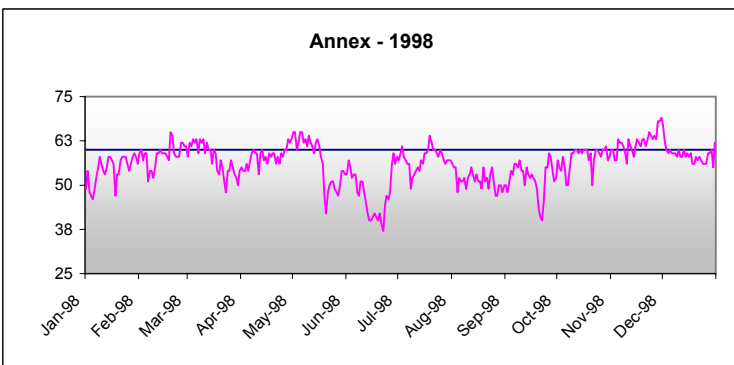


AVERAGE - 1996		
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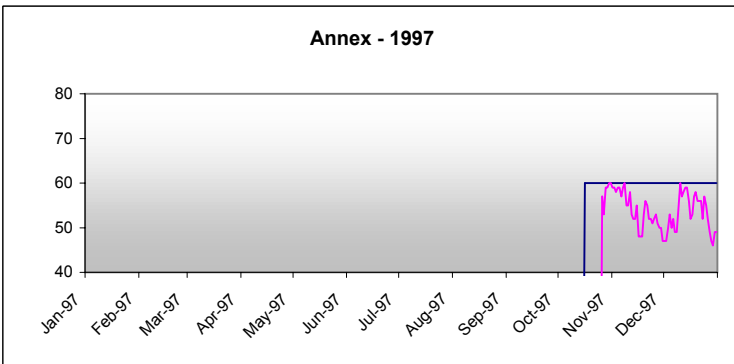
Annex
1996 - 1999



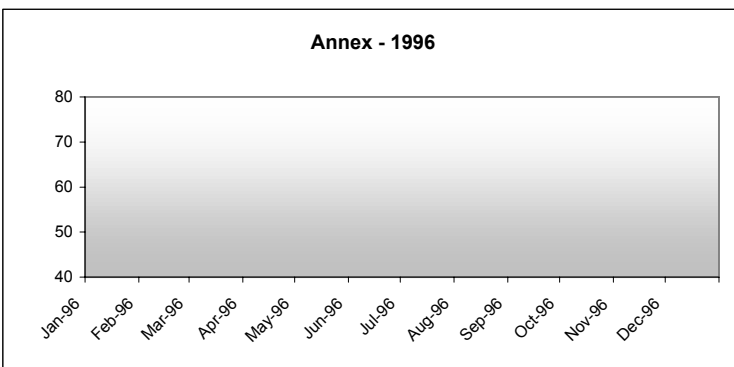
AVERAGE - 1999		
Capacity	Count	Percent
60	61	102%



AVERAGE - 1998		
Capacity	Count	Percent
60	56	93%

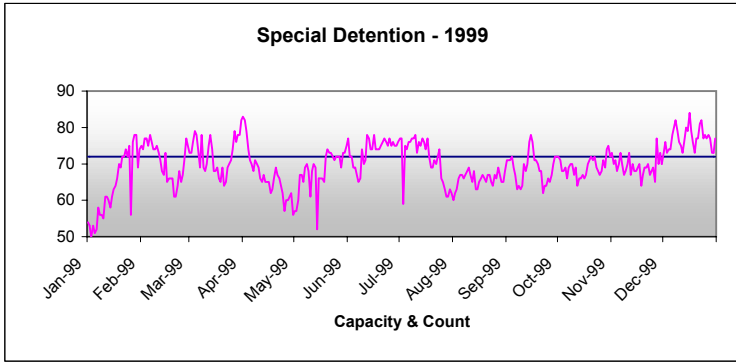


AVERAGE - 1997		
Capacity	Count	Percent
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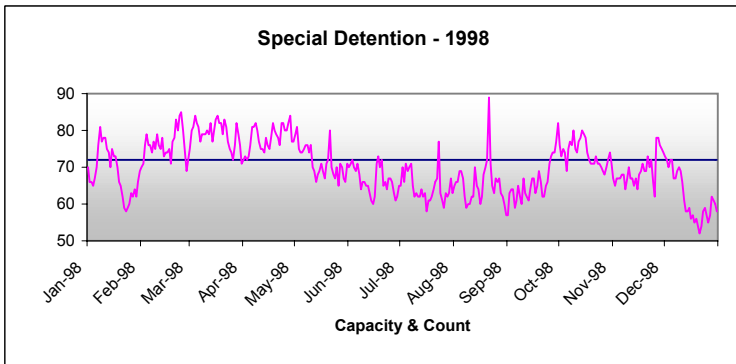


AVERAGE - 1996		
Capacity	Count	Percent
-	-	0%

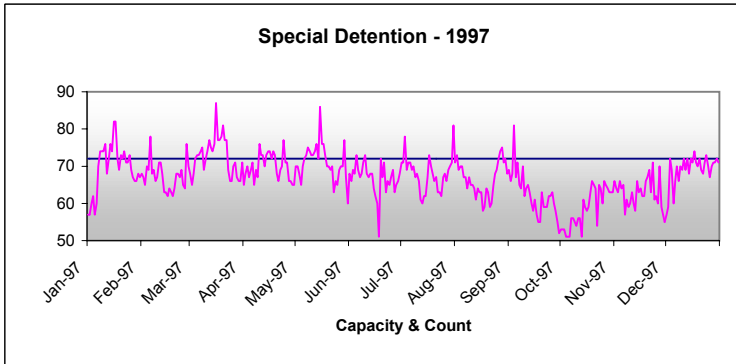
Special Detention
1996 - 1999



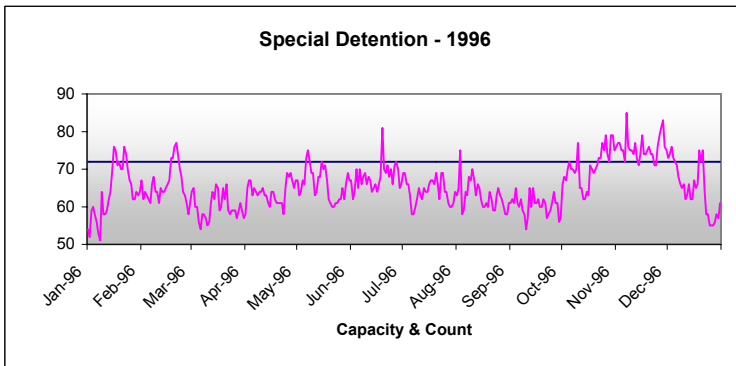
AVERAGE - 1999		
Capacity	Count	Percent
72	70	97%



AVERAGE - 1998		
Capacity	Count	Percent
72	70	97%

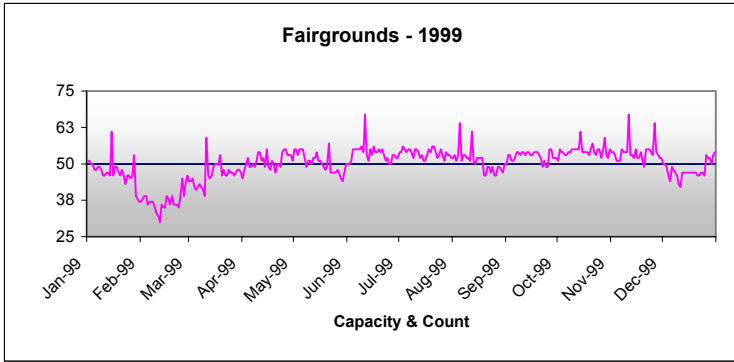


AVERAGE - 1997		
Capacity	Count	Percent
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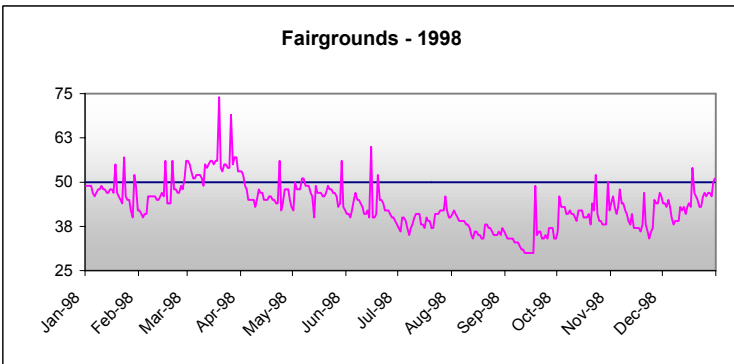


AVERAGE - 1996		
Capacity	Count	Percent
72	65	91%

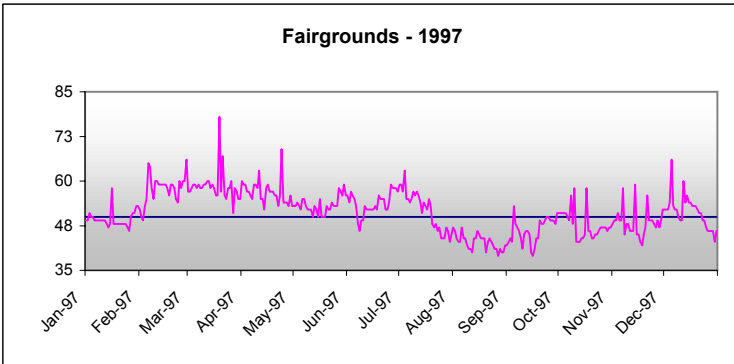
Fairgrounds
1996 - 1999



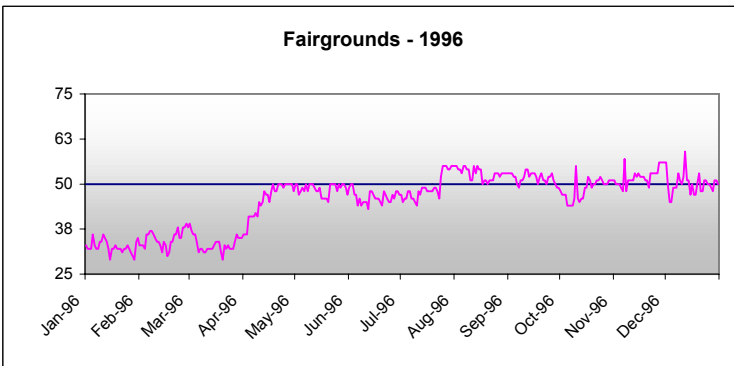
AVERAGE - 1999		
Capacity	Count	Percent
50	50	100%



AVERAGE - 1998		
Capacity	Count	Percent
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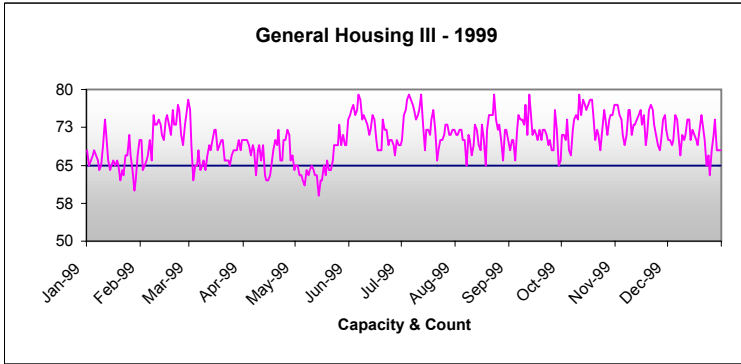


AVERAGE - 1997		
Capacity	Count	Percent
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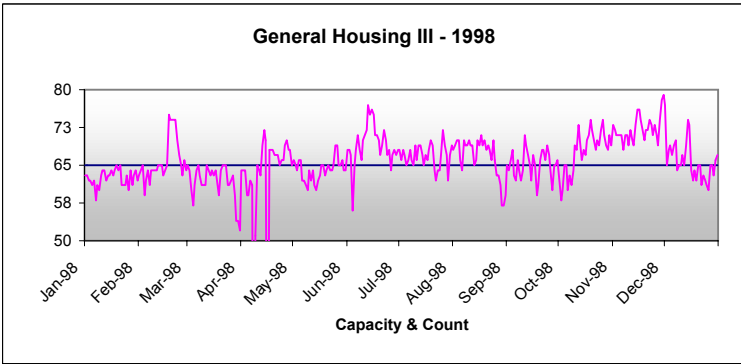


AVERAGE - 1996		
Capacity	Count	Percent
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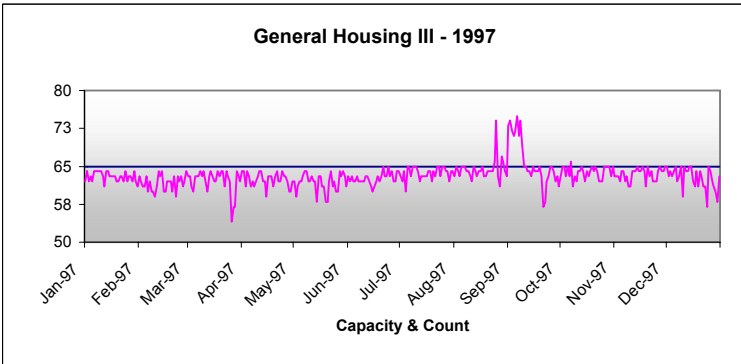
General Housing III (2-S)
1996 - 1999



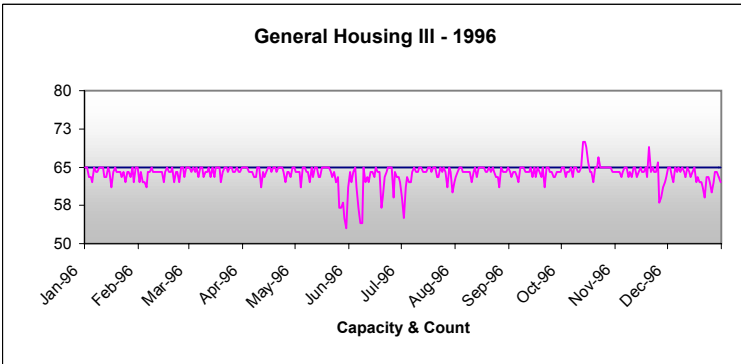
AVERAGE - 1999		
Capacity	Count	Percent
65	70	108%



AVERAGE - 1998		
Capacity	Count	Percent
65	66	101%

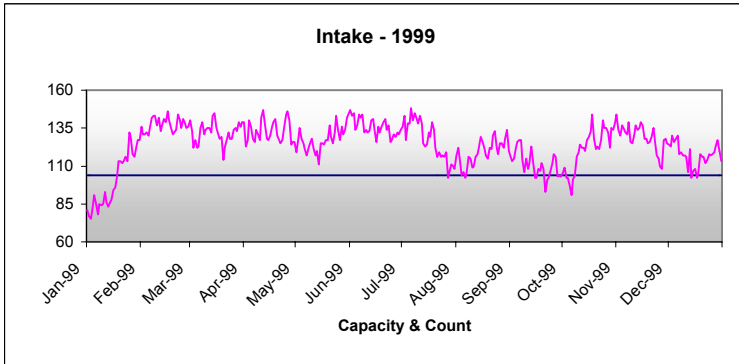


AVERAGE - 1997		
Capacity	Count	Percent
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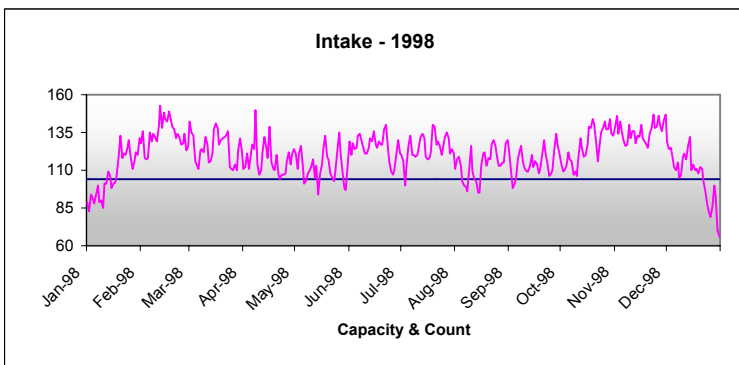


AVERAGE - 1996		
Capacity	Count	Percent
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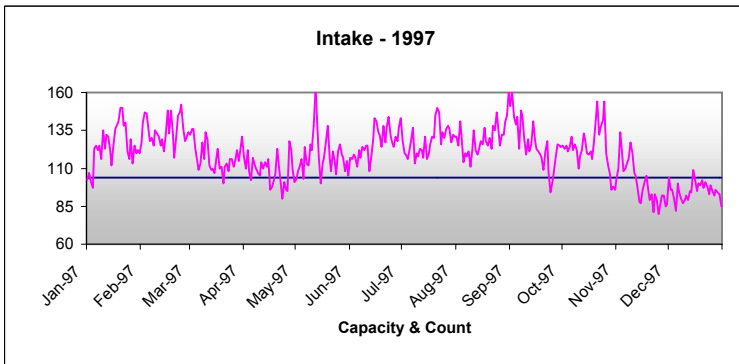
Intake (3-N)
1996 - 1999



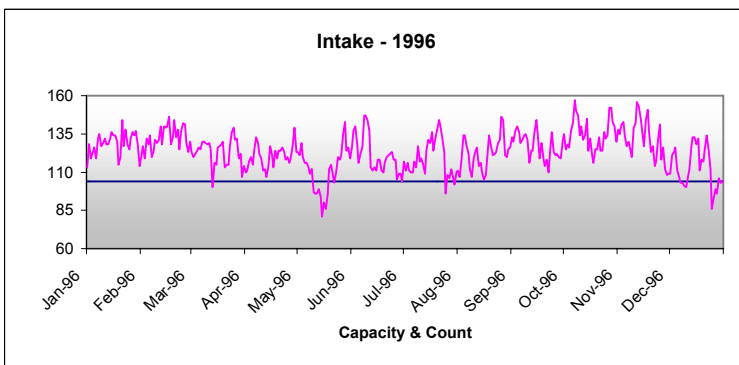
AVERAGE - 1999		
Capacity	Count	Percent
104	124	119%



AVERAGE - 1998		
Capacity	Count	Percent
104	120	115%

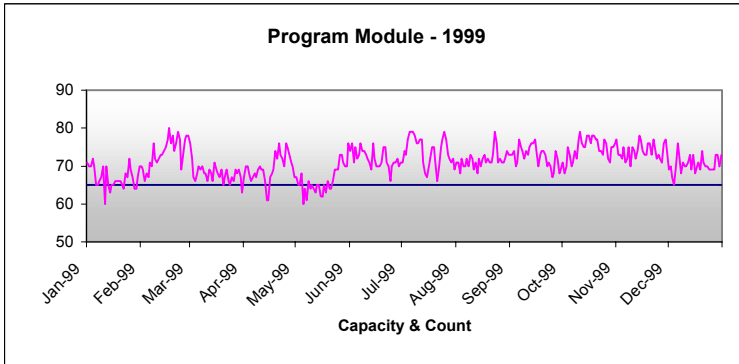


AVERAGE - 1997		
Capacity	Count	Percent
104	119	115%

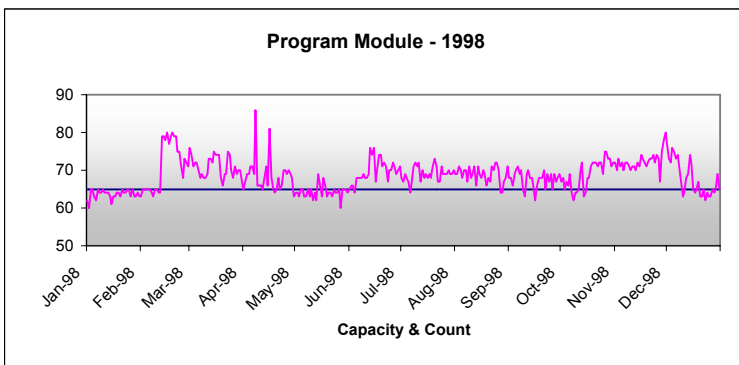


AVERAGE - 1996		
Capacity	Count	Percent
104	124	119%

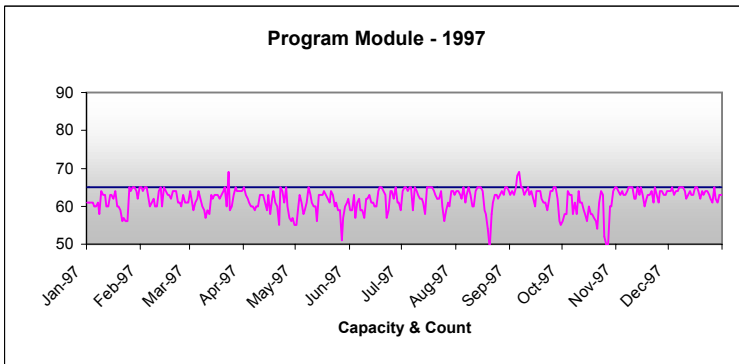
Programs Module (3-S)
1996 - 1999



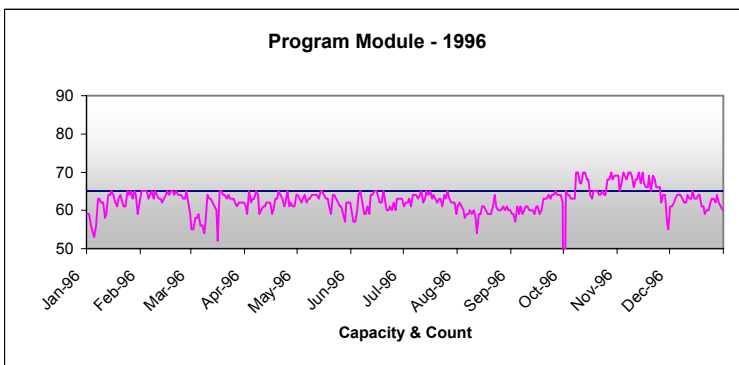
AVERAGE - 1999		
Capacity	Count	Percent
65	71	109%



AVERAGE - 1998		
Capacity	Count	Percent
65	69	105%

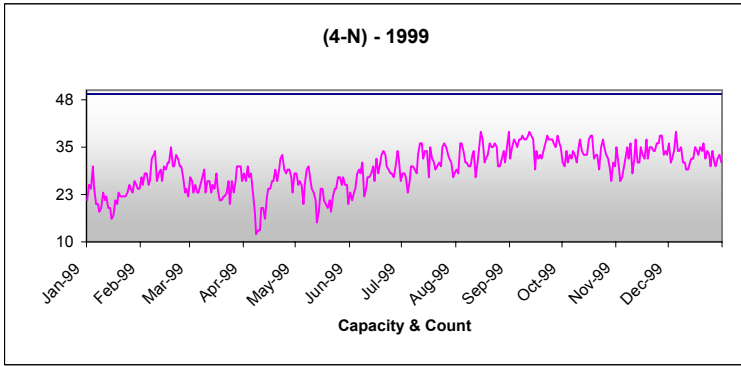


AVERAGE - 1997		
Capacity	Count	Percent
65	62	95%

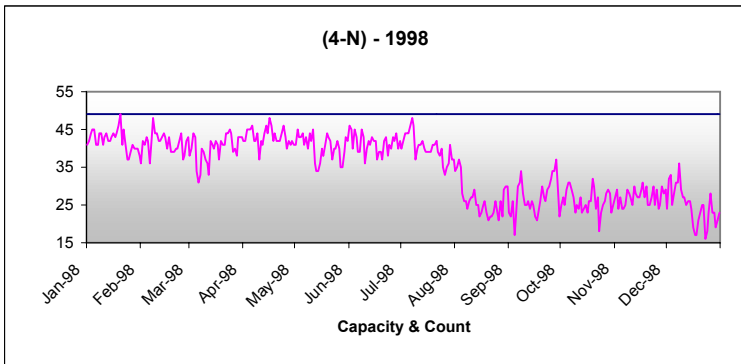


AVERAGE - 1996		
Capacity	Count	Percent
65	62	96%

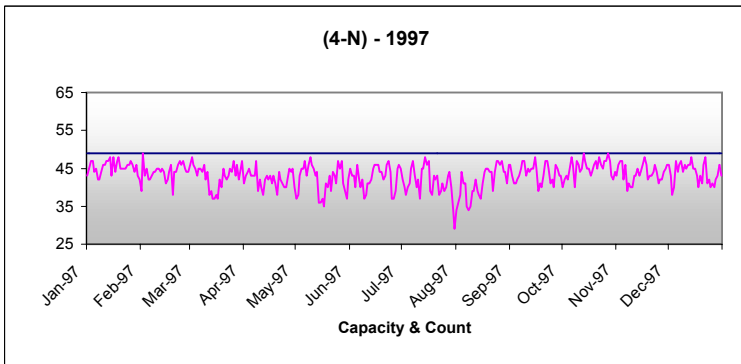
Segregation/Close Supervision and Max. Discipline (4-N)
1996 - 1999



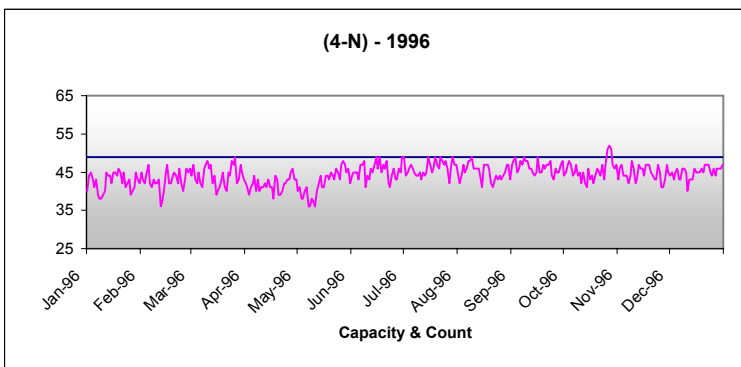
AVERAGE - 1999		
Capacity	Count	Percent
49	29	60%



AVERAGE - 1998		
Capacity	Count	Percent
49	35	71%

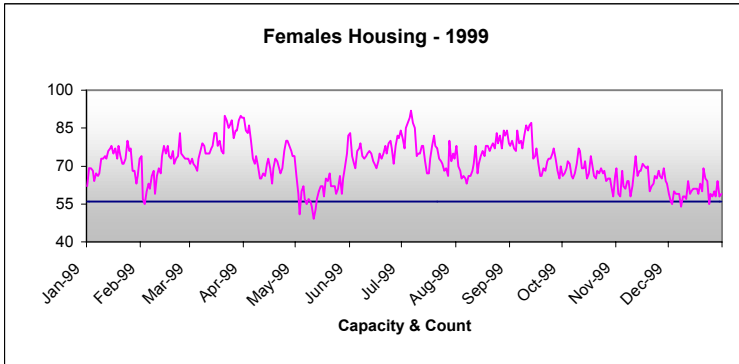


AVERAGE - 1997		
Capacity	Count	Percent
49	43	88%

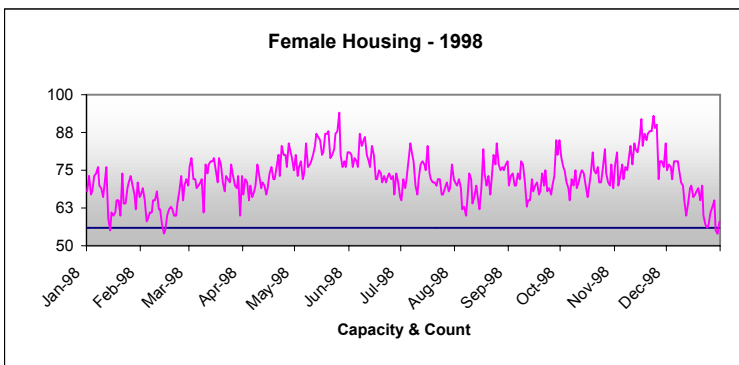


AVERAGE - 1996		
Capacity	Count	Percent
49	44	90%

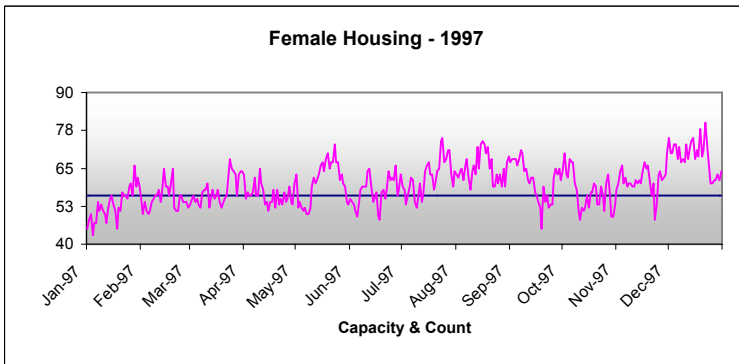
Female Housing Module (4-S)
1996 - 1999



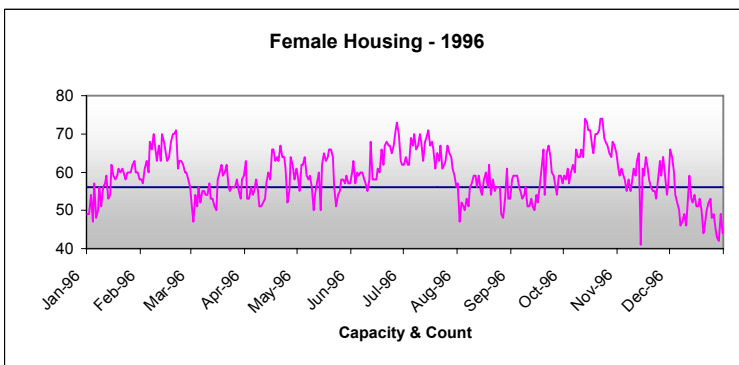
AVERAGE - 1999		
Capacity	Count	Percent
56	71	127%



AVERAGE - 1998		
Capacity	Count	Percent
56	73	130%

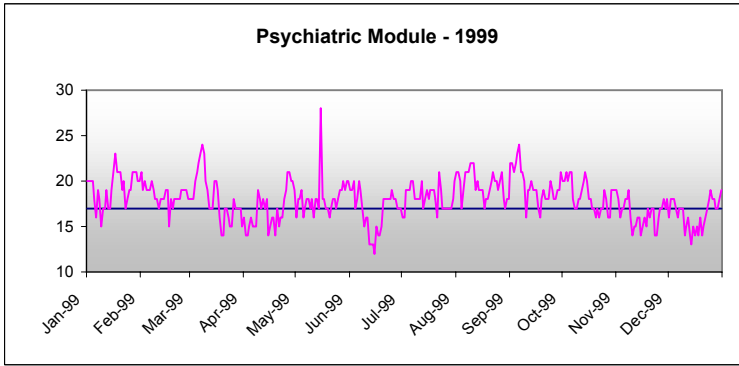


AVERAGE - 1997		
Capacity	Count	Percent
56	60	107%

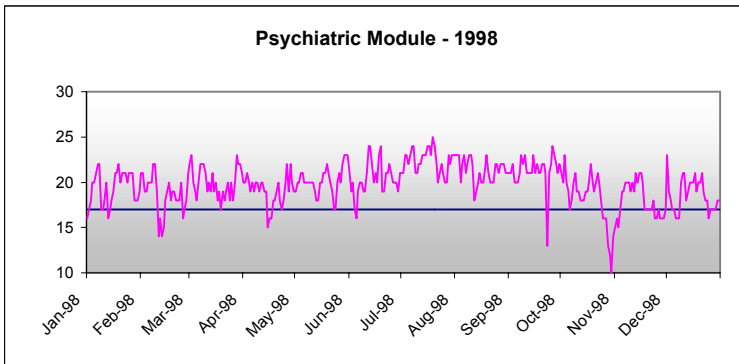


AVERAGE - 1996		
Capacity	Count	Percent
56	59	105%

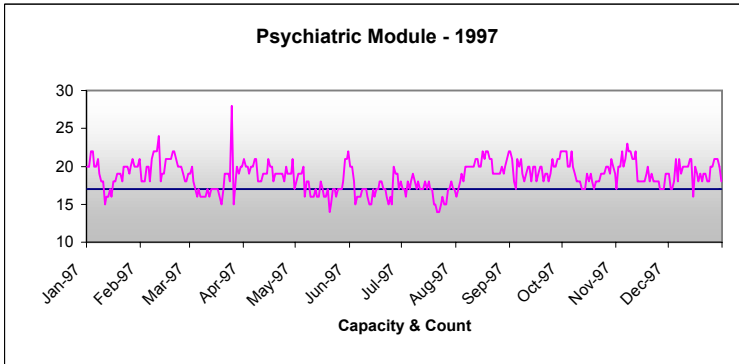
Psychiatric Module (5-N)
1996 - 1999



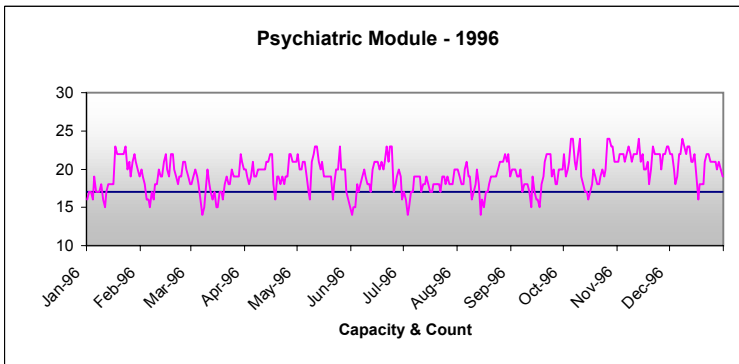
AVERAGE - 1999		
Capacity	Count	Percent
17	18	106%



AVERAGE - 1998		
Capacity	Count	Percent
17	20	116%

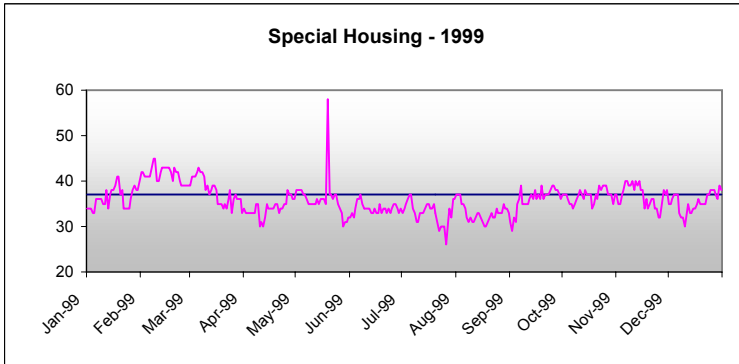


AVERAGE - 1997		
Capacity	Count	Percent
17	19	110%

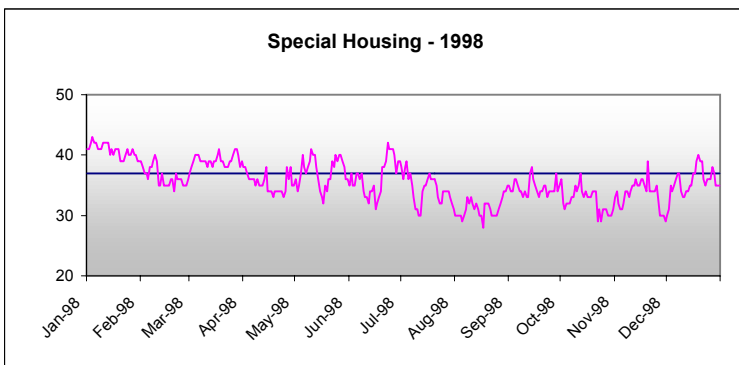


AVERAGE - 1996		
Capacity	Count	Percent
17	19	114%

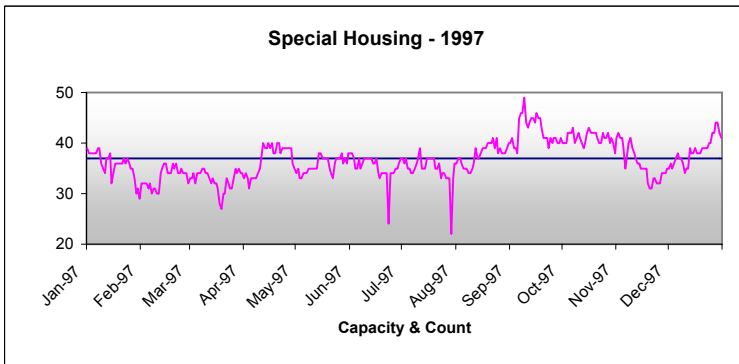
Special Housing (5-S)
1996 - 1999



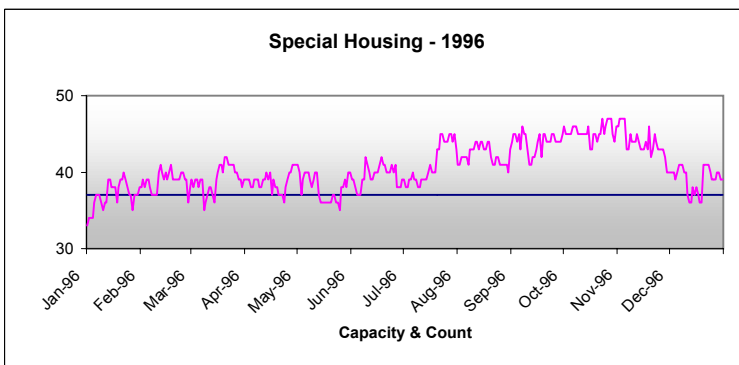
AVERAGE - 1999		
Capacity	Count	Percent
37	36	97%



AVERAGE - 1998		
Capacity	Count	Percent
37	36	96%



AVERAGE - 1997		
Capacity	Count	Percent
37	37	99%



AVERAGE - 1996		
Capacity	Count	Percent
37	41	110%

**Snohomish County
Posts Needs - 1999**

		POSTS REQUIREMENTS					Shift/Hrs	Hours/Day	365/Days	2080Hr/Yr
Jail:		ADP	Day	Swing	Graveyard	Total				
2-N	General Housing II	95	2.000	2.000	1.000	5.000	8	40	14,600	
2-S	General Housing III	70	1.000	1.000	1.000	3.000	8	24	8,760	
3-N	Intake	125	2.000	2.000	2.000	6.000	8	48	17,520	
3-S	Programs Module	71	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Close Supervision	29	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Segregation		-	-	-	-	8	-	-	
4-ND	Max/Discipline		-	-	-	-	8	-	-	
4-SB	Females General Housing	72	1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Females General Housing		1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Segregation		-	-	-	-	8	-	-	
5-N	Psychiatric Module	18	1.000	1.000	1.000	3.000	8	24	8,760	
5-S	Special Housing	36	1.000	1.000	1.000	3.000	8	24	8,760	
	Bookings/Medical Beds	11								
	Subtotal	527	11.000	11.000	10.000	32.000		256	93,440	
4-NT	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
4-ST	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
CCR	Central Control Room		1.000	1.000	1.000	3.000	8	24	8,760	
	Subtotal		3.000	3.000	3.000	9.000		72	26,280	
Bookings	Officer		3.000	3.000	3.000	9.000	8	72	26,280	
Bookings	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Property	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Release	Officer		1.000	1.000	1.000	3.000	8	24	8,760	
Rovers	Breaks		3.200	3.000	3.000	9.200	8	74	26,864	
Rovers	1st Floor		1.000	1.000	1.000	3.000	8	24	8,760	
Reception	Assistant		1.000	1.000	-	2.000	2,080		4,160	
Transport	Officer		16.000	-	-	16.000	2,080		33,280	
	Subtotal		27.200	11.000	10.000	48.200		242	88,184	
Annex	Officer	61	2.000	2.000	1.000	5.000	8	40	14,600	
Fairgrounds	Officer	69	2.000	2.000	1.000	5.000	8	40	14,600	
Work Release	Officer	50	2.000	4.000	2.000	8.000	8	64	23,360	
	Subtotal	180	6.000	8.000	4.000	18.000		144	52,560	
Contract Rounding		77								
		1								
Detention Manager			1.000	-	-	1.000	2,080		2,080	
Work Release Counselors/Assistant			5.000	-	-	5.000	2,080		10,400	
Supervisors			1.000	-	-	1.000	2,080		2,080	
Sergeants			7.000	-	-	7.000	2,080		14,560	
Lieutenants			3.000	-	-	3.000	2,080		6,240	
	Subtotal		17.000	-	-	17.000		-	35,360	
Grand Total		785	64.200	33.000	27.000	124.200		-	260,464	
									72,800	

Total Hours Required to meet mission requirements **333,264**

**Snohomish County
FTE - 1999**

	Custody	Work Release	Booking Assistants	Corrections Assistants	Control Room	Total
Detention Manager	1					1
Lieutenant	3					3
Sergeant	7					7
Custody Officer	118					118
Paddy Wagon						-
Control Room Officer					12	12
Booking Assistant			9			9
Reception (Correction Asst)				2		2
Alternative Housing Admin		1				1
Work Release Supervisor		1				1
Corrections Officer		11				11
Work Release Counselor		4				4
Work Release Assistant		1				1
Total	129	18	9	2	12	170

Number of FTE	Hours	Holiday	Vacation	Sick	Training	Other HRS	Usable Hours	Total Usable	Required Hours
138	2,080	(98)	(164)	(111)	(30)	(47)	1,630	224,940	333,264
32	2,080						2,080	72,800	
170								297,740	

Number of hours not covered 35,524
 Number of FTE at 1,630 21.79

Cost of hours at Time/Half	Rate	Hours	Amount
Straight	\$ 18.74	35,524	\$ 665,809
OT	\$ 9.37	35,524	\$ 332,904
Total Cost	\$ 28.11		\$ 998,713

Amount of 1999 overtime \$ 1,356,330

Number of Hours of Overtime (Actual)	48,244	Cost Per Hour	\$ 28.11
Number of Hours to Meet FTE Staffing Requirements	35,524		
Number of hours Over/(Shortage)	12,720		

Controllable and Uncontrollable Overtime \$ 357,617

**Snohomish County
Posts Needs - 1998**

Jail:		POSTS REQUIREMENTS					Shift/Hrs	Hours/Day	365/Days	2080Hr/Yr
		ADP	Day	Swing	Graveyard	Total				
2-N	General Housing II	95	2.000	2.000	1.000	5.000	8	40	14,600	
2-S	General Housing III	66	1.000	1.000	1.000	3.000	8	24	8,760	
3-N	Intake	120	2.000	2.000	2.000	6.000	8	48	17,520	
3-S	Programs Module	69	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Close Supervision	35	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Segregation		-	-	-	-	8	-	-	
4-ND	Max/Discipline		-	-	-	-	8	-	-	
4-SB	Females General Housing	73	1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Females General Housing		1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Segregation		-	-	-	-	8	-	-	
5-N	Psychiatric Module	20	1.000	1.000	1.000	3.000	8	24	8,760	
5-S	Special Housing	36	1.000	1.000	1.000	3.000	8	24	8,760	
	Bookings/Medical Beds	12								
	Subtotal	526	11.000	11.000	10.000	32.000		256	93,440	
4-NT	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
4-ST	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
CCR	Central Control Room		1.000	1.000	1.000	3.000	8	24	8,760	
	Subtotal		3.000	3.000	3.000	9.000		72	26,280	
Bookings	Officer		3.000	3.000	3.000	9.000	8	72	26,280	
Bookings	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Property	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Release	Officer		1.000	1.000	1.000	3.000	8	24	8,760	
Rovers	Breaks		3.200	3.000	3.000	9.200	8	74	26,864	
Rovers	1st Floor		1.000	1.000	1.000	3.000	8	24	8,760	
Reception	Assistant		1.000	1.000	-	2.000	2,080		4,160	
Transport	Officer		12.000	-	-	12.000	2,080		24,960	
	Subtotal		23.200	11.000	10.000	44.200		242	88,184	
Annex	Officer	56	2.000	2.000	1.000	5.000	8	40	14,600	
Fairgrounds	Officer	70	2.000	2.000	1.000	5.000	8	40	14,600	
Work Release	Officer	44	2.000	4.000	2.000	8.000	8	64	23,360	
	Subtotal	170	6.000	8.000	4.000	18.000		144	52,560	
Contract Rounding		61 (3)								
Detention Manager			1.000	-	-	1.000	2,080		2,080	
Work Release Counselors/Assistant			5.000	-	-	5.000	2,080		10,400	
Supervisors			1.000	-	-	1.000	2,080		2,080	
Sergeants			7.000	-	-	7.000	2,080		14,560	
Lieutenants			3.000	-	-	3.000	2,080		6,240	
	Subtotal		17.000	-	-	17.000		-	35,360	
Grand Total		754	60.200	33.000	27.000	120.200		260,464	64,480	

Total Hours Required to meet mission requirements **324,944**

**Snohomish County
FTE - 1998**

	<u>Custody</u>	<u>Work Release</u>	<u>Booking Assistants</u>	<u>Corrections Assistants</u>	<u>Control Room</u>	<u>Total</u>
Detention Manager	1					1
Lieutenant	3					3
Sergeant	7					7
Custody Officer	113					113
Paddy Wagon						-
Control Room Officer					12	12
Booking Assistant			9			9
Reception (Correction Asst)				2		2
Alternative Housing Admin		1				1
Work Release Supervisor		1				1
Corrections Officer		11				11
Work Release Counselor		4				4
Work Release Assistant		1				1
Total	124	18	9	2	12	165

<u>Number of FTE</u>	<u>Hours</u>	<u>Holiday</u>	<u>Vacation</u>	<u>Sick</u>	<u>Training</u>	<u>Other HRS</u>	<u>Usable Hours</u>	<u>Total Usable</u>	<u>Required Hours</u>
138	2,080	(98)	(142)	(126)	(20)	(55)	1,639	226,182	324,944
27	2,080						2,080	64,480	
165								290,662	

Number of hours not covered 34,282
 Number of FTE at 1,639 20.92

Cost of hours at Time/Half	Rate	Hours	Amount
Straight	\$ 17.78	34,282	\$ 609,390
OT	\$ 8.89	34,282	\$ 304,695
Total Cost	\$ 26.66		\$ 914,085

Amount of 1998 overtime \$ 945,841

	Cost Per Hour
Number of Hours of Overtime (Actual)	35,473 \$ 26.66
Number of Hours to Meet FTE Staffing Requirements	34,282
Number of hours Over/(Shortage)	1,191

Controllable and Uncontrollable Overtime \$ 31,756

**Snohomish County
Posts Needs - 1997**

Jail:		POSTS REQUIREMENTS					Shift/Hrs	Hours/Day	365/Days	2080Hr/Yr
		ADP	Day	Swing	Graveyard	Total				
2-N	General Housing II	86	2.000	2.000	1.000	5.000	8	40	14,600	
2-S	General Housing III	63	1.000	1.000	1.000	3.000	8	24	8,760	
3-N	Intake	119	2.000	2.000	2.000	6.000	8	48	17,520	
3-S	Programs Module	62	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Close Supervision	43	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Segregation		-	-	-	-	8	-	-	
4-ND	Max/Discipline		-	-	-	-	8	-	-	
4-SB	Females General Housing	60	1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Females General Housing		1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Segregation		-	-	-	-	8	-	-	
5-N	Psychiatric Module	19	1.000	1.000	1.000	3.000	8	24	8,760	
5-S	Special Housing	37	1.000	1.000	1.000	3.000	8	24	8,760	
	Bookings/Medical Beds	13								
	Subtotal	502	11.000	11.000	10.000	32.000		256	93,440	
4-NT	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
4-ST	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
CCR	Central Control Room		1.000	1.000	1.000	3.000	8	24	8,760	
	Subtotal		3.000	3.000	3.000	9.000		72	26,280	
Bookings	Officer		3.000	3.000	3.000	9.000	8	72	26,280	
Bookings	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Property	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Release	Officer		1.000	1.000	1.000	3.000	8	24	8,760	
Rovers	Breaks		3.200	3.000	3.000	9.200	8	74	26,864	
Rovers	1st Floor		1.000	1.000	1.000	3.000	8	24	8,760	
Reception	Assistant		1.000	1.000	-	2.000				4,160
Transport	Officer		12.000	-	-	12.000	2,080			24,960
	Subtotal		23.200	11.000	10.000	44.200		242	88,184	29,120
Annex	Officer	47	-	-	-	-		-	-	
Fairgrounds	Officer	67	2.000	2.000	1.000	5.000	8	40	14,600	
Work Release	Officer	51	2.000	4.000	2.000	8.000	8	64	23,360	
	Subtotal	165	4.000	6.000	3.000	13.000		104	37,960	
Contract Rounding		48								
Detention Manager			1.000	-	-	1.000	2,080			2,080
Work Release Counselors/Assistant			5.000	-	-	5.000	2,080			10,400
Supervisors			1.000	-	-	1.000	2,080			2,080
Sergeants			7.000	-	-	7.000	2,080			14,560
Lieutenants			3.000	-	-	3.000	2,080			6,240
	Subtotal		17.000	-	-	17.000		-	-	35,360
Grand Total		715	58.200	31.000	26.000	115.200			245,864	64,480

Total Hours Required to meet mission requirements **310,344**

**Snohomish County
FTE - 1997**

	Custody	Work Release	Booking Assistants	Corrections Assistants	Control Room	Total
Detention Manager	1					1
Lieutenant	3					3
Sergeant	7					7
Custody Officer	113					113
Paddy Wagon						-
Control Room Officer					12	12
Booking Assistant			9			9
Reception (Correction Asst)				2		2
Alternative Housing Admin		1				1
Work Release Supervisor		1				1
Corrections Officer		11				11
Work Release Counselor		4				4
Work Release Assistant		1				1
Total	124	18	9	2	12	165

Number of FTE	Hours	Holiday	Vacation	Sick	Training	Other HRS	Usable Hours	Total Usable	Required Hours
137	2,080	(90)	(129)	(77)	(40)	(79)	1,665	228,105	310,344
28	2,080						2,080	64,480	
165								292,585	

Number of hours not covered 17,759
 Number of FTE at 1,665 10.67

Cost of hours at Time/Half	Rate	Hours	Amount
Straight	\$ 16.99	17,759	\$ 301,737
OT	\$ 8.50	17,759	\$ 150,869
Total Cost	\$ 25.49		\$ 452,606

Amount of 1997 overtime \$ 639,061

Number of Hours of Overtime (Actual)	25,075	Cost Per Hour	\$ 25.49
Number of Hours to Meet FTE Staffing Requirements	17,759		
Number of hours Over/(Shortage)	7,316		

Controllable and Uncontrollable Overtime \$ 186,455

**Snohomish County
Posts Needs - 1996**

		POSTS REQUIREMENTS					Shift/Hrs	Hours/Day	365/Days	2080Hr/Yr
Jail:		ADP	Day	Swing	Graveyard	Total				
2-N	General Housing II	92	2.000	2.000	1.000	5.000	8	40	14,600	
2-S	General Housing III	64	1.000	1.000	1.000	3.000	8	24	8,760	
3-N	Intake	124	2.000	2.000	2.000	6.000	8	48	17,520	
3-S	Programs Module	62	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Close Supervision	44	1.000	1.000	1.000	3.000	8	24	8,760	
4-NC	Segregation		-	-	-	-	8	-	-	
4-ND	Max/Discipline		-	-	-	-	8	-	-	
4-SB	Females General Housing	59	1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Females General Housing		1.000	1.000	1.000	3.000	8	24	8,760	
4-SA	Segregation		-	-	-	-	8	-	-	
5-N	Psychiatric Module	19	1.000	1.000	1.000	3.000	8	24	8,760	
5-S	Special Housing	41	1.000	1.000	1.000	3.000	8	24	8,760	
	Bookings/Medical Beds	12								
	Subtotal	517	11.000	11.000	10.000	32.000		256	93,440	
4-NT	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
4-ST	Control Tower		1.000	1.000	1.000	3.000	8	24	8,760	
CCR	Central Control Room		1.000	1.000	1.000	3.000	8	24	8,760	
	Subtotal		3.000	3.000	3.000	9.000		72	26,280	
Bookings	Officer		3.000	3.000	3.000	9.000	8	72	26,280	
Bookings	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Property	Assistant		1.000	1.000	1.000	3.000	8	24	8,760	
Release	Officer		1.000	1.000	1.000	3.000	8	24	8,760	
Rovers	Breaks		3.200	3.000	3.000	9.200	8	74	26,864	
Rovers	1st Floor		1.000	1.000	1.000	3.000	8	24	8,760	
Reception	Assistant		1.000	1.000	-	2.000	2,080		4,160	
Transport	Officer		12.000	-	-	12.000	2,080		24,960	
	Subtotal		23.200	11.000	10.000	44.200		242	88,184	
Annex	Officer	-	-	-	-	-		-	-	
Fairgrounds	Officer	65	2.000	2.000	1.000	5.000	8	40	14,600	
Work Release	Officer	45	2.000	4.000	2.000	8.000	8	64	23,360	
	Subtotal	110	4.000	6.000	3.000	13.000		104	37,960	
Contract		3								
Rounding		1								
Detention Manager			1.000	-	-	1.000	2,080		2,080	
Work Release Counselors/Assistant			4.000	-	-	4.000	2,080		8,320	
Supervisors			1.000	-	-	1.000	2,080		2,080	
Sergeants			6.000	-	-	6.000	2,080		12,480	
Lieutenants			3.000	-	-	3.000	2,080		6,240	
	Subtotal		15.000	-	-	15.000		-	31,200	
Grand Total		631	56.200	31.000	26.000	113.200		245,864	60,320	

Total Hours Required to meet mission requirements **306,184**

**Snohomish County
FTE - 1996**

	<u>Custody</u>	<u>Work Release</u>	<u>Booking Assistants</u>	<u>Corrections Assistants</u>	<u>Control Room</u>	<u>Total</u>
Detention Manager	1					1
Lieutenant	3					3
Sergeant	6					6
Custody Officer	104					104
Paddy Wagon						-
Control Room Officer					12	12
Booking Assistant			9			9
Reception (Correction Asst)				2		2
Alternative Housing Admin		1				1
Work Release Supervisor		1				1
Corrections Officer		11				11
Work Release Counselor		4				4
Work Release Assistant		1				1
Total	114	18	9	2	12	155

<u>Number of FTE</u>	<u>Hours</u>	<u>Holiday</u>	<u>Vacation</u>	<u>Sick</u>	<u>Training</u>	<u>Other HRS</u>	<u>Usable Hours</u>	<u>Total Usable</u>	<u>Required Hours</u>
130	2,080	(84)	(145)	(103)	(20)	(42)	1,686	219,180	306,184
25	2,080						2,080	60,320	
155								279,500	

Number of hours not covered 26,684
 Number of FTE at 1,686 15.83

Cost of hours at Time/Half	Rate	Hours	Amount
Straight	\$ 15.87	26,684	\$ 423,546
OT	\$ 7.94	26,684	\$ 211,773
Total Cost	\$ 23.81		\$ 635,319

Amount of 1996 overtime \$ 644,128

	Cost Per Hour
Number of Hours of Overtime (Actual)	27,054 \$ 23.81
Number of Hours to Meet FTE Staffing Requirements	26,684
Number of hours Over/(Shortage)	370

Controllable and Uncontrollable Overtime \$ 8,809

Detention Manager	1.000	-	-	2080
Work Release Counselors/Assistant	5.000	-	-	2080

6.000	-	-	-	0
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