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Department of Corrections Safety-Related Staffing Plans

October 2023



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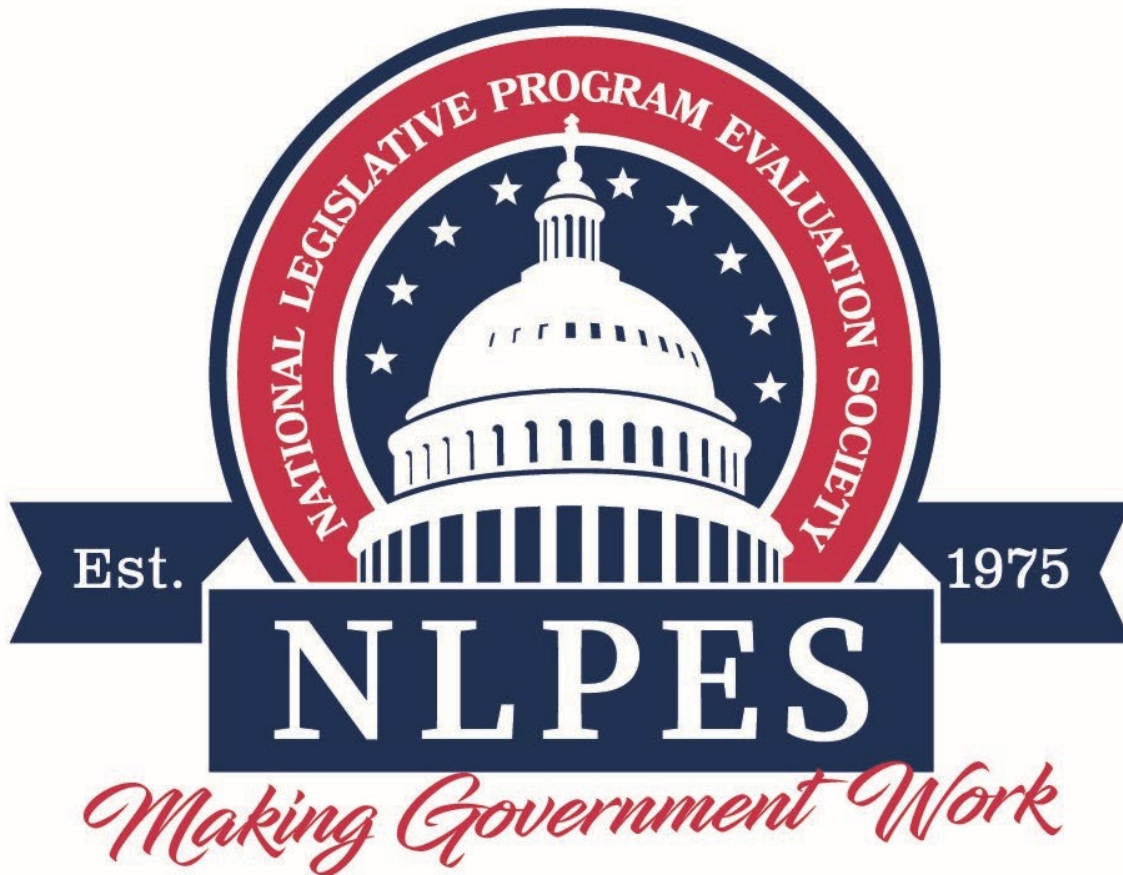
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TABLE OF CONTENTS



Report Summary & Recommendations S-1

Report Sections

I. Objectives, Scope, and Methodology 1

II. Background Information 5

III. Safety-Related Staffing Models: Costs and Impacts17

 A. Current SCI Staffing17

 B. SCI Staffing Safety Plans 21

 C. Projected Cost of Proposed SCI Staffing Safety Plans 27

 D. Impacts on SCI Staffing 29

IV. Violence Reporting in SCIs 33

 A. Violent Incidents in SCIs 37

 B. Inmate-on-Staff Assaults 41

V. Corrections Officers Training 47

 A. Training and Staff Development 47

 B. First-Year Training Requirements for Corrections Officer Trainees 49

 C. Required In-Service Training 52

 D. Training Plans 54

Appendices 57

 A. Appendix A – House Resolution 174 57

 B. Appendix B - Five-Year Average of SCI CO1 and CO2 Complements and
 Spending: Regression Analysis 59

 C. Appendix C – Five-Year Average of SCI CO1 Complements and Spending for
 Institutions Impacted by HR 174 Proposals: Regression Analysis 61

 D. Appendix D – Violent Guilty Incidents by SCI 63

 E. Appendix E – Inmate-on-Staff Assault Guilty Incidents by SCI 65

 F. Appendix F – Inmate-on-Inmate Assault Guilty Incidents by SCI 67

 G. Appendix G – Inmate Fight Guilty Incidents by SCI 69

 H. Appendix H – 2023 Basic Training Courses for COTS 71

 I. Appendix I – Department of Correction’s - Response 77

 J. Appendix J - LBFC’s Response to DOC’s Comments on the Draft Report 81

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SUMMARY & RECOMMENDATIONS



Objectives and Scope

- ❖ *To determine the cost of implementing a safety plan for staffing state correctional institutions on Level 3 and Level 4 housing units.*
- ❖ *To determine the cost to have all Level 3 and Level 4 housing units at state correctional institutions staffed by at least two corrections officers per pod when inmates are permitted freedom of movement from their cells.*
- ❖ *To make recommendations as to any appropriate action.*

House Resolution 174 requires the Legislative Budget and Finance Committee to study the cost of implementing a safety plan on all Level 3 and Level 4 housing units in Pennsylvania's Department of Corrections (DOC) state correctional institutions (SCIs).

Background

There are 23 SCIs throughout Pennsylvania, primarily for adult male inmates. DOC classifies each SCI as a low (2), medium (3), or close watch (4) security facility. Although they primarily house adult males, multiple facilities house inmates with special circumstances, such as women, juveniles, or those who are geriatric, terminally ill, or have drug and alcohol histories.

SCIs have different configurations, depending on when they were built. Ten of the 23 SCIs are prototypical designs, a style of housing that emerged primarily in the 1990s after the SCI Camp Hill riot.¹ Prototypical generally refers to a construction style where the housing units are of a similar, modern design, with cells facing toward an open area so staff can observe each cell from the floor.

Typically, in prototypical SCIs, each housing unit, usually two floors, is divided into two "pods" that can house up to 120 inmates. In Custody Level 3 housing units, the correctional officer assigned to a pod generally has a clear line of site to all cells. In a Custody Level 4 housing unit, there is also a locked control bubble, typically a glassed-in, office-like room from which the assigned corrections officer also has a line of site to both pods on either side of the housing unit.

The other SCIs, classified as non-prototypical, have different configurations depending on various factors, often from when they were built. For example, SCI Rockview (opened in 1915) and SCI Dallas (opened in 1960) are linear prisons where cells are laid out in rows. In addition, some SCIs were not initially constructed as correctional institutions; for

¹ On October 25-26, 1989, inmates rioted at SCI Camp Hill. According to DOC, over the two days of the riot, 69 staff and 41 inmates were injured. This riot prompted several changes within the department, including the prison design changes we note in this report.

example, SCI Waymart was the former Farview State Hospital, operated by the then Department of Public Welfare.

Locations of Pennsylvania State Correctional Institutions



Inmate Classification

In addition to having varying security levels, each SCI houses inmates of differing custody levels (CL), ranging from Custody Levels 2 to 5, with CL 5 being the most restrictive. Upon entry into the DOC system, each inmate is assessed with the Pennsylvania Additive Classification Tool (PACT), an evaluation method, with other factors taken into consideration as well, including:

- Severity of the inmate’s current and past crimes.
- Escape-related behavior in both secure and non-secure settings.
- Misconduct history.
- Number of prior incarcerations.
- Sentence length.
- Social factors, including age, marital status, and employment status.

This report is focused on Custody Levels 3 and 4, with Level 4 being the more restrictive level.

Corrections Officers (COs)

DOC employs nearly 15,000 staff in various positions throughout the commonwealth, of which over 7,000 are CO1s or CO2s. COs are “contact” employees, responsible for inmates’ care, custody, and control.

COs are classified into five levels based on experience, duties, and responsibility.² This report focuses on CO1s and CO2s, as, according to DOC, they are most likely to monitor Level 3 or Level 4 housing units. COs can work above or below their current level based on the needs of their facilities.

Safety-Related Staffing Models: Cost and Impacts

House Resolution 174 directs the LBFC to determine the cost of implementing a safety plan for staffing at SCIs with Level 3 and Level 4 housing units.

Current Staffing Practices on Level 3 and Level 4 Housing Units

A primary challenge to conducting a thorough cost analysis, as directed by HR 174, was the degree of variety between facilities regarding staffing. The staffing models employed on Level 3 and Level 4 housing units depend heavily on the construction and design of each SCI. The primary difference between Level 3 and Level 4 housing units is the existence and use of a secure control bubble as the control center for the entire housing unit. According to DOC, all Level 4 housing units have a secure control bubble staffed during all three shifts throughout the day. Level 3 housing units either do not have a secure bubble or do not use it as the control center for the housing unit.

Prototypical facilities employ similar staffing models for Level 3 and Level 4 housing units. Two CO1s and one CO2 typically staff Level 3 housing units on the first and second shifts.³ The CO1s are stationed on each pod of the housing unit, while the CO2 rotates between the pods and provides relief for meals, breaks, and other support when necessary.

² The five classifications are Corrections Officer 1 (most junior), Corrections Officer 2 (lead officer), Corrections Officer 3 (supervisory officer), Corrections Officer 4 (advanced supervisory officer), and Corrections Officer 5 (managerial officer).

³ According to DOC, all inmates are locked in their cells and thus have no freedom of movement overnight. Therefore, there are fewer safety concerns for COs on the third shift.

Three CO1s and one CO2 staff Level 4 housing units. In these units, two CO1s are stationed in each pod, while the remaining CO1 and CO2 float between the pods, providing relief and support as needed. According to DOC, it is at the discretion of the SCI to determine the rank of the CO stationed in the secure bubble on Level 4 housing units.

Of the 19 SCIs included in this study, eight are non-prototypical facilities, which, in many cases, differ from the standard staffing practices discussed above. Furthermore, across prototypical and non-prototypical facilities, specialized units (such as for inmates with special needs) can require additional COs to be staffed on a particular housing unit.

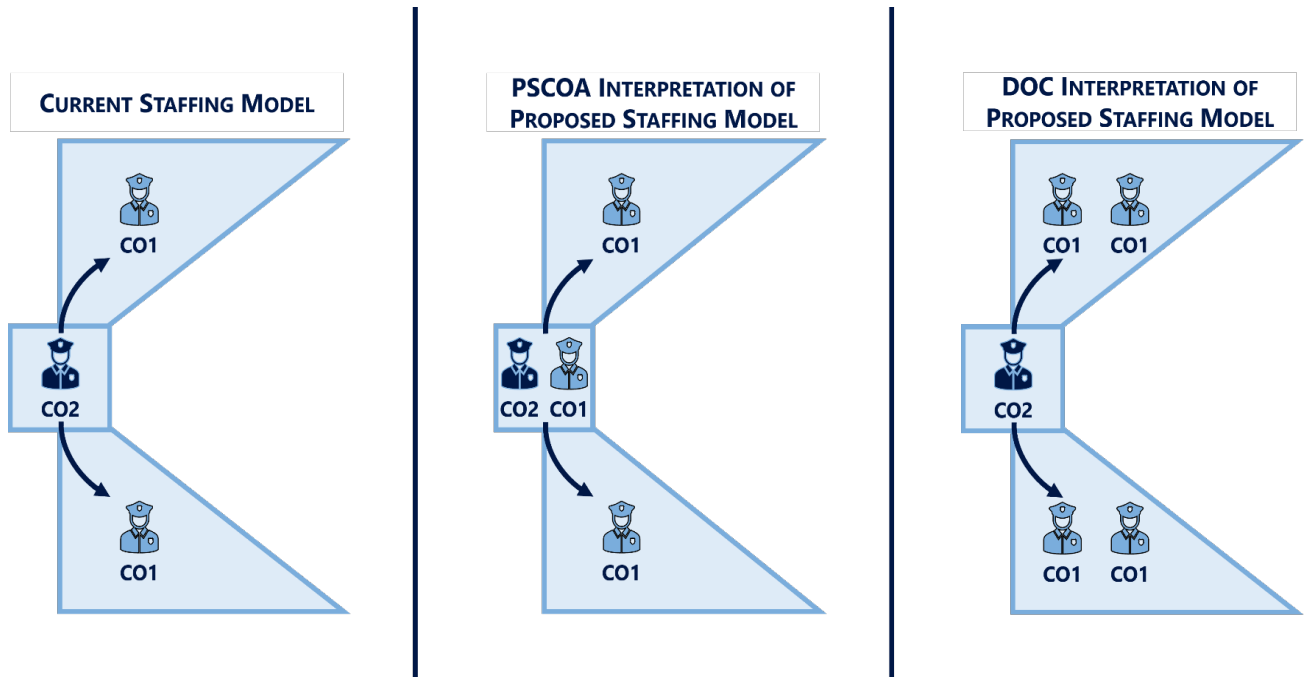
According to the information provided by DOC, eight of the 19 SCIs reviewed for this study (SCIs Benner Township, Chester, Coal Township, Dallas, Houtzdale, Huntingdon, Rockview, and Pine Grove) currently only have Level 3 housing units, with seven of those facilities either not occupying their Level 4 housing units or using them in a Level 3 capacity.⁴ Conversely, six facilities (SCIs Camp Hill, Fayette, Forest, Frackville, Greene, and Smithfield) operate exclusively Level 4 housing units. The remaining five facilities (SCIs Albion, Mahanoy, Muncy, Phoenix, and Somerset) operate Level 3 and Level 4 housing units.

Proposed Staffing-Related Safety Plans

HR 174 directs LBFC to determine the cost of implementing a staffing safety plan on Level 3 and Level 4 housing units staffed by at least two correctional officers per pod where inmates are permitted freedom of movement from their cells. However, after discussing the issue with the two primary stakeholders – DOC and the Pennsylvania State Corrections Officers Association (PSCOA) – we realized there are differing interpretations of how to accomplish this plan. A simplified illustration of each model is displayed in the exhibit below.

⁴ These facilities may have other housing units for other custody levels that are not the focus of this study.

Interpretation of Staffing Model Proposed in HR 174^a



^a This graphic has been simplified for illustrative purposes.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

Each of the proposed models illustrated above would impact on the staffing levels of SCIs. However, the degree to which each model would impact facilities differs. Please note that when DOC and SCIs plan their staffing and manage their complements of COs, they consider more than the number of open positions needed per shift. Facilities must also consider the number of necessary staff to fill all shifts when COs are on leave (annual, medical, military, etc.). To do this, the department implements a "relief factor" calculation.

Based on the proposal in HR 174, 12 SCIs with Level 3 housing units would require additional staff.⁵ Under PSCOA's model, the 12 facilities would have to staff between 10 and 24 additional shifts per day to adhere to a new staffing safety plan. That equates to approximately 17 to 41 COs per facility needed to fill those shifts once the relief factor is considered. Conversely, SCIs would need to staff between 20 and 48 more shifts per day as part of DOC's interpretation of the proposal in HR 174.

⁵ The 12 facilities are SCIs Albion, Benner Township, Chester, Coal Township, Dallas, Houtzdale, Huntingdon, Mahanoy, Muncy, Phoenix, Pine Grove, and Somerset.

Considering the relief factor, this results in an additional 34 to 83 COs that would be required to fill those new shifts.

Considering the relief factor, facilities under DOC's model would need 581 new CO1s to fill the newly created shifts, whereas PSCOA's model would require 279.

Projected Cost of Proposed SCI Staffing Safety Plans

Although implementing a new staffing safety plan would significantly impact the complement of COs employed at SCIs in Pennsylvania, it would also affect employee costs at these facilities. We used the staffing analysis from above and integrated it into SCI cost modeling to estimate the potential cost of implementing a new staffing safety plan on Level 3 housing units.

Over the five years between FY 2017-18 and FY 2021-22, these 12 facilities spent an average of \$35 million per year on CO1 staff. Under PSCOA's proposed model, average annual spending would be expected to increase to \$37.4 million, or by approximately seven percent per facility. With DOC's model, average yearly expenditures would be expected to grow to \$40.3 million, or by about 16 percent per facility.

The total average spending for the 12 facilities is \$420 million per year. Considering the cost projections under PSCOA's model, total spending would increase by seven percent to an average of \$448.2 million annually. With cost projections under DOC's model, the total average spending per year would increase to \$484.1 million, a change of 15 percent. The DOC model's projected cost averages eight percent more than PSCOA's model.

Impacts on SCI Staffing

In this report, we have outlined proposals to increase CO staffing on Level 3 housing units and documented the potential effects complement changes could have on facility budgets. However, we felt it was necessary to address the potential impact complement changes could have on existing staffing challenges at SCIs throughout the state.

Shortages of COs at SCIs have been well-documented. In 2022, PSCOA reported over 750 CO vacancies in Pennsylvania's state prison system, up from 94 in 2019. While these staffing shortages are a concern, the underlying issues that have led to the shortages, and potential solutions, are outside this report's scope.

In June 2022, the 12 facilities potentially impacted by staffing changes to Level 3 units reported 95 total vacancies at CO1 positions, or an approximate average of nine unfilled positions at each facility. This equated to an average vacancy rate of three percent at these SCIs.

Under PSCOA's model, the average vacancy rate among these facilities would increase to 11 percent. The number of unfilled positions would increase to 378, or an average of 32 per SCI. With the implementation of DOC's model, the average vacancy rate would increase to 18 percent. Total vacancies would climb to 681, or an average of 57 per facility.

SCI Violence Reporting

This report section focuses on violent incidents in SCIs and inmate-on-staff assaults for FY 2017-18 through FY 2021-22. DOC publishes a department-wide yearly violence report for all SCIs, including data on inmate-on-staff assaults, inmate-on-inmate assaults, and inmate fights. The total number of inmates fluctuates. Therefore, for consistency, all totals throughout our analysis are expressed by fiscal year and violent incidents per thousand inmates.

DOC could not provide us with assault data specific to Level 3 and Level 4 housing units; therefore, we were unable to perform a correlation analysis between the number of staff and the number of assaults by housing unit level. However, we did conduct this analysis using the average number of violent incidents and the average number of CO1s and CO2s reported by DOC.

Our analysis found a statistically significant correlation between violent incidents and CO staffing levels during the five-year period. However, this analysis did not find a strong predictive correlation between the two variables.

Total Violent Incidents in SCIs

The DOC Department-wide Violence Report is broken out into four major incident categories:

1. Violent Incidents.
2. Staff Assaults.
3. Inmate Assaults.
4. Inmate Fights.

The exhibit below shows the number of violent incidents per thousand inmates for the four categories.

**DOC Violent Incident Rate by Category
 (Per 1,000 Inmates)**

| Violence Reporting | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|--|------------|------------|------------|------------|------------|
| All Violent Incidents | 54.8 | 55.0 | 64.5 | 37.3 | 44.9 |
| Inmate-on-Staff Assaults (include RHU, Special Housing, and General Population) | 13.4 | 12.7 | 13.7 | 10.3 | 11.4 |
| Inmate-on-Inmate Assaults (include RHU, Special Housing, and General Population) | 16.7 | 16.4 | 18.6 | 10.8 | 13.7 |
| Inmate Fights | 40.3 | 41.5 | 49.2 | 52.8 | 31.3 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

Violent incidents are attempted or non-physical and physical assaults within an SCI. Violent incidents can occur anywhere within an SCI. An analysis performed by DOC found that 29 percent of violent incidents happen within a housing block/pod/unit, 19 percent occur in cells, and 13 percent occur in the exercise yard.

The total number of violent incidents from FY 2017-18 to FY 2021-22 decreased by 37 percent. However, DOC’s inmate population decreased by 23 percent, over 10,000 inmates, during the same period. According to DOC, its inmate population has declined since the onset of the COVID-19 pandemic.

FY 2017-18 to FY 2019-20, the number of violent incidents per thousand inmates increased each fiscal year. The violent incident rate from FY 2019-20 to FY 2020-21 decreased to 37.3 per thousand inmates before rising to 44.9 per thousand inmates in FY 2021-22.

Inmate-on-Staff Assaults

Inmate-on-staff assaults occur throughout SCIs and have resulted in the injury or death of a CO or employee. In FY 2021-22, there were 416 inmate-on-staff (assaults) guilty incidents, resulting in 533 written

misconducts (write-ups), and of those, 457, or 86 percent, resulted in guilty misconducts.⁶ These incidents also resulted in 493 victims and 51 major assault victims.⁷ Inmate-on-staff assaults comprised 25 percent of total assaults.

Inmate-on-Staff Assaults

| | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|--|------------|------------|------------|------------|------------|
| Guilty Incidents (Total Inmate-on-Staff Assaults) | 631 | 574 | 563 | 380 | 416 |
| Written Misconducts | 825 | 805 | 752 | 494 | 533 |
| Guilty Misconducts | 689 | 626 | 620 | 422 | 457 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

Inmate-on-staff assaults are categorized as major, throwing, and general assaults. We show the total number of guilty misconducts per thousand inmates and within the general population across all SCIs.⁸ Assaults occurring on Level 3 and Level 4 housing units are included in the general population. DOC was unable to provide assault data based on custody level.

Inmate-on-Staff Guilty Misconducts (Per 1,000 Inmates)

| | FY 2021-22 | | |
|-----------------------------|------------|----------|---------|
| | Major | Throwing | General |
| Total Assaults | 1.2 | 5.0 | 6.4 |
| General Population Assaults | 1.2 | 1.2 | 2.8 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

⁶ A guilty incident is the total number of inmate-on-staff assaults that have occurred. A written misconduct is essentially a “write-up” of an inmate (or inmates) from DOC staff, which requires the inmate to go through a hearing process to determine guilt. Please note that prison staff may issue more than one written misconduct per incident. If an inmate is found guilty, it is considered a guilty misconduct and is reported as such within the DOC Department-wide Violence Report.

⁷ Major assault victims are those requiring outside medical attention.

⁸ General population refers to the group of inmates who are housed in the main areas of a correctional facility and are not separated from the rest of the inmates based on factors such as age, sex, or offense type.

Corrections Officer Training

We reviewed the training that corrections officers receive when initially hired. In addition to initial training, both COs and other DOC personnel participate in annual in-service training.

Training and Staff Development

DOC Policy 5.1.1, Training and Staff Development outlines training for all staff employed by DOC. This policy aims to establish, implement, and evaluate employee training and development programs that contribute to DOC's mission and establish a system of regular review.

The Bureau of Training and Staff Development within DOC is tasked with developing and implementing a standard, competency-based curriculum, supported by appropriate materials and classroom resources that meet or exceed the American Correctional Association (ACA) standards for correctional agencies.

Upon starting employment with DOC, all employees have minimum training hours that fall into four categories: orientation, basic training, on-the-job training, and in-service training. All staff are also required to participate in annual in-service training. Training hours depend on the type of employee, for example, management, corrections officers, and other employees who may or may not have contact with inmates.

First-Year Training Requirements for a Corrections Officer Trainee (COT)

Each new COT must complete four phases of training to develop the skills and techniques required of a CO. Successful completion of this one-year probationary period results in promotion to Corrections Officer 1 (CO1). The training phases for a COT are:

Phase 1: Pre-Service Training introduces the COT to the overall philosophy of DOC and provides basic skills through orientation to the SCI, shift observation, post development, and basic training. This phase is eight weeks.⁹

⁹ Post development is a 40-hour week to familiarize the COT with the various positions that are staffed by COs within an SCI. The COT is under the guidance of an experienced officer.

Phase 2: Multiple Posts refers to all posts that provide the COT with the support and assistance of another officer working the same post or near the COT.¹⁰ This phase is 13 weeks.

Phase 3: Single Posts refers to any posts that allow the COT to work independently using acquired skills and knowledge for 16 weeks.

Phase 4: Restricted Posts refers to any posts determined to be “high security” or requiring a higher degree of knowledge or experience.¹¹ Phase 4 lasts 15 weeks.

Specialized Training COTs assigned to SCI-Pine Grove or SCI-Muncy to work with young adult offenders must complete the Managing Young Adult Offenders course before the conclusion of their probationary periods. A current DOC employee who transfers to SCI-Pine Grove or SCI-Muncy must complete the course within six months of transfer.

Evaluations begin in Phase 2 of the training and are completed monthly. Additional assessments may be conducted by the training staff at any time if deemed necessary.

Recommendations

- 1. DOC should begin collecting and tracking more detailed violent incident data.** HR 174 asked LBFC to study the cost of implementing a safety plan on all Level 3 and Level 4 housing units in Pennsylvania SCIs. Although we were able to do some analysis of overall violent incidents, the lack of readily available data by housing unit prevented us from performing a more granular analysis exclusively on those two housing units. Increased knowledge of specific violent incident locations would enhance SCIs’ staffing decision-making.
- 2. DOC should invest in an updated Misconduct Tracking System.** According to DOC, only basic data, such as the charged infractions, dates/times of the hearing, sanctions imposed, and appeal decisions, are available in the Misconduct Tracking System. An updated system would allow for streamlined access to and analysis of SCI violent incident data.

¹⁰ New COTs are not assigned to the Security Level 5 Housing Unit, Mental Health Unit (MHU), transportation of inmates, or outside hospital duty.

¹¹ High security in nature includes Security Level 5 Housing Unit, MHU, transportation of inmates, or outside hospital duty.

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SECTION I OBJECTIVES, SCOPE, AND METHODOLOGY



Why we conducted this study...

House Resolution 2022-174 (HR 174) requires the Legislative Budget and Finance Committee (LBFC) to conduct a comprehensive study for staffing on Level 3 and Level 4 housing units within Pennsylvania's state correctional institutions.

HR 174 was adopted by the Pennsylvania House of Representatives on October 26, 2022.

Objectives

Our objectives for this study were as follows:

1. To determine the cost of implementing a safety plan for staffing state correctional institutions (SCIs) on Level 3 and Level 4 housing units.
2. To determine the cost to have all Level 3 and Level 4 housing units at state correctional institutions staffed by at least two corrections officers per pod when inmates are permitted freedom of movement from their cells.
3. To make recommendations as to any appropriate action.

Scope

Our study covered FY 2017-18 through FY 2021-22, specifically focusing on staffing of Level 3 and Level 4 housing units within state correctional institutions.

Methodology

To understand staffing in Pennsylvania's 23 state correctional institutions (SCIs), LBFC staff met with leadership staff for both the Department of Corrections (DOC) and the Pennsylvania State Corrections Officers Association (PSCOA). Both agencies provided LBFC with an overview of staffing practices, concerns, and safety. DOC provided LBFC with financial and staffing data.

To review and analyze violent incidents in SCIs, we used data from DOC's Department-wide Yearly Violence Report. Finally, we used DOC-supplied training materials to review how corrections officers are prepared and trained for a safer work environment.

Frequently Used Abbreviations and Definitions

This report uses several abbreviations for government-related agencies and terms. These abbreviations are defined as follows:

| Abbreviation | Definition |
|--------------|---|
| CO1 | Corrections Officer 1 |
| CO2 | Corrections Officer 2 |
| COT | Corrections Officer Trainee |
| CL | Custody Level |
| DCC | Diagnostic and Classification Center |
| DOC | Department of Corrections |
| PACT | Pennsylvania Additive Classification Tool |
| PSCOA | Pennsylvania State Corrections Officers Association |
| RHU | Restrictive Housing Unit |
| SCI | State Correctional Institution |
| SHU | Specialized Housing Unit |

Acknowledgments

We thank the staff of the Pennsylvania Department of Corrections, including Secretary Laurel Harry. We also thank the Pennsylvania State Corrections Officers Association (PSCOA) for providing input on corrections officers' staffing and safety issues.

Important Note

This report was developed by the Legislative Budget and Finance Committee staff, including Project Manager Anne Witkonis and staff analysts Amy Hockenberry, Shanika Mitchell-Saint Jean, and Matthew Thomas. The release of this report should not be construed as an indication that the Committee as a whole, or its members, necessarily concur with the report's findings, conclusions, or recommendations.

Please direct any questions or comments regarding the contents of this report to:

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SECTION II BACKGROUND INFORMATION



Fast Facts...

- ❖ *There are 23 SCIs throughout Pennsylvania.*
- ❖ *Not all SCIs have custody Level 3 and Level 4 housing units.*
- ❖ *The Department of Corrections employs over 7,000 corrections officers 1 and 2, who mainly have responsibility for inmates.*
- ❖ *SCIs vary in layout and construction.*

House Resolution 174 requires the Legislative Budget and Finance Committee to study the cost of implementing a safety plan on all Level 3 and Level 4 housing units in Pennsylvania's Department of Corrections (DOC) state correctional institutions (SCIs).

State Correctional Institutions

There are 23 SCIs in Pennsylvania, primarily for adult male inmates. DOC classifies each SCI as a low (2), medium (3), or close watch (4) security facility. In addition to the SCIs, shown by location in Exhibit 1, Pennsylvania operates the Quehanna Motivational Boot Camp.¹² SCIs serving inmates with special circumstances beyond that of the general male population are listed below:

- SCI Benner Township serves as the DOC hub for its inmate transportation system.
- SCI Cambridge Springs houses female inmates.
- SCI Camp Hill houses juvenile males under 18.
- SCI Chester provides therapeutic services to inmates with drug and alcohol histories.
- SCI Laurel Highlands also has separate housing units for geriatric and terminally ill male inmates.
- SCI Muncy houses adult female inmates, all female capital case inmates, and Young Adult Offender females.
- SCI Phoenix houses male capital case inmates.
- SCI Pine Grove houses all Young Adult Offender males, ages 18-22.
- SCI Waymart houses DOC's Forensic Treatment Center, which houses mentally disabled male inmates who require inpatient psychiatric care and treatment.

¹² This is DOC's first military-style motivational boot camp. Inmates assigned to the boot camp undergo a six-month disciplinary and training program, which, if successfully completed, will result in placement in a community corrections center or a contract facility for an additional six months. The boot camp accommodates both male and female inmates. Quehanna also houses inmates participating in the State Drug Treatment Program.

Exhibit 1

Locations of Pennsylvania State Correctional Institutions



Source: Developed by LBFC Staff with information from DOC.

SCIs each have a designated security level. They are:

- 2 – Minimum Security.
- 3 – Medium Security.
- 4 – Close Watch Security.

Exhibit 2 shows all SCIs by their security designations, operational capacity, inmate custody level housing units, and full-time equivalent employees (FTE) at all facilities.¹³

¹³ Operational capacity is the number of beds in each SCI as of February 2023. SCIs may be able to house additional inmates.

Exhibit 2

Other Information: Pennsylvania State Correctional Institutions

| | SCI | County | Security Level | Operational Capacity | Custody Levels | FTEs |
|-------------|----------------------|----------------|----------------|----------------------|----------------|-------|
| Male | SCI Albion | Erie | 3 | 2,191 | L2-L5 | 533 |
| | SCI Benner Township | Centre | 3 | 2,144 | L2-L5 | 633 |
| | SCI Camp Hill | Cumberland | 4 | 2,969 | L2-L5 | 784 |
| | SCI Chester | Delaware | 3 | 1,239 | L2-L5 | 399 |
| | SCI Coal Township | Northumberland | 3 | 2,270 | L2-L5 | 526 |
| | SCI Dallas | Luzerne | 3 | 2,106 | L2-L5 | 643 |
| | SCI Fayette | Fayette | 4 | 2,163 | L2-L5 | 690 |
| | SCI Forest | Forest | 4 | 2,374 | L2-L5 | 666 |
| | SCI Frackville | Schuylkill | 4 | 1,174 | L2-L5 | 435 |
| | SCI Greene | Greene | 4 | 1,923 | L2-L5 | 691 |
| | SCI Houtzdale | Clearfield | 3 | 2,372 | L2-L5 | 622 |
| | SCI Huntingdon | Huntingdon | 4 | 2,140 | L2-L5 | 650 |
| | SCI Laurel Highlands | Somerset | 2 | 1,527 | L2-L3, L5 | 599 |
| | SCI Mahanoy | Schuylkill | 3 | 2,308 | L2-L5 | 581 |
| | SCI Mercer | Mercer | 2 | 1,376 | L2-L5 | 440 |
| | SCI Phoenix | Montgomery | 4 | 3,615 | L2-L5 | 1,200 |
| | SCI Pine Grove | Indiana | 4 | 1,043 | L2-L5 | 448 |
| | SCI Rockview | Centre | 3 | 2,356 | L2-L5 | 715 |
| | SCI Smithfield | Huntingdon | 4 | 1,428 | L2-L5 | 503 |
| | SCI Somerset | Somerset | 3 | 2,178 | L2-L5 | 585 |
| SCI Waymart | Wayne | 2 | 1,477 | L2-L3, L5 | 683 | |

| | SCI | County | Security Level | Operational Capacity | Custody Levels | FTEs |
|---------------|-----------------------|----------|----------------|----------------------|----------------|------|
| Female | SCI Cambridge Springs | Crawford | 2 | 1,131 | L2-L3, L5 | 355 |
| | SCI Muncy | Lycoming | 4 | 1,502 | L2-L5 | 562 |

Source: Developed by LBFC Staff with information provided by DOC.

SCIs have different configurations, depending on when they were built. Ten of the 23 SCIs are prototypical designs, a style of housing that emerged primarily in the 1990s after the SCI Camp Hill riot.¹⁴ Prototypical generally refers to a construction style where the housing units are of a similar, modern design, with cells facing toward an open area so staff can observe each of the cells from the floor or control bubble. In a general population setting, the units typically have a butterfly or batwing shape and have two pods.¹⁵ Exhibit 3 shows a prototypical SCI in which butterfly and bat wing housing units may be seen.

Typically, in prototypical SCIs, each housing unit, usually two floors, is divided into two “pods” that can house up to 120 inmates. Cells surround an open area with tables, TVs, phones, etc. In Custody Level 3 housing units, the correctional officer assigned to a pod generally has a clear line of site to all cells. In a Custody Level 4 housing unit, there is also a locked ‘control bubble, typically a glassed-in, office-like room from which the assigned corrections officer also has a clear line of site to both pods on either side of the housing unit.

¹⁴ On October 25-26, 1989, inmates rioted at SCI Camp Hill. According to DOC, over the two days of the riot, 69 staff and 41 inmates were injured. This riot prompted several changes within the department, including the prison design changes we note in this report.

¹⁵ A pod is one of two ‘wings’ that compose a housing unit within a prototypical SCI.

Exhibit 3

Layout of a Prototypical SCI



Source: Ciityofsomerton.com via Google.

The other SCIs, classified as non-prototypical, have different configurations depending on various factors, often from when they were built. For example, SCI Rockview (opened in 1915) and SCI Dallas (opened in 1960) are linear prisons where cells are laid out in rows. SCI Camp Hill is an example of prototypical and non-prototypical housing units.

In addition, some SCIs may not have been initially constructed as correctional institutions; for example, SCI Waymart was the former Farview State Hospital, operated by the then Department of Public Welfare; SCI Cambridge Springs was formerly a college known as Polish National Alliance. Exhibit 4 details the configurations of all Pennsylvania SCIs and shows which have Level 3 and Level 4 Housing Units.

Exhibit 4

SCI Layout Overview

| Facility | Facility Design | Facility Details | Has Level 3 Housing Units? | Has Level 4 Housing Units? | Has Control Bubbles? ^a | Control Bubbles Used? ^a | Has Specialty Program Unit(s) with extra staff? ^a |
|-------------------|----------------------|--|----------------------------|----------------------------|-----------------------------------|------------------------------------|--|
| Dallas | Non-Prototypical | Multiple Unique Housing Unit Designs | Yes | No | No | No | No |
| Benner Township | Prototypical | | Yes | Operates as a CL3 | Yes | No | Yes |
| Chester | Non-Prototypical | Vertical Structure of Prototypical Units | Yes | Operates as a CL3 | No | No | Yes |
| Coal Township | Prototypical | | Yes | Operates as a CL3 | Yes | No | No |
| Houtzdale | Prototypical | | Yes | Operates as a CL3 | Yes | No | Yes |
| Huntingdon | Non-Prototypical | Multiple Linear Wings with Varying Tiers | Yes | Operates as a CL3 | No | No | Yes |
| Pine Grove | Prototypical | | Yes | Operates as a CL3 | Yes | Yes | Yes |
| Rockview | Non-Prototypical | Multiple Unique Housing Unit Designs | Yes | Operates as a CL3 | Yes | Yes | Yes |
| Albion | Prototypical | | Yes | Yes | Yes | Yes | Yes |
| Mahanoy | Prototypical | | Yes | Yes | Yes | Yes | Yes |
| Muncy | Non-Prototypical | Multiple Unique Styles of Housing Units; Two Prototypical Units | Yes | Yes | Yes | Yes | Yes |
| Phoenix | Prototypical | | Yes | Yes | Yes | Yes | Yes |
| Somerset | Prototypical | | Yes | Yes | Yes | Yes | Yes |
| Camp Hill | Partial Prototypical | Current Operation Housing Units are Prototypical; Contains Four Linear Style Units | No | Yes | Yes | Yes | Yes |
| Fayette | Prototypical | | No | Yes | Yes | Yes | No |
| Forest | Prototypical | | No | Yes | Yes | Yes | No |
| Frackville | Non-Prototypical | Multiple Linear Wings | No | Yes | Yes | Yes | No |
| Greene | Prototypical | | No | Yes | Yes | Yes | Yes |
| Smithfield | Non-Prototypical | Multiple Similar Non-Prototypical Housing Units; One Prototypical Unit | No | Yes | Yes | Yes | No |
| Cambridge Springs | Non-Prototypical | Multiple Unique Styles of Housing Units; One Prototypical Unit | | Operates as a CL2 | No | No | No |
| Laurel Highlands | Non-Prototypical | Multiple Unique Styles of Housing Units; One Prototypical Unit | | Operates as a CL2 | No | No | No |
| Mercer | Non-Prototypical | Multiple Unique Styles of Housing Units; Two Prototypical Units | | Operates as a CL2 | No | No | No |
| Waymart | Non-Prototypical | Multiple Unique Housing Unit Designs; Mostly Dormitory Housing | | Operates as a CL2 | No | No | No |

Level 3 Housing Units Only

Level 4 Housing Units Operating as Level 3

Level 3 and Level 4 Housing Units

Level 4 Housing Units Only

Operates as Level 2 Housing Units (Excluded from Study)

^a Information pertaining to control bubbles and specialty program units applies to the entire SCI, not just Level 3 or Level 4 housing units.

Source: Developed by LBFC staff from information obtained from DOC.

Inmate Classification and Custody Levels

Each prison houses varying inmate custody levels ranging from Levels 2 to 5, with Level 5 being the most restrictive. Exhibit 5 below describes each custody level, although our report addresses Levels 3 and 4.

Inmates' custody level is not necessarily synonymous with their level of secured housing, meaning an inmate can have a certain custody level and be placed within a different level of secured housing. DOC houses custody Level 2, 3, and 4 inmates on Level 3 and Level 4 housing units. According to a DOC official, the Pennsylvania Additive Classification Tool (PACT) system determines custody level. However, DOC does not necessarily place all custody level 3 inmates in Level 3 housing and custody level 4 inmates in Level 4 housing.

DOC states that although it has confidence in its assessment and determination of custody level, it is not a perfect science, and there are other factors to consider when determining inmate placement. The department also considers programming, education, treatment, separations, specialized housing units, mental health stability, etc. A DOC official also explained that Level 3 housing units are not necessarily inherently more dangerous than Level 2 and less dangerous than Level 4 housing because each contains a mix of custody Level 2, 3, and 4 inmates.

Exhibit 5

Custody Levels within Pennsylvania SCIs

| Custody Level | Description |
|------------------------------|--|
| Custody Level 1 (CL1) | Includes inmates approved for the State Drug Treatment Program (SDTP), ^a with placement in a Community Corrections Center (CCC) ^b or Community Contract Facility (CCF) ^c . DOC assigns inmates with commuted life sentences, awaiting placement in a CCC/CCF and pending parole release, to this level. Other individuals in this custody status reside in the community and can engage in community programming, recreation, and employment opportunities. |
| Custody Level 2 (CL2) | Inmates who demonstrate patterns of non-aggressive and compliant behavior. These inmates may be approved to participate in work assignments outside the secure facility perimeter or at sites under the control of the department. Within the facility perimeter, the inmate is generally authorized for movement within designated areas with intermittent, direct observation by staff. Inmates in this custody status are eligible for incentive-based transfers, most vocational programming, and most work assignments within the facility. Inmates of this custody status may be housed in dormitory settings. |
| Custody Level 3 (CL3) | Inmates who are permitted reasonable freedom of movement within designated areas of the facility perimeter. These inmates are allowed access to most jobs |

and programs within the facility. They require frequent, direct supervision and cannot participate in work assignments outside the secure perimeter.

**Custody Level 4
(CL4)**

Inmates who require a high degree of supervision and may include those at greater risk of escape, have a history of predatory or assaultive behavior within the facility perimeter and are viewed as a higher risk. They are permitted access to selected programs and jobs within the facility perimeter and are under constant observation or escort when moving throughout the facility individually or in groups. Newly received inmates who are unclassified are assigned to this level. Inmates in this custody level are not permitted to work in areas with access to the perimeter or potentially dangerous maintenance tools, chemicals, or other vulnerable areas within the perimeter.

**Custody Level 5
(CL5)**

Inmates who are housed in special management settings, such as a Restrictive Housing Unit (RHU), due to disciplinary sanctions or administrative custody procedures. They may have a history of assaultive behavior, pose a risk to the safety and security of the facility, or demonstrate a need for protection that requires a high degree of structure. Inmates in this status require continual direct and indirect supervision by staff. They may participate in select programs in their cells or in small, controlled, highly supervised groups in the housing unit. When out of their cells, inmates are always under escort, except as permitted by the Program Review Committee, as part of programs established to reintegrate the inmate into a general population setting. These inmates receive non-contact or virtual visits. Custody level 5 is the most restrictive.

^a SDTP is a 24-month intensive treatment program available to eligible individuals and consisting of four levels.

^b Community Corrections Center (CCC) is a residential facility operated by the Bureau of Community Corrections to provide residential and treatment services to certain reentrants.

^c Community Contract Facility (CCF) is a residential facility operated by a private or public entity contracted to provide residential housing and services to reentrants.

Source: Developed by LBFC staff from information obtained from the DOC Reception and Classification Policy 11.2.1.

Due to COVID-19, male inmates entering the state correctional system are quarantined at SCI Smithfield for 28 days before being routed to the Diagnostic and Classification Center (DCC), which is SCI Camp Hill for adult male inmates. Female inmates enter SCI Muncy for quarantine and classification.^{16,17} Upon reception to the department, each inmate undergoes a classification process that establishes a baseline custody level. That custody level is reviewed and updated annually through an inmate's annual review process. DOC determines custody level using the

¹⁶ Youth inmates (under age 18) are routed to the Young Adult Offender Program (YAOP) within 24 hours of reception to complete the initial reception and classification procedures. They are housed in the Youthful Inmate Unit (SCI Camp Hill for males and SCI Muncy for females) until reaching age 18.

¹⁷ A Diagnostic and Classification Center (DCC) is a correctional facility that assesses custody, security, programmatic, and special needs of inmates who are new commitments, some parole violators, or temporary transfers for pre-sentence assessment.

PACT assessment tool, with two distinct versions related to the initial and reclassification custody level.¹⁸

Additional special housing units (SHUs) exist throughout Pennsylvania's SCIs to serve inmates with different needs. These SHUs include the Behavioral Management Unit, Infirmary, Long-Term Custody Level 5 Housing, Mental Health Unit, Protective Custody/Personal Care Unit, Secure Residential Treatment Unit, and Special Observation Unit. Because our scope is limited to Level 3 and Level 4 housing units, we did not review staffing on the SHUs.

Initial Classification

The initial classification of inmates is predicated on a series of risk indicators and stability factors that are assigned point values, aggregating to an overall classification score. Each custody level is assigned a scoring range, and any inmate falling within the range is assigned that custody level. Because the initial custody level is completed at a time when the department has limited knowledge of the inmate's behavior tendencies within the facility, the initial classification focuses more on historical risk factors, including:

- Severity of the inmate's current and past crimes.
- Escape-related behavior in both secure and non-secure settings.
- Misconduct history.
- Number of prior incarcerations.
- Sentence length.
- Social factors, including age, marital status, and employment status.

During an initial classification, an inmate may be assigned custody Levels 2, 3, or 4. DOC uses several evaluation tools to determine custody levels, including:

- Evaluation for inclusion on the Escape Risk List.
- Completion of the Diagnostic-Classification Report Reception Checklist to determine and make any immediate referrals where appropriate.
- Administration of the Prison Rape Elimination Act (PREA) Risk Assessment Tool.
- Evaluation for housing concerns, including sexual predators and gang affiliations. Inmates may also be assigned a program

¹⁸ The PACT tool is confidential, and its details are not available for public consumption.

letter code which can give further indications regarding inmates and custody level.¹⁹

Corrections Officers

DOC employs nearly 15,000 staff across various positions throughout the commonwealth, of which over 7,000 are CO1s or CO2s.²⁰ COs are “contact” employees responsible for inmates’ care, custody, and control.

COs are classified into five levels based on experience, duties, and responsibility levels.²¹ This report focuses on CO1s and CO2s, as, according to DOC, they are most likely to monitor Level 3 or Level 4 housing units. COs can work above or below their current level based on the needs of the facility.

Exhibit 6 outlines the primary duties of CO1s and CO2s and highlights several key distinctions between the two positions.

¹⁹ For example, inmates who are designated custody Level 2 with an R code are cleared to participate in work or program assignments outside the secure perimeter, but on facility grounds. A Z code indicates an inmate housed in a single occupancy cell and can be on any custody level. An H code indicates an inmate living in Level 4 or Level 5 custody who is, for example, on the Escape Risk List or identified as a sexual predator.

²⁰ The total number of DOC staff is as of FY 2017-18. See <https://www.cor.pa.gov/About%20Us/Pages/History.aspx>, accessed July 7, 2023.

²¹ The five classifications are Corrections Officer 1 (most junior), Corrections Officer 2 (lead officer), Corrections Officer 3 (supervisory officer), Corrections Officer 4 (advanced supervisory officer), and Corrections Officer 5 (managerial officer).

Exhibit 6

CO1 and CO2 Snapshot



CORRECTIONS OFFICER 1 (CO1)



General Duties and Tasks

- Ensures **facility security** is **maintained** and **rules** are **adhered to**
- **Observes inmates** from various locations throughout the facility
- **Directs inmate activities** in cellblocks, housing units, and work, dining, and recreation areas
- Provide **advice** and **guidance** to **inmates** during adjustment to and participation in the correctional process



Minimum Training and Experience

- Completion of **Corrections Officer Training Program** **or**
- **One year** of security work at a **Pennsylvania state** or **county corrections facility**

6,420

Average Number Statewide between FY 2017-18 and FY 2021-22



CORRECTIONS OFFICER 2 (CO2)



General Duties and Tasks

- Ensures **facility security** is **maintained** and **rules** are **adhered to**
- **Observes inmates** from various locations throughout the facility
- **Directs inmate activities** in cellblocks, housing units, and work, dining, and recreation areas
- Provide **advice** and **guidance** to **inmates** during adjustment to and participation in the correctional process

In addition, CO2s also:

- **Instruct lower-level security personnel** on procedures, security measures, or other courses of action to be taken
- Perform **other specialized work** in the care, custody, control, and non-professional counseling of inmates as needed



Minimum Training and Experience

- **One year** as a **CO1** **or**
- **Two years** of security work at a **Pennsylvania state** or **county corrections facility**

1,076

Average Number Statewide between FY 2017-18 and FY 2021-22

Source: Developed by LBFC staff from information obtained from DOC.

CO1s are the most junior of the five levels of corrections officers (excluding trainees). To become a CO1, candidates must complete the Corrections Officer Training Program (discussed further in Section V) or have at least one year of corrections security work experience at a commonwealth or county corrections facility.²² CO1s perform various duties to enforce facility rules and maintain security, including monitoring and supervising inmate movement, inspecting inmate living quarters, and quelling disturbances. Additionally, CO1s are expected to non-professionally counsel inmates in matters both personal and related to facility adjustment. According to data provided by DOC, on average, 6,420 CO1s were employed across the 23 SCIs between FY 2017-18 and FY 2021-22.

CO2s must have served as a CO1 for at least one year to promote to this class. Outside candidates may be hired as CO2s if they have at least two years of experience in corrections security work at an SCI or county corrections facility.

In addition to conducting the same tasks performed by CO1s, CO2s must be able to instruct lower-level personnel on security measures, workplace procedures, or other necessary actions taken throughout the

²² All candidates applying for a CO position with previous corrections experience must complete a training program conducted by DOC.

facility. Further, CO2s may be required to perform other specialized work related to inmates' care, custody, control, and non-professional counseling. According to data provided by DOC, there were, on average, 1,076 CO2s employed at SCIs statewide between FY 2017-18 and FY 2021-22.

SECTION III SAFETY-RELATED STAFFING MODELS: COSTS AND IMPACTS



Fast Facts...

- ❖ *SCI staffing is dependent on the design of the facility.*
- ❖ *There are two differing theories on how the staffing requirements of HR 174 could be applied. Impacted SCI CO1 complements could increase by an average of nine to 19 percent depending on the model.*
- ❖ *If safety-related staffing plans were implemented, we project spending to increase by an average of seven to 16 percent per SCI, depending on the model.*
- ❖ *CO complement increases could further exacerbate SCI staffing shortages.*

House Resolution 174 directs us to determine the cost of implementing a safety plan for staffing at commonwealth state correctional institutions (SCIs) with Level 3 and Level 4 housing units.

Key Findings

Key findings discussed in this section:

1. Depending on the model, our correlation analysis found projected total CO1 spending at impacted SCIs to range between \$448 million and \$484 million annually, translating to average increases of seven to 15 percent.
2. As a result of increased staffing needs, SCI vacancy rates could increase by averages of 11 to 18 percent per facility.

A. Current SCI Staffing

To understand the proposed staffing models discussed in this report, it is important to know how Pennsylvania's SCIs staff their housing units. Below, we provide a high-level overview of the current staffing practices on Level 3 and Level 4 housing units at SCIs across the state.

Current Staffing Practices on Level 3 and Level 4 Housing Units

At the direction of the Department of Corrections (DOC), SCIs across the commonwealth adhere to standards and protocols for daily operations, including inmate classification, population management, training and professional development, and other areas. However, the management at each SCI has some degree of discretion to enact practices to meet each facility's specific needs.

The staffing models employed on Level 3 and Level 4 housing units depend heavily on the construction and design of each SCI. As discussed in Section II, SCIs constructed in a “prototypical” model have housing units designed with triangle-shaped pods that look like butterfly wings, “X” patterns, or other open concepts, allowing COs to have a clear line of sight across the entire floor.²³ The primary difference between Level 3 and Level 4 housing units is the existence and use of a secure control bubble as the control center for the entire housing unit.²⁴ According to DOC, all Level 4 housing units have a secure control bubble staffed during all three shifts throughout the day. Level 3 housing units either do not have a secure bubble or do not use it as the control center for the housing unit (discussed further below).

Since they must operate 24 hours a day, SCIs staff their housing units over three shifts. Although there may be slight variations in the start and end times in some facilities, typically, shift times are as follows:

- *First shift* operates from 6 AM to 2 PM.
- *Second shift* operates from 2 PM to 10 PM.
- *Third shift* operates from 10 PM to 6 AM.

Our study focuses only on the first and second shifts. According to DOC, all inmates are locked in their cells and thus have no freedom of movement overnight. Therefore, there are fewer safety concerns for COs during the third shift.

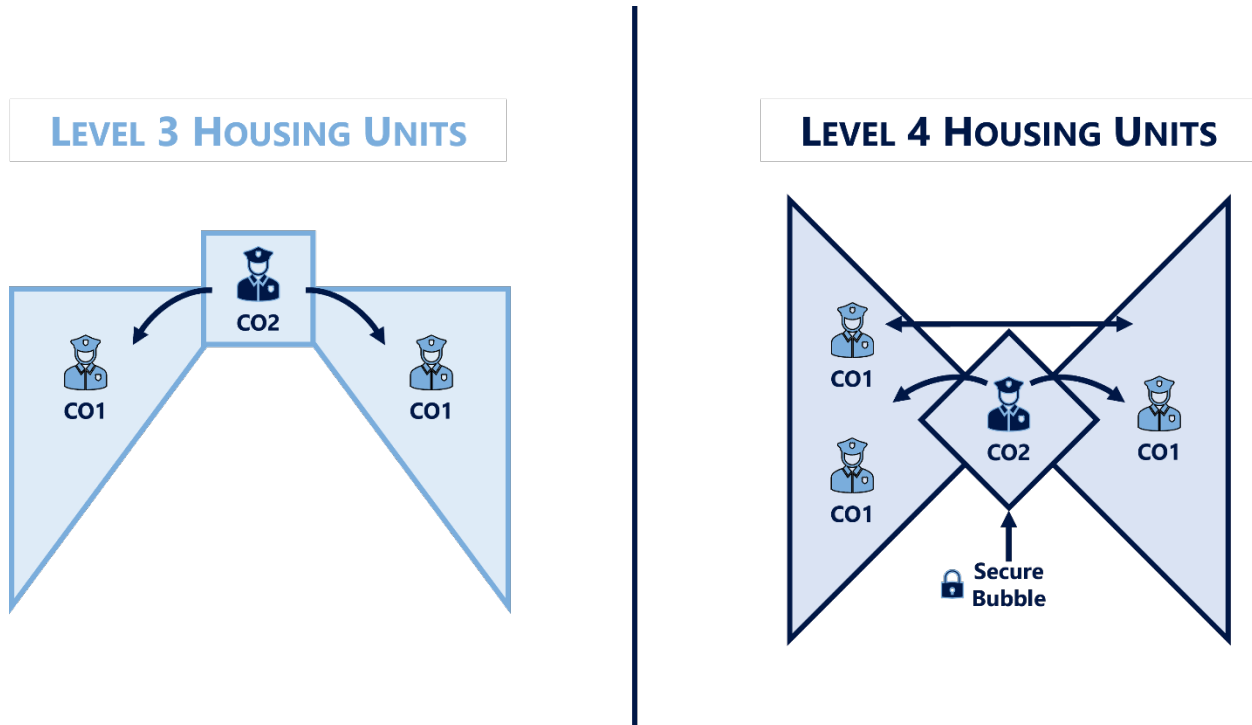
Prototypical facilities employ similar staffing models for Level 3 and Level 4 housing units. Two CO1s and one CO2 typically staff Level 3 housing units on the first and second shifts. The CO1s are stationed on each pod of the housing unit, while the CO2 rotates between the pods and provides relief for meals, breaks, and other support when necessary. Three CO1s and one CO2 staff Level 4 housing units. In these units, two CO1s are stationed in each pod, while the remaining CO1 and CO2 float between the pods, providing relief and support as needed. According to DOC, it is at the discretion of the SCI to determine the rank of the CO stationed in the secure bubble on Level 4 housing units. Exhibit 7 provides a graphical representation of the current staffing models commonly used on Level 3 and Level 4 housing units.

²³ A pod is one of two ‘wings’ that compose a housing unit within a prototypical SCI.

²⁴ A control bubble is typically a glassed-in, office-like room from which the assigned corrections officer also has a line of site to both pods on either side of the housing unit.

Exhibit 7

**Standard SCI Staffing Practices of Prototypical
Level 3 and Level 4 Housing Units^a**



^a This graphic has been simplified for illustrative purposes.

Source: Developed by LBFC staff from information obtained from DOC.

We attempted to create a snapshot of current staffing on Level 3 and Level 4 housing units at SCIs across Pennsylvania. However, as noted in Section II, SCIs have various designs depending on when or for what purpose they were constructed. Although DOC has standard staffing practices, facility design can make modeling staffing at the statewide level difficult.

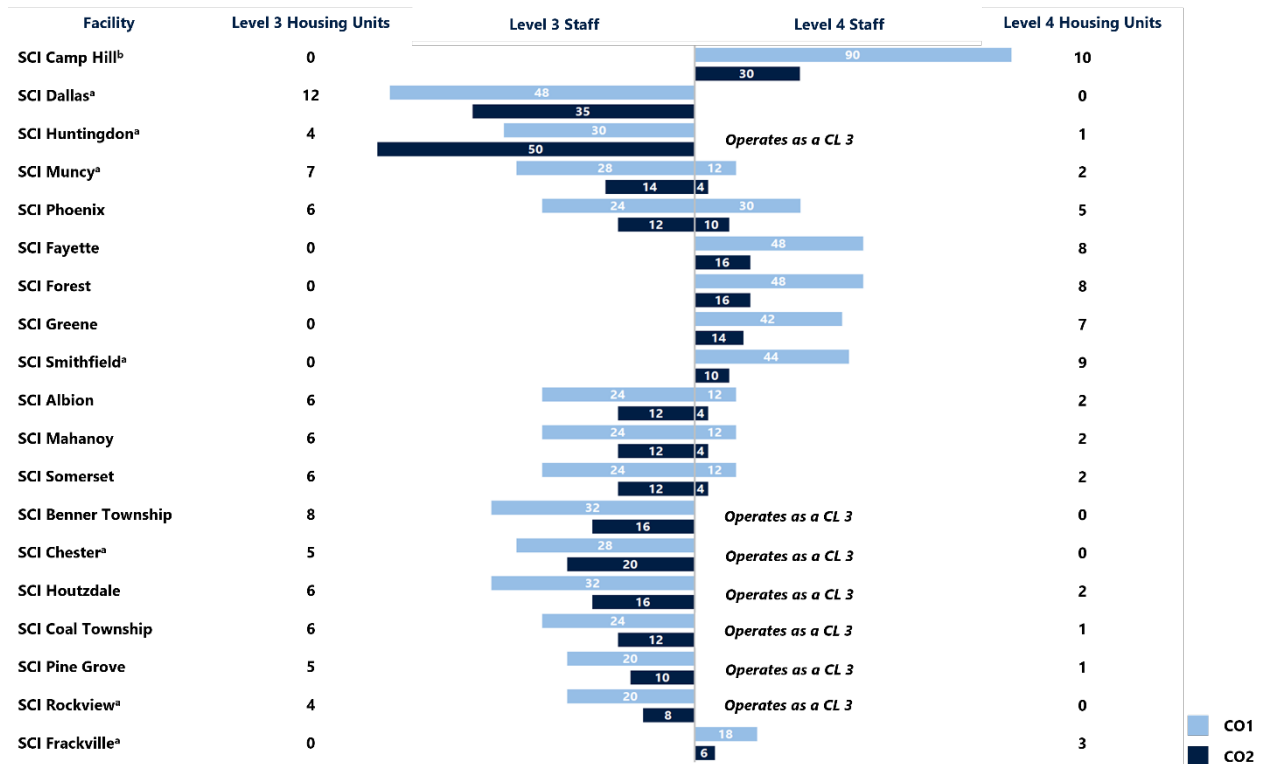
Of the 19 SCIs included in this study, eight are non-prototypical facilities, which, in many cases, differ from the standard staffing practices discussed above. Furthermore, across prototypical and non-prototypical facilities, specialized units (such as for inmates with special needs) can require additional COs to be staffed on a particular housing unit.

We worked with DOC to determine the number of CO1s, and CO2s staffed on first and second shifts each day at the 19 facilities observed in

this study. The results of this review are displayed graphically in Exhibit 8 below.

Exhibit 8

Current Daily SCI Level 3 and Level 4 Housing Unit Staffing



^a These SCIs are non-prototypical facilities.

^b According to DOC, SCI Camp Hill is a non-prototypical facility currently operating in a prototypical manner. The institution has 15 total Level 4 housing units, but only 10 are currently in use.

Source: Developed by LBFC staff from information obtained from DOC.

According to the information provided by DOC, eight of the 19 SCIs reviewed for this study (SCIs Benner Township, Chester, Coal Township, Dallas, Houtzdale, Huntingdon, Rockview, and Pine Grove) currently only have Level 3 housing units, with seven of those facilities either not occupying their Level 4 housing units or using them in a Level 3 capacity.²⁵ Conversely, six facilities (SCIs Camp Hill, Fayette, Forest, Frackville, Greene, and Smithfield) operate only Level 4 housing units. The

²⁵ These facilities may have other housing units for other custody levels that are not the focus of this study.

remaining five facilities (SCIs Albion, Mahanoy, Muncy, Phoenix, and Somerset) operate Level 3 and Level 4 housing units.

Overall, DOC reported that approximately 23 percent more Level 3 housing units (79) currently operate in these 19 facilities, compared to Level 4 housing units (63). As a result, there are more COs staffed on Level 3 housing units each day than there are COs staffed on Level 4. We found 587 CO1s and CO2s staffed on Level 3 housing units during the first and second shifts each day, compared to the 486 staffed on Level 4 housing units. However, due to the increased staffing requirements discussed above, we found that Level 4 housing units currently staff more CO1s daily than Level 3 housing units.

B. SCI Staffing Safety Plans

Below, we discuss the number of COs needed at each facility to implement the staffing safety plan outlined in HR 174. While HR 174 states the desired outcome of a new plan, we found varying views from the two primary stakeholders on how to accomplish this goal. The following analysis includes both models to present a comprehensive view of potential staffing changes in Pennsylvania's SCIs.

Proposed Staffing-Related Safety Plans

HR 174 directs LBFC to determine the cost of implementing a staffing safety plan on Level 3 and Level 4 housing units staffed by at least two COs per pod where inmates are permitted freedom of movement from their cells. However, after discussing the issue with the two primary stakeholders – DOC and the Pennsylvania State Corrections Officers Association (PSCOA) – we realized there are differing interpretations of how to accomplish this plan.

PSCOA believes the directive to have at least two COs per pod can be achieved by adding one more CO1 to each housing unit, bringing the staffing level of each Level 3 housing unit to at least that of a prototypical Level 4 unit. As with Level 4 housing units, this additional CO1 could float between the two pods, and therefore maintain the ability to have at least two COs on each pod. In this model, when a CO is relieved for breaks, the housing unit will be at the same staffing level as it is currently (two CO1s and one CO2).

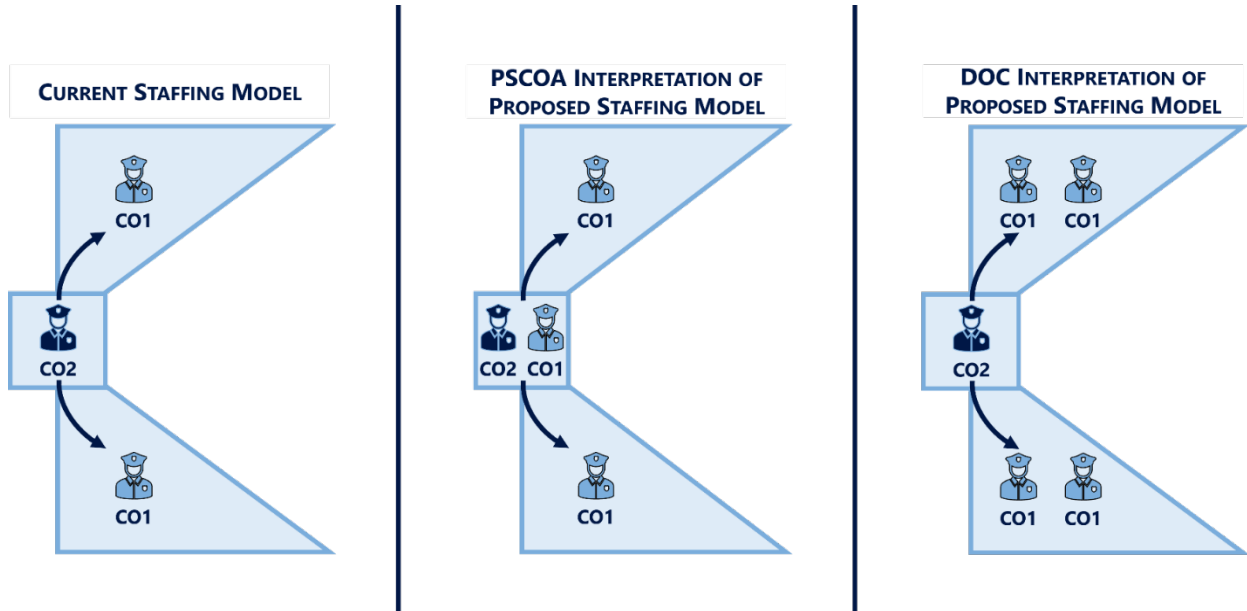
Alternatively, DOC believes that to achieve the goals of HR 174, at least two COs must always be on each pod. In this model, the CO2 would still float between pods, meaning there could be as many as three COs on a

wing at any given time. Even when an officer is relieved for breaks, there would still be two COs on each pod at any time.

A simplified illustration of each model is displayed in Exhibit 9 below.

Exhibit 9

Interpretation of Staffing Model Proposed in HR 174^a



^a This graphic has been simplified for illustrative purposes.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

While the proposed models for Level 3 housing units differ, PSCOA and DOC agree that staffing levels are currently adequate for Level 4 units. As a result, we only explore the number of COs needed to increase the staffing on Level 3 housing units in this analysis.

The exception in our study, however, is SCI Rockview. DOC and PSCOA agree that additional staffing on Level 3 housing units is not required at this facility. Rockview's housing units have a unique design with tiers that require COs to be staffed on each unit level. In case of an assault, COs can navigate from tier to tier to assist. After discussion with the department and PSCOA, we agree that Rockview's current staffing model adheres to the proposal included in HR 174.

Changes to SCI Shift Staffing and Facility Complements

Each of the proposed models discussed above would impact on the staffing levels of SCIs. However, the degree to which each model would impact facilities differs. Therefore, throughout the remainder of this section, we show all analyses with the PSCOA and DOC staffing projections included.

Please note that when DOC and SCIs plan their staffing and manage their complements of COs, they consider more than the number of open positions needed per shift. Facilities must also consider the number of necessary staff to fill all shifts when COs are on leave (annual, medical, military, etc.). To do this, the department implements a "relief factor" calculation. Calculated in DOC *Manpower Surveys*, the relief factor helps each SCI determine how many staff need to be employed to reach full complement.²⁶

According to DOC, each facility's relief factor number may differ slightly, but all range between 1.7 and 1.8 times the number of staffed positions.²⁷ At the department's recommendation, we used a statewide average of 1.72 as the relief factor in our analysis. Exhibit 10 below indicates the number of additional shifts (meaning work period on the housing unit) that would need to be staffed under the PSCOA (one additional CO1 per Level 3 housing unit) and DOC (two additional CO1s per Level 3 housing unit) models. We then show the number of CO1 positions (individuals) needed to fill these shifts once the relief factor is considered.²⁸

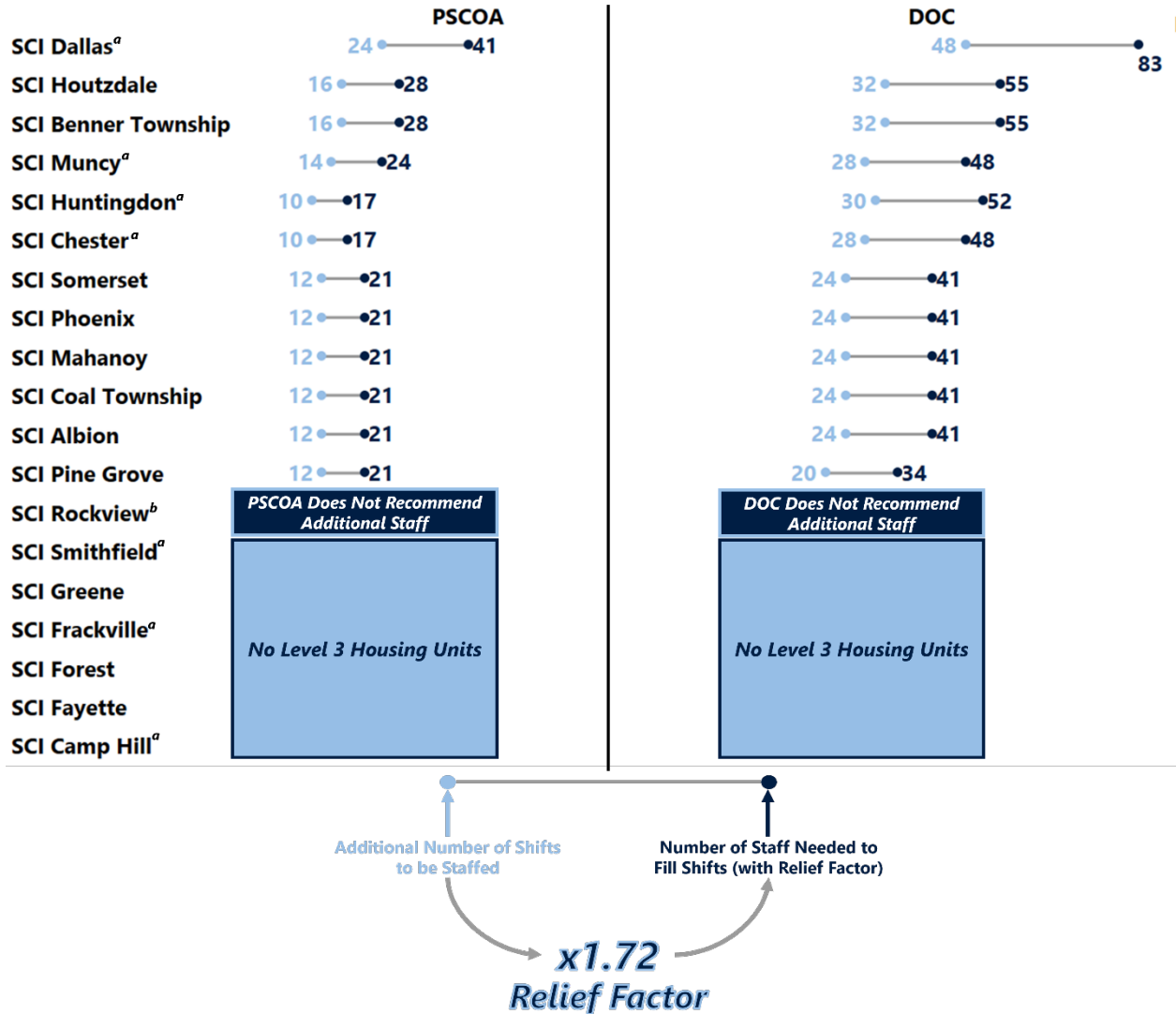
²⁶ *Manpower Surveys* are assessments used by DOC at each SCI to determine the appropriate level of staffing at the facility and assist each facility in determining the number of staff needed to be considered at full complement.

²⁷ According to DOC, it determines the relief factor of each facility using a variety of factors, such as the age of staff employed at the SCI and the amount of leave time maintained by each staff member.

²⁸ For simplicity, we rounded the result of each relief factor calculation to the nearest whole number.

Exhibit 10

Each SCI Would Need to Fill at Least 10 Positions Per Day to Implement a Staffing Safety Plan



^a These SCIs are non-prototypical facilities.

^b DOC and PSCOA do not recommend adding additional COs at SCI Rockview. The facility's unique construction requires more COs to be staffed on each housing unit in a way that already adheres to the staffing requirements proposed by HR 174.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

Based on the proposal in HR 174, 12 SCIs with Level 3 housing units would require additional staff.²⁹ Under PSCOA's model, the 12 facilities would have to staff between 10 and 24 additional shifts per day to adhere to a new staffing safety plan. That equates to approximately 17 to 41 COs per facility needed to fill those shifts once the relief factor is considered. Conversely, SCIs would need to staff between 20 and 48 more shifts per day as part of DOC's interpretation of the proposal in HR 174. The relief factor results in an additional 34 to 83 COs that would be required to fill those new shifts.

Considering the relief factor, SCIs would need 581 new CO1s under DOC's model to fill the newly created shifts, compared to 279 under PSCOA's model. This equates to an average of 70 percent more COs per SCI under DOC's model than PSCOA's model. However, a few facilities stand out as outliers in this regard. SCI Chester and SCI Huntingdon are non-prototypical facilities designed with stacked or vertical-tiered housing units. DOC recommended additional staff at these facilities to account for this unique design while adhering to the proposal of HR 174. This differs from the PSCOA model, where one additional CO1 is added to each Level 3 housing unit.³⁰

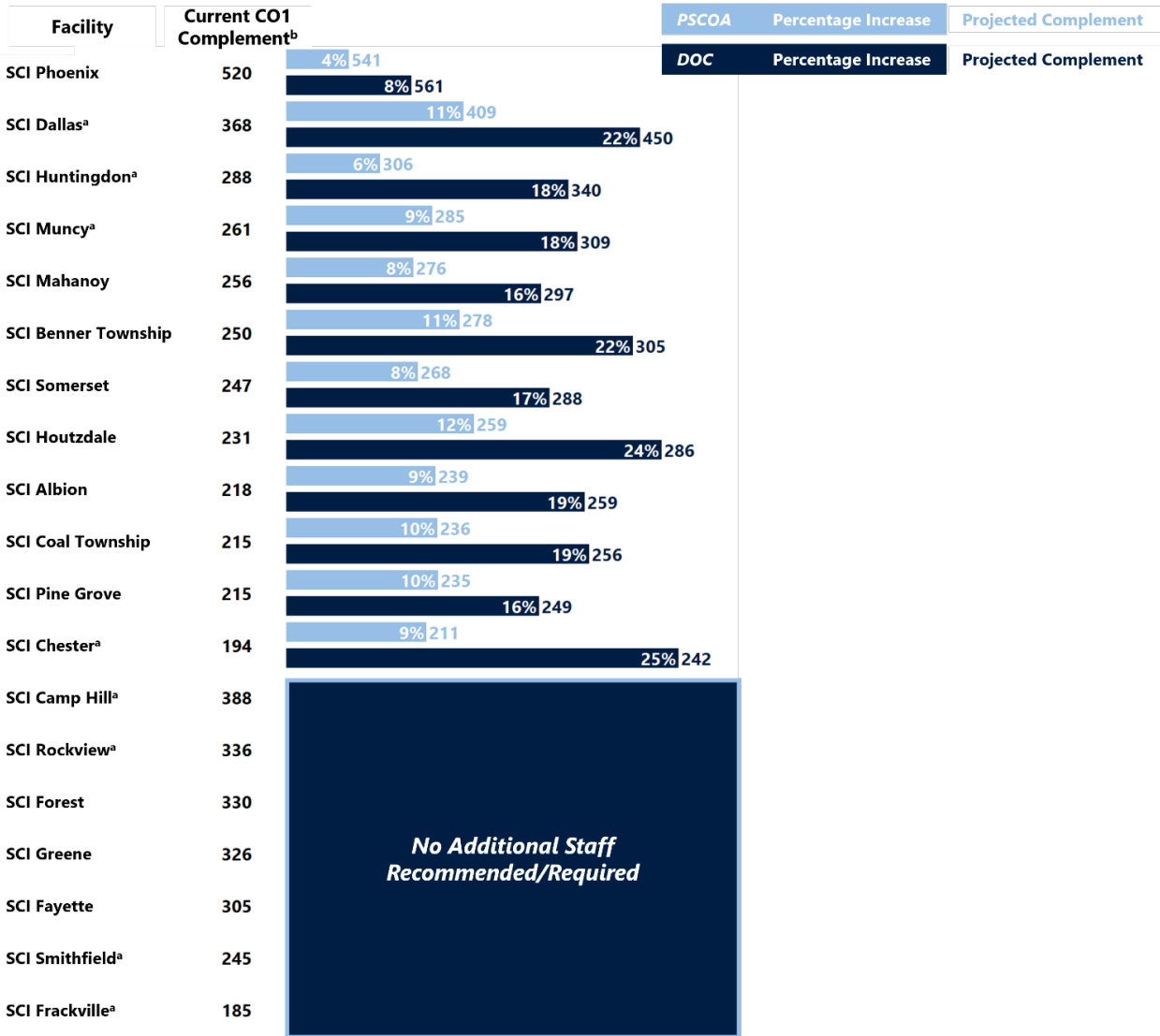
To understand the impact these changes could have on SCIs, we integrated these projections into the current complement of CO1s maintained by each facility. For this analysis, we determined the "current" complement of CO1s by averaging the biweekly employment statistics provided by DOC for the final year of our observation period, FY 2021-22. We then incorporated the additional new positions (with relief factor) required, as shown in Exhibit 10 above, to determine the potential change in SCI staff sizes. The results are displayed in Exhibit 11 below.

²⁹ As noted above, this excludes SCI Rockview, which has Level 3 housing units but already meets the staffing requirements proposed by HR 174.

³⁰ DOC proposed 48 additional CO1s for SCI Chester and 52 additional CO1s for SCI Huntingdon. This is a difference of 95 and 100 percent, respectively, from PSCOA's model.

Exhibit 11

On Average, SCIs Would Need to Hire between 9 and 19 Percent More CO1s Compared to Current Staffing Complements (FY 2021-22)



^a These SCIs are non-prototypical facilities.

^b CO1 complement is based on the average number of CO1s reported on staff by facility for FY 2021-22.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

On average, in FY 2021-22, there were 3,263 CO1s employed at the 12 facilities observed in this study. The average complement was 272 CO1s per facility during this time. Factoring in the new positions added under

PSCOA's model, staff sizes could increase by an average of nine percent at these SCIs. SCI Houtzdale would experience the largest potential increase at 12 percent. In comparison, SCI Phoenix would realize the smallest at four percent, resulting in 3,542 total CO1s at these SCIs with PSCOA's model, or an average of 295 per facility.

Staff sizes would potentially increase by an average of 19 percent per facility when considering the new positions added under DOC's model. At 25 percent, SCI Chester would have the largest projected increase, while SCI Phoenix would experience the smallest at eight percent, resulting in 3,844 total CO1s at the 12 SCIs impacted by the staffing plan, or an average of 320 per facility. On average, the CO1 complement under DOC's model is nine percent larger than with PSCOA's interpretation.

C. Projected Cost of Proposed SCI Staffing Safety Plans

Although implementing a new staffing safety plan would significantly impact the complement of COs at SCIs in Pennsylvania, it would also have an equally proportional effect on employee costs at these institutions. In this discussion, we use the staffing analysis produced in Section B and integrate it into SCI cost modeling to estimate the potential cost of implementing a new staffing safety plan on Level 3 housing units.

To produce this analysis, we first looked at the correlation between current SCI staffing levels and spending. We first took the average complement of CO1s and CO2s at each facility for our scope period (FY 2017-18 through FY 2021-22). We plotted it against the average facility spending on CO1s and CO2s for that period.³¹ This preliminary regression analysis proved a statistically significant correlation between SCI staffing levels and facility spending (see Appendix B), which helped inform the following analysis.³²

From there, we narrowed our focus to the connection between the five-year average of staffing and spending only for CO1s at the 12 facilities that would receive additional staff under the proposal in HR 174. This regression analysis also showed a statistically significant correlation between staffing levels and spending at these facilities (see Appendix C).³³

³¹ Both staffing and spending data were provided by DOC for the five-year period. Staffing levels for CO1s and CO2s were broken out on a weekly basis for the period, while spending data was provided on a biweekly basis. Spending data included salary and wage figures, overtime pay, employee benefits, and miscellaneous expenses for both CO1s and CO2s.

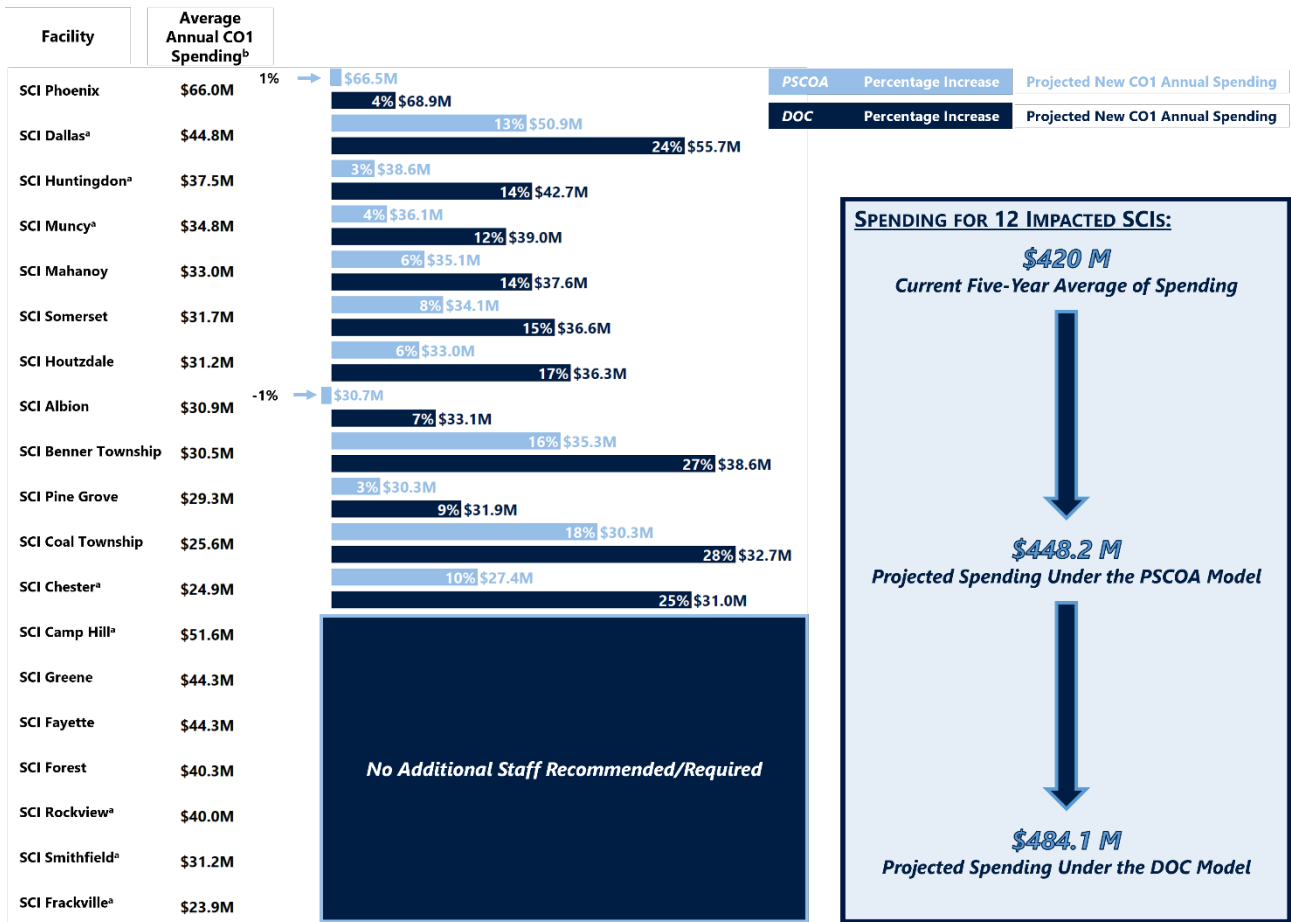
³² This regression analysis produced an r-squared value of 0.98 and a p-value of under 0.0001.

³³ This regression analysis produced an r-squared value of 0.99 and a p-value of under 0.0001.

We then used this regression and the projected new CO1 complements, discussed in Exhibit 11 of Section B, to estimate the cost of adding additional CO1s under the PSCOA and DOC models. We show these results in Exhibit 12.

Exhibit 12

On Average, Annual SCI Spending on CO1s Could Increase Between 7 and 16 Percent



^a These SCIs are non-prototypical facilities.

^b Annual spending is based on the average expenditures each SCI reported for staff classified as CO1s from FY 2017-18 to FY 2021-22. Expenditures include salaries and wages, benefits, overtime, and miscellaneous spending.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

Over the five years between FY 2017-18 and FY 2021-22, these 12 facilities spent an average of \$35 million per year on CO1 staff. Under PSCOA's proposed model, average annual spending would be expected to increase to \$37.4 million, or by approximately seven percent per facility. SCI Coal Township projects to have the largest annual increase of 18 percent, while SCI Albion projects to keep spending at about the same level with a difference of less than a percent.

With DOC's model, average annual spending would be expected to increase to \$40.3 million, or by about 16 percent per facility. SCI Coal Township projects to experience the most significant increase at 28 percent, whereas SCI Phoenix is expected to see the smallest increase at four percent.

Overall, the total current average spending for the 12 facilities is \$420 million per year. Considering the cost projections under PSCOA's model, total spending would increase by seven percent to an average of \$448.2 million annually. With the cost projections under DOC's model, the total average annual spending would increase to \$484.1 million, a change of 15 percent. The DOC model's projected cost is an average of eight percent more than PSCOA's model.

D. Impacts on SCI Staffing

Throughout this section of this report, we have outlined proposals to increase CO staffing on Level 3 housing units and documented the potential effects complement changes could have on facility budgets. However, we felt it was necessary to address the potential impact complement changes could have on existing staffing challenges at SCIs throughout the state.

Shortages of COs at SCIs have recently been well-documented. In 2022, PSCOA reported over 750 CO vacancies in Pennsylvania's state prison system, up from 94 in 2019.³⁴ While these staffing shortages are a concern, the underlying issues that have led to the shortages and potential solutions are outside this report's scope.

To further highlight this issue, we reviewed quarterly vacancy data for only CO1 positions at each facility between FY 2017-18 and FY 2021-22. We calculated the ratio of filled versus unfilled positions for the most recent data available for our scope - June 2022. We then integrated the

³⁴ This statistic includes all five classifications of COs in all SCIs in Pennsylvania. See <https://www.penncapitalstar.com/criminal-justice/prison-staff-shortages-in-pa-elsewhere-take-toll-on-guards-incarcerated-people-analysis/>, accessed September 18, 2023.

projected complement changes under the PSCOA and DOC staffing models, as shown in Exhibit 11, and recalculated the filled versus unfilled positions ratio to highlight how vacancy rates could potentially change if new positions were required. We show our results in Exhibit 13.

Exhibit 13

SCI Vacancy Rates Could Increase to an Average of 11 to 18 Percent for Impacted Facilities

| | Current Complement (June 2022) | | PSCOA Projected Complement | | DOC Projected Complement | |
|-----------------------------|--------------------------------|------|----------------------------|------|--------------------------|------|
| SCI Somerset | 248 | 100% | 269 | 92% | 289 | 86% |
| SCI Greene | 317 | 100% | 317 | 100% | 317 | 100% |
| SCI Forest | 326 | 99% | 326 | 99% | 326 | 99% |
| SCI Pine Grove | 223 | 99% | 244 | 91% | 264 | 84% |
| SCI Dallas ^a | 349 | 98% | 390 | 88% | 432 | 79% |
| SCI Fayette | 288 | 98% | 288 | 98% | 288 | 98% |
| SCI Camp Hill ^a | 368 | 98% | 368 | 98% | 368 | 98% |
| SCI Muncy ^a | 256 | 98% | 285 | 88% | 309 | 81% |
| SCI Smithfield ^a | 246 | 98% | 246 | 98% | 246 | 98% |
| SCI Rockview ^a | 332 | 98% | 332 | 98% | 332 | 98% |
| SCI Phoenix | 509 | 97% | 530 | 94% | 543 | 91% |
| SCI Houtzdale | 236 | 97% | 264 | 87% | 291 | 79% |
| SCI Benner Township | 253 | 97% | 281 | 87% | 308 | 80% |
| SCI Chester ^a | 191 | 96% | 208 | 88% | 239 | 77% |
| SCI Huntingdon ^a | 294 | 96% | 311 | 90% | 346 | 81% |
| SCI Albion | 226 | 96% | 247 | 88% | 267 | 81% |
| SCI Mahanoy | 243 | 95% | 264 | 88% | 284 | 81% |
| SCI Coal Township | 216 | 95% | 237 | 87% | 257 | 80% |
| SCI Frackville ^a | 179 | 94% | 179 | 94% | 179 | 94% |

Percentage of Filled CO1 Positions
Percentage of Vacant CO1 Positions
ⓘ = No Additional Staff Recommended/Required

^a These SCIs are non-prototypical facilities.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

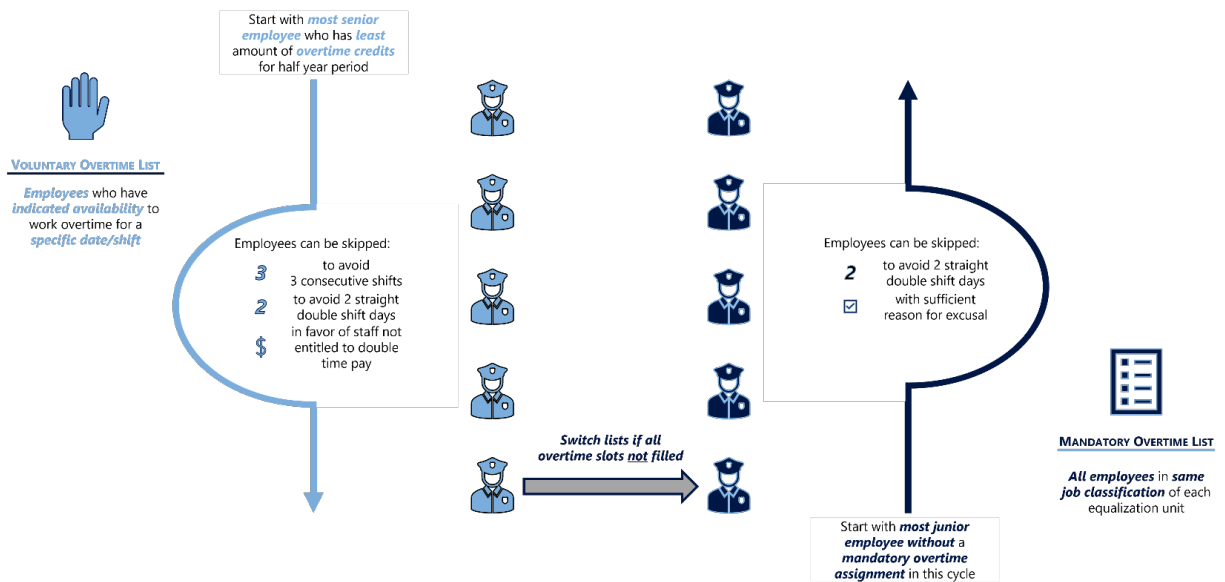
In June 2022, the 12 facilities potentially impacted by staffing changes to Level 3 units reported 95 total vacancies at CO1 positions, or an approximate average of nine unfilled positions at each facility. This equated to an average vacancy rate of three percent at these SCIs.

Under PSCOA's model, the average vacancy rate among these facilities could increase to 11 percent. Unfilled positions could increase to 378, or an average of 32 per SCI. With the implementation of DOC's model, the average vacancy rate could increase to 18 percent. Total vacancies could climb to 681, or an average of 57 per facility.

Facilities with unstaffed shifts would be forced to turn to overtime. As summarized in Exhibit 14, SCIs currently implement a two-tiered overtime system. SCIs first fill unstaffed shifts with COs who have volunteered to work additional hours. If all shifts are not staffed after completing this process, the facility mandates COs work additional hours on a rotating cycle.

Exhibit 14

SCI Overtime Policy Process^a



^a This graphic has been simplified for illustrative purposes.

Source: Developed by LBFC staff from information obtained from PSCOA and DOC.

While ensuring that SCIs are fully staffed is necessary, we note there could be potential detrimental impacts on COs working long hours in a high-stress environment, including the development of post-traumatic stress disorder (PTSD) and the burnout of veteran COs, among others.^{35,36}

³⁵ In a 2022 LBFC report, *A Study Pursuant to Senate Resolution 96: 911 Communications Services*, we documented the detrimental impacts that working a large number of overtime shifts can have on the mental health and well-being of public safety personnel.

³⁶ PSCOA, who is an advocate for the staffing models proposed in this report, acknowledged the strain that staffing increases could place on the current CO workforce. However, according to PSCOA, the issue of CO safety is so critical that the organization believes that a safety-related staffing plan should proceed despite these workforce challenges.

From a financial perspective, the need for additional overtime could significantly impact the budgets of SCIs. According to data provided by DOC, overtime spending on CO1 positions statewide increased from \$60.8 million in FY 2017-18 to \$107 million in FY 2021-22.³⁷ For the 12 facilities impacted in this study, total overtime spending on CO1 positions increased from \$32.9 million in FY 2017-18 to \$57.8 million in FY 2021-22, 76 percent over the five years. With CO1 complements projected to increase by an average of nine to 19 percent depending on the staffing model used, it would be fair to expect overtime costs at impacted facilities to continue to increase dramatically in the short term if safety-related staffing plans were implemented.

³⁷ This figure also includes SCIs that currently operate as CL 2s.

SECTION IV VIOLENCE REPORTING IN SCIs



Fast Facts...

- ❖ *DOC's total number of violent incidents decreased 36.6 percent from FY 2017-18 to FY 2021-22.*
- ❖ *DOC's inmate population decreased by 20.8 percent from FY 2017-18 to FY 2021-22.*
- ❖ *29 percent of all violent incidents that occur in an SCI happen within a block/pod/housing unit area.*

In Pennsylvania, seven correctional officers or employees have died in the line of duty due to an assault. Meanwhile, numerous others have experienced major assaults requiring outside medical attention.

Key Findings

Key findings discussed in this section:

1. There is a statistically significant correlation between violent incidents and CO staffing levels during the five-year scope of this study. However, our analysis did not find a strong predictive correlation between the two variables.
2. DOC's inmate population decreased from FY 2017-18 to FY 2021-22.
3. The rate of violent incidents per 1,000 inmates ranged from 37.3 in FY 2020-21 to 64.5 in FY 2019-20.
4. On average, we found one major inmate-on-staff guilty misconduct per thousand inmates.

A joint study on workplace violence indicators, primarily conducted by the U.S. Department of Justice, found that between 2015 and 2019, the annual victimization rate of nonfatal workplace violence was highest among law enforcement/security occupations. Further, it found that employees in corrections occupations experienced the highest (average annual) rate of nonfatal workplace violence at 149.1 per thousand workers aged 16 and older. Security guards were the second highest at 95.0 per thousand workers, followed by law enforcement officers at 82.9 per thousand.^{38,39} Violence in the workplace can have long-lasting physical, psychological, and financial effects on employees, families, and the community.

This section focuses on violent incidents in Pennsylvania State Correctional Institutions (SCIs) and inmate-on-staff assaults for FY 2017-18 through FY 2021-22. Unlike the staffing analysis in the previous section

³⁸ U.S. Department of Justice, Bureau of Justice Statistics (BJS); U.S. Department of Labor, Bureau of Labor Statistics; and U.S. Department of Health and Human Services, Center for Disease Control and Prevention, National Institute for Occupational Safety and Health (NIOSH), *Indicators of Workplace Violence*, 2019.

³⁹ Nonfatal workplace violence – violent acts (including physical assaults and threats of assault) directed toward persons at work or on duty, or nonfatal violence that was work-related (such as an attack on a coworker away from work over a work-related issues). This includes rape or sexual assault, robbery, aggravated assault, and simple assault.

of this report, wherein we eliminated those facilities without Level 3 or Level 4 housing units, for purposes of the analysis in this section, we included violent incidents for all DOC institutions. The reason is two-fold – we wanted to show the extent of assaults within all correctional institutions, and DOC could not provide us with assault data specific to Level 3 and Level 4 housing units.

All violent incidents within an SCI are documented as “misconducts”, first manually and then electronically; the misconduct system is paper-based, and the one-page form may be written by any classification of staff who witnessed an infraction. Various portions of that information then get transferred into an electronic misconduct tracking system, including fields for the specific location where a violent incident occurred, as shown in Exhibit 15.

Exhibit 15

DOC Misconduct Tracking System^a
(Screenshot)

```
USER ID:                PA DEPT. OF CORRECTIONS
TERM ID:                MISCONDUCT TRACKING SYSTEM          DATE:
SESSION:               MISCONDUCT DATA                   TIME:
=====
DCN: [ ] NAME: [ ] LOC: [ ]
RACE: SEX: SID: [ ] PHILA PHOTO: SSN1: [ ]
DOB: [ ] PBPP: [ ] PITTS PHOTO: SSN2: [ ]
MISCONDUCT NO: [ ] CUST LEVEL: [ ] PGM CODES: [ ] Z
=====
Incident Time   : [ ] Date: [ ] Report Date: [ ]
Incident Location: [ ] Others Involved: [ ] (S/I/B/N)
Detail Incident Location: [ ]
Category of Charges : A: [ ] B: [ ] C: [ ]
Pre-hearing Confinement for this Misconduct: [ ] Time: [ ] Date: [ ]
Form Given to Inmate
Request for Witnesses and Representation: [ ] (Y/N) Inmate's Version: [ ] (Y/N)
Reporting Staff: [ ]
Reviewing Staff: [ ] On: [ ]
Inmate Served Notice on : [ ] Time : [ ]
=====
F1 LOGOFF, F6 HELP, F18 (SHIFT/F6) FUNCTION KEY LIST
ENTER APPROPRIATE DATA; PRESS <ENTER>
```

^a Portions of this exhibit have been redacted for confidentiality purposes.

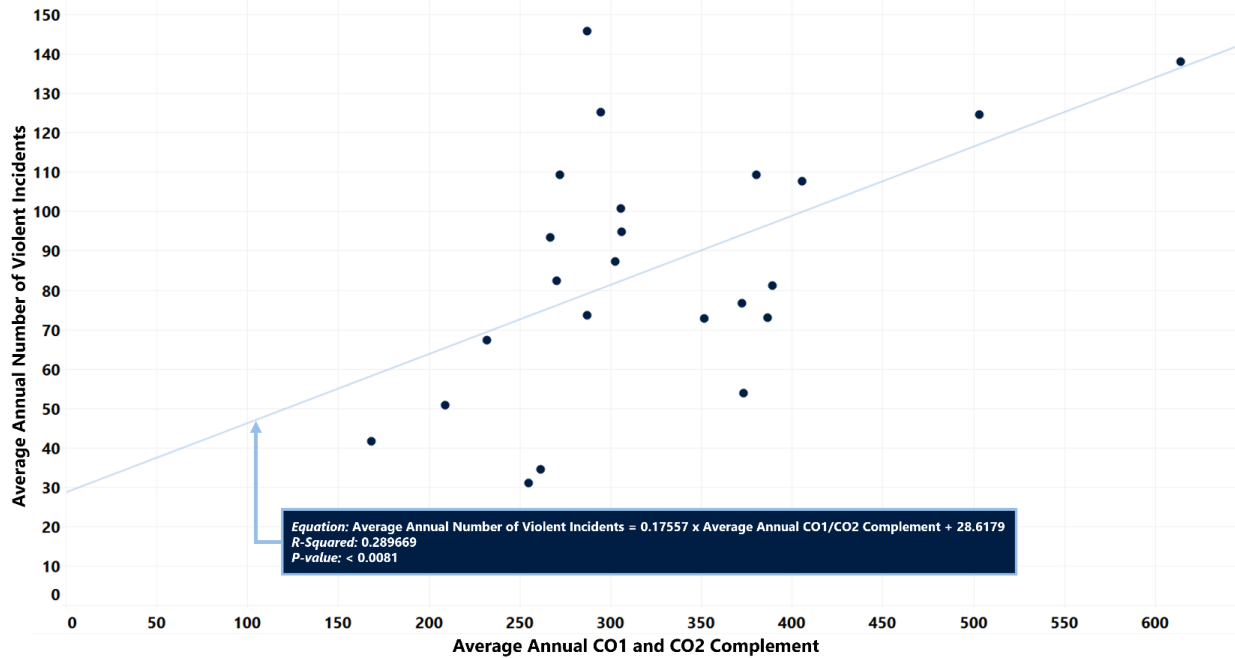
Source: Pennsylvania Department of Corrections Misconduct Tracking System

A hearing examiner reviews written misconducts to determine if an inmate is guilty. If more than one inmate is involved, a violent incident could result in multiple misconducts.

Without assault data specific to Level 3 and Level 4 housing units, we were unable to perform a correlation analysis between the number of staff and the number of assaults on those units. However, we performed this analysis using the average total number of violent incidents and the average total number of CO1s and CO2s reported by DOC. As shown in Exhibit 16, our analysis found a statistically significant correlation between violent incidents and CO staffing levels during the five-year period. However, this analysis did not find a strong predictive correlation between the two variables, as evidenced by the R-squared value of 0.2897.

Exhibit 16

Correlation between Average Annual CO Complement and the Average Number of Violent Incidents (Per SCI)



Source: Developed by LBFC staff from information obtained from DOC.

The Pennsylvania Department of Corrections (DOC) publishes a department-wide yearly violence report for all SCIs, which includes inmate-on-

staff assaults, inmate-on-inmate assaults, and inmate fights. Exhibit 17 provides definitions of terms used within the Department-wide violence report.

Exhibit 17

DOC Violent Report Definitions

| Reporting Category | Definition |
|-----------------------------------|--|
| Actual Assaults | Number of assaults. |
| Attempted Assaults | Number of assaults attempted but not completed, e.g., an inmate trying and failing to stab another person. Assaults that do not require medical attention or treatment and do not include throwing. |
| General | |
| General Population Incidents | Number of violent incidents that occurred within an SCI - General Population. |
| Guilty Incidents | Violent incidents within an SCI. |
| Guilty Misconducts | Number of inmates found guilty of the assault by a hearing examiner. Number of assaults requiring outside medical attention. |
| Major Guilty Incident/Misconducts | Number of victims requiring outside medical attention. |
| Major Assault Victims | Number of violent incidents occurring within an RHU. |
| Restrictive Housing Unit (RHU) | Number of violent incidents occurring within an SHU. |
| Special Housing (SHU) | Any inmate-on-staff assaults within an SCI. |
| Staff Assaults | Assaults involving throwing a liquid, object, or bodily fluid, etc. |
| Throwing | Number of persons assaulted. |
| Victims | All types and levels of violence that have occurred within an SCI, including attempted or non-physical and physical assaults. |
| Violent Incidents | A write-up detailing any violent incident that has occurred within an SCI. |
| Written Misconduct | |

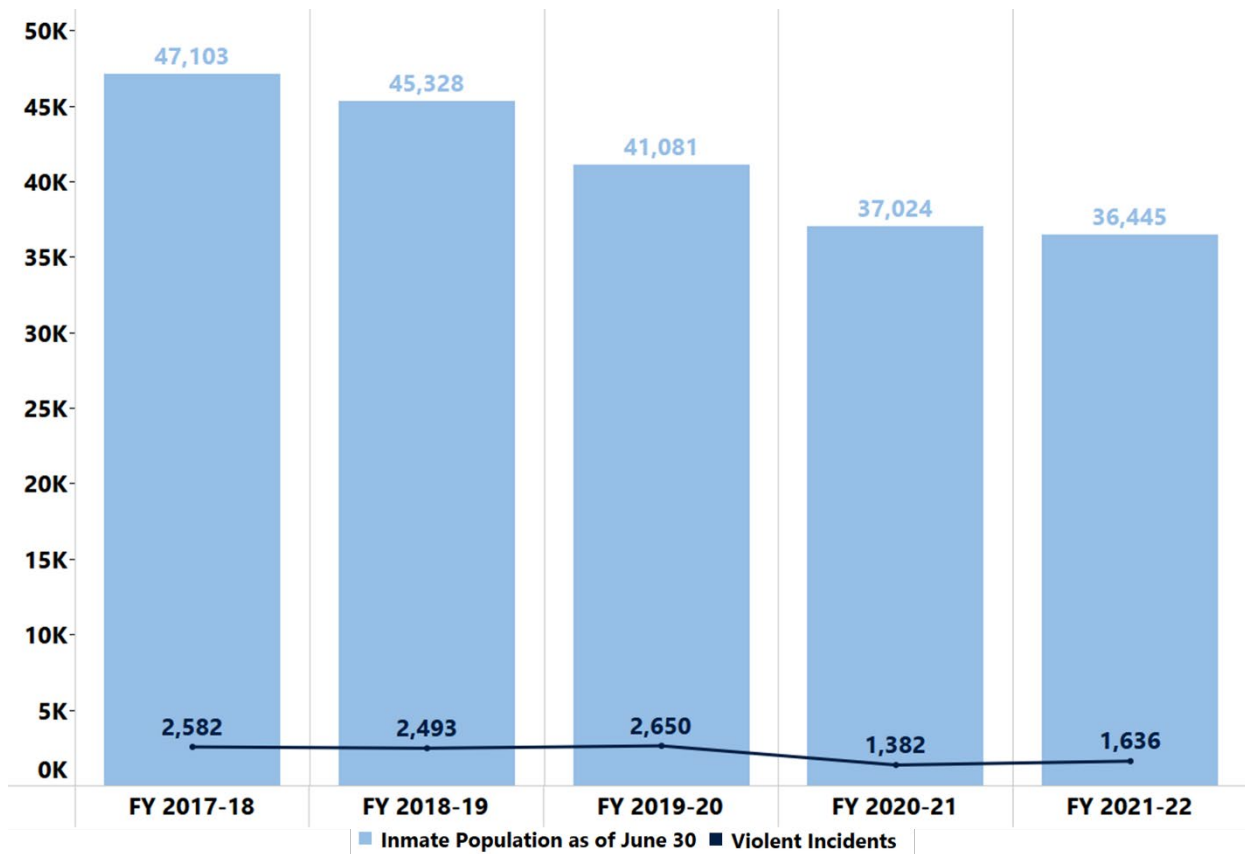
Source: Developed by LBFC staff from information obtained from DOC.

A. Violent Incidents in SCIs

We acknowledge that the total number of inmates fluctuates. Therefore, for consistency, totals throughout our analysis are expressed by fiscal year and violent incidents per thousand inmates. Exhibit 18 shows DOC inmate population and total violent incidents by fiscal year. Violent incidents are attempted or non-physical and physical assaults that have occurred within an SCI. See Appendix D for total incidents by SCI.

Exhibit 18

DOC Population and Violent Incidents (Fiscal Year)



Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

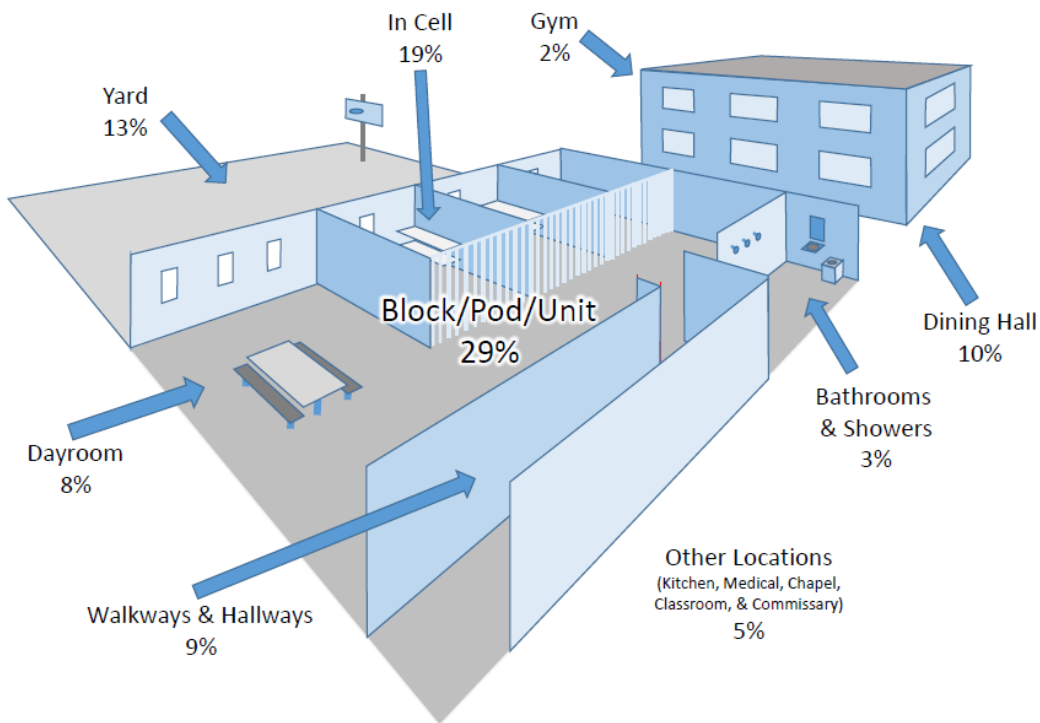
The total number of violent incidents from FY 2017-18 to FY 2021-22 decreased by 37 percent. However, DOC's inmate population decreased by 23 percent, over 10,000 inmates, during the same period. According to DOC, its inmate population has declined since the onset of the

COVID-19 pandemic, resulting in internal changes, such as all meals served in housing units instead of the facility dining hall. An SCI we visited has continued this practice, and DOC officials stated that some SCIs have resumed dining hall use for one meal per day, and all other meals are served in the housing unit.⁴⁰ Furthermore, during the pandemic, court closings and delayed processing of parole violations contributed to a decrease in DOC's inmate population.

Violent incidents can occur anywhere within an SCI. An analysis performed by DOC found that 29 percent of violent incidents happen within a housing block/pod/unit. Exhibit 19 shows where violent incidents occurred during the 2017 calendar year.

Exhibit 19

**Location of Violent Incidents
(2017^{a, b})**



^a According to DOC, this is the latest analysis of where incidents happen. Updated information would only be available after the intended release date of this report.

^b Analysis totals do not equal 100 percent due to rounding.

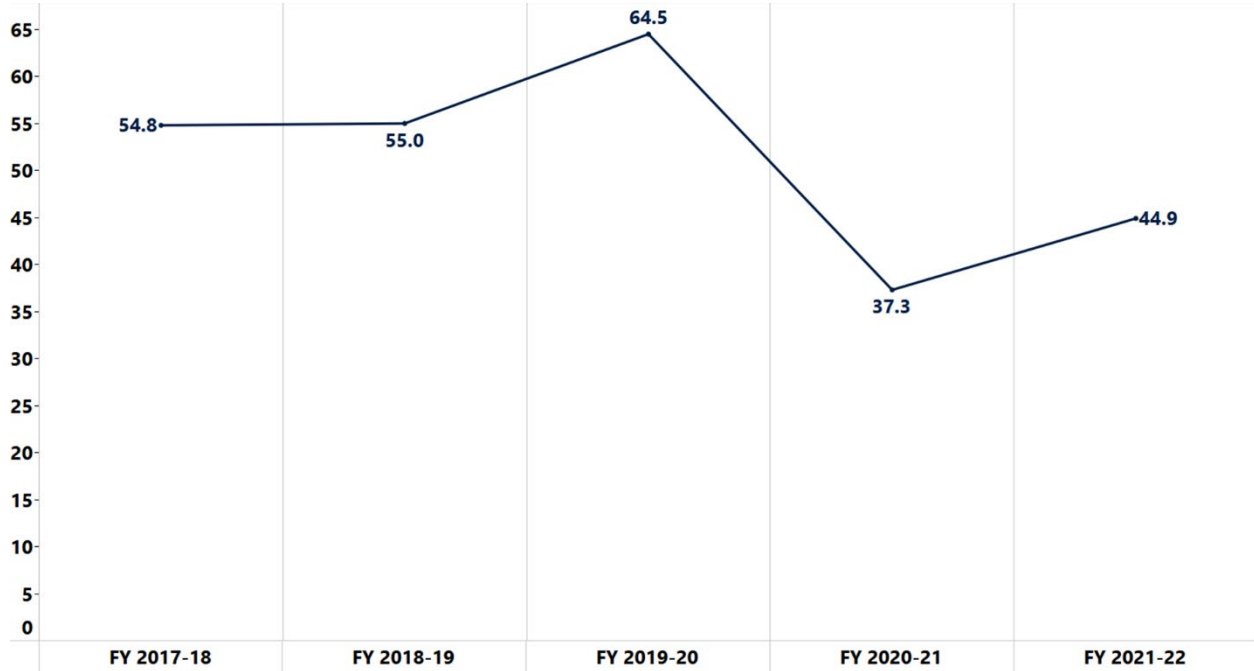
Source: Department of Corrections.

⁴⁰ Other internal changes during the pandemic included restricted movement between housing units, no outside visitors, or volunteers, no in-person programming, and fewer interactions among inmates and staff.

Next, we determined the rate of violent incidents across all SCIs. Exhibit 20 provides the number of violent incidents per thousand inmates.

Exhibit 20

**DOC Violent Incidents
(Per 1,000 Inmates)**



Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

From FY 2017-18 to FY 2019-20, the number of violent incidents per thousand inmates increased each fiscal year, except for a decrease from FY 2019-20 to FY 2020-21. The violent incident rate from FY 2019-20 to FY 2020-21 decreased to 37.3 per thousand inmates before rising again to 44.9 per thousand inmates in FY 2021-22.

Categories of Violent Incidents

The DOC Department-wide Violence Report is broken out into four major incident categories:

1. Violent Incidents.
2. Staff Assaults.
3. Inmate Assaults.
4. Inmate Fights.

Exhibit 21 below shows the rate of violent incidents for each reporting category by fiscal year. See Appendices D, E, F, and G for details of all four categories delineated by SCI.

Exhibit 21

DOC Violent Incident Rate by Category (Per 1,000 Inmates)

| Violence Reporting | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|--|------------|------------|------------|------------|------------|
| All Violent Incidents | 54.8 | 55.0 | 64.5 | 37.3 | 44.9 |
| Inmate-on-Staff Assaults (include RHU, Special Housing, and General Population) | 13.4 | 12.7 | 13.7 | 10.3 | 11.4 |
| Inmate-on-Inmate Assaults (include RHU, Special Housing, and General Population) | 16.7 | 16.4 | 18.6 | 10.8 | 13.7 |
| Inmate Fights | 40.3 | 41.5 | 49.2 | 52.8 | 31.3 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

We found the largest decrease in violent incidents from FY 2019-20 to FY 2020-21; all categories, except inmate fights, decreased at the onset of COVID-19. Inmate fights steadily increased from FY 2017-18 through FY 2020-21, followed by a decrease in FY 2021-22.

B. Inmate-on-Staff Assaults

Inmate-on-staff assaults, illustrated in the exhibit above, showed fewer fluctuations than the other categories of assaults. Below, we highlight inmate-on-staff assaults within the RHU, SHU, and the general population, which includes security Level 3 and Level 4 housing units.⁴¹

Inmate-on-staff assaults happen throughout SCIs and can result in the injury or death of a CO or employee. Exhibit 22 shows total inmate-on-staff assaults and misconducts by fiscal year.

A guilty incident is the total number of inmate-on-staff assaults that have occurred. A written misconduct is essentially a “write-up” of an inmate (or inmates) from DOC staff, which requires the inmate to go through a hearing process to determine guilt. Please note that prison staff may issue more than one written misconduct per incident. If an inmate is found guilty, it is considered a guilty misconduct and is reported as such within the DOC Department-wide Violence Report.

Exhibit 22

Inmate-on-Staff Assaults

| | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|--|------------|------------|------------|------------|------------|
| Guilty Incidents (Total Inmate-on-Staff Assaults) | 631 | 574 | 563 | 380 | 416 |
| Written Misconducts | 825 | 805 | 752 | 494 | 533 |
| Guilty Misconducts | 689 | 626 | 620 | 422 | 457 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

In FY 2021-22, there were 416 inmate-on-staff (assaults) incidents, resulting in 533 written misconducts (write-ups), and of those write-ups, 457 resulted in guilty misconducts.

Exhibit 23 shows data regarding where inmate-on-staff violent incidents, those that resulted in guilty misconducts, occurred - Restrictive Housing,

⁴¹ Although this report focuses on staffing within Level 3 and Level 4 housing units, DOC was unable to provide us with assault data specific to those housing units.

Special Housing, and General Population; the type of violent incident - major, throwing, and general; and the total number of assault victims.⁴²

Exhibit 23

Inmate-on-Staff Guilty Misconducts by Housing and Incident Type

| | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|--|------------|------------|------------|------------|------------|
| Guilty Incidents (Total Inmate-on-Staff Assaults) | 631 | 574 | 563 | 380 | 416 |
| Guilty Misconducts | | | | | |
| <i>In Restrictive Housing Unit (RHU)</i> | | | | | |
| #Major | 2 | 10 | 11 | 9 | 6 |
| #Throwing | 110 | 106 | 117 | 75 | 76 |
| #General | 54 | 51 | 53 | 34 | 55 |
| Total | 166 | 167 | 181 | 118 | 137 |
| <i>In Special Housing Unit (SHU)</i> | | | | | |
| #Major | - | - | 5 | 3 | 3 |
| #Throwing | - | 52 | 81 | 66 | 64 |
| #General | - | 34 | 59 | 43 | 75 |
| Total | - | 86 | 145 | 112 | 142 |
| <i>In General Population</i> | | | | | |
| #Major | 52 | 42 | 53 | 30 | 33 |
| #Throwing | 189 | 123 | 52 | 45 | 43 |
| #General | 282 | 208 | 189 | 117 | 102 |
| Total | 523 | 373 | 294 | 192 | 178 |
| <i>Total Guilty Misconducts</i> | | | | | |
| #Major | 54 | 52 | 69 | 42 | 42 |
| #Throwing | 299 | 281 | 250 | 186 | 183 |
| #General | 336 | 293 | 301 | 194 | 232 |
| Total | 689 | 626 | 620 | 422 | 457 |
| <i>Victims</i> | | | | | |
| #Victims | 731 | 673 | 673 | 462 | 493 |
| #Major Assault Victims | 71 | 72 | 80 | 48 | 51 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Reports.

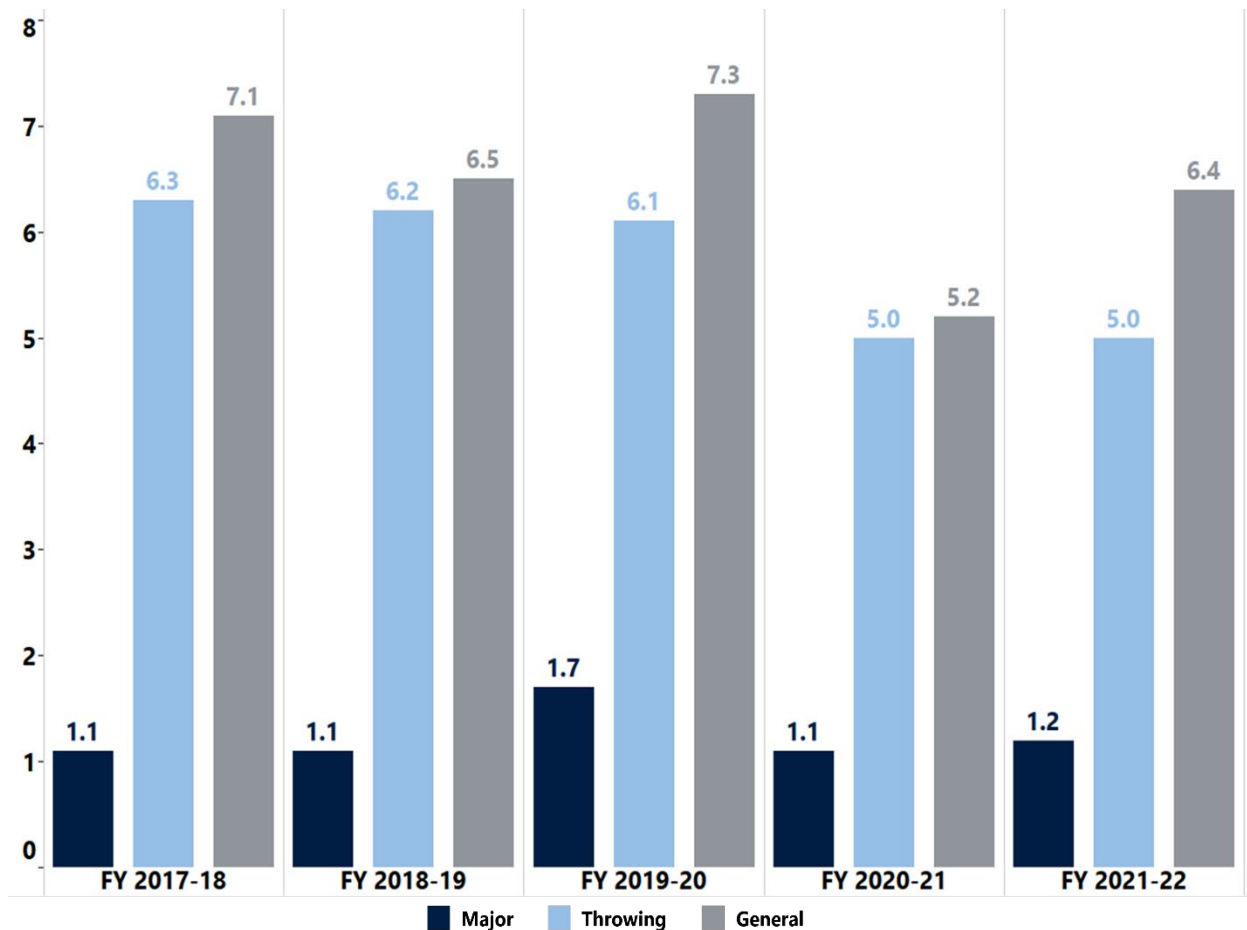
⁴² DOC began reporting the special housing category in 2019; prior to this addition, violent incidents were reported only for restrictive housing or in the general population.

During the FY 2021-22, there were 416 violent incidents, which resulted in 493 victims and 51 major assault victims. In addition, approximately 86 percent of those written misconducts reviewed by the hearing examiner were found guilty of assault on staff.

To understand how inmate-on-staff assaults translate across the SCIs, we calculated the number of violent incidents per capita. Exhibit 24 shows the per capita number of inmate-on-staff guilty misconducts by incident category. Overall, in FY 2021-22, inmate-on-staff assaults were 25.4 percent of all assaults across all SCIs.

Exhibit 24

**Department-wide Inmate-on-Staff Guilty Misconducts
 (Per 1,000 inmates)**



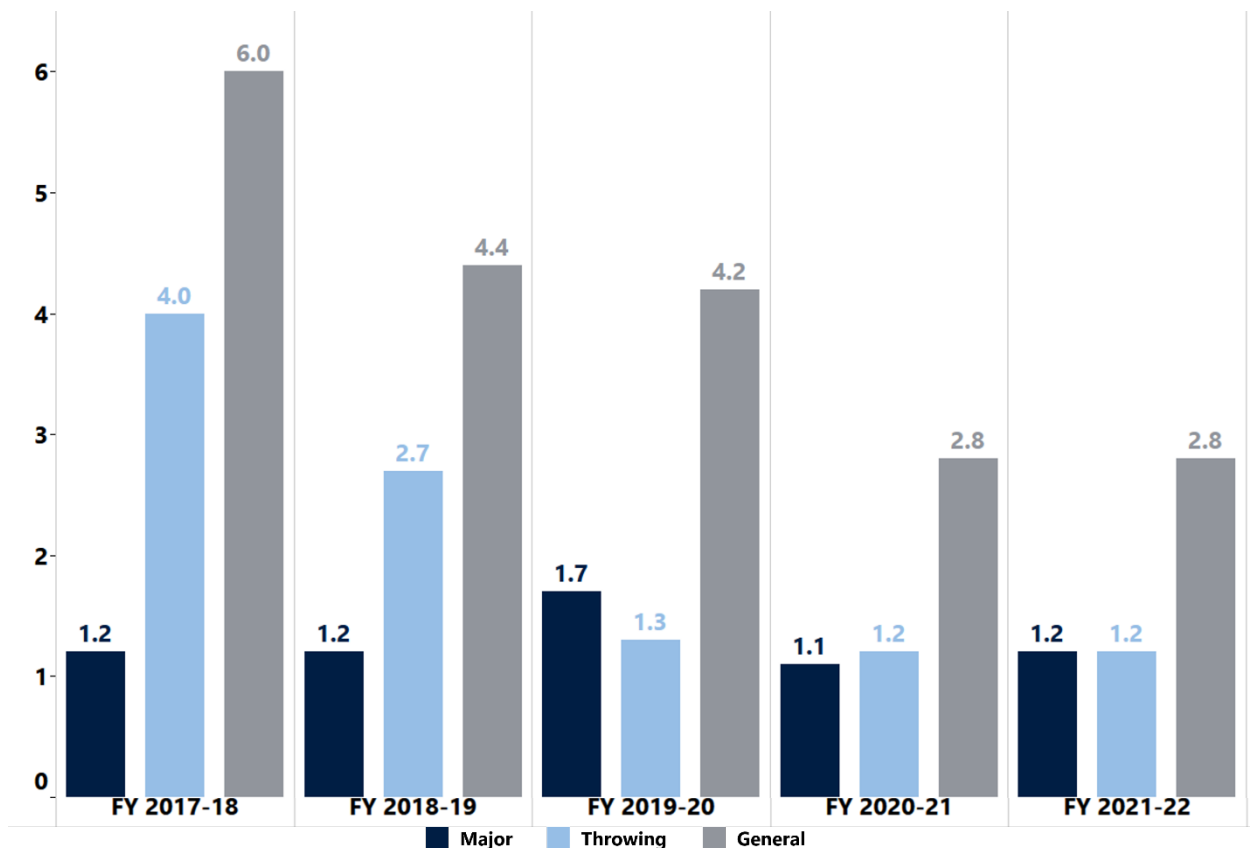
Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Reports.

On average, we found one major inmate-on-staff guilty of misconduct per thousand inmates. Inmate-on-staff guilty misconducts decreased within our review period from 6.3 to 5.0 per thousand inmates. Lastly, all other general inmate-on-staff guilty misconducts showed the most significant decrease, from 7.1 to 6.4 per thousand inmates from FY 2017-18 to FY 2020-21 before rising to 6.4 in FY 2021-22.

According to DOC, violent incidents are grouped based on the above-mentioned categories. However, those that occur on Level 3 and Level 4 housing units are reported in the general population. Exhibit 25 shows the number per capita of inmate-on-staff guilty of misconduct within the general population category.

Exhibit 25

**Inmate-on-Staff Guilty Misconducts in the General Population
(Per 1,000 Inmates)**



Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Reports.

We found that in FY 2017-18, special housing and general population data were combined; therefore, the decrease in throwing and general assaults from FY 2017-18 to FY 2018-19 may be partially due to removing special housing totals from the general population category. Overall, there was a decrease in throwing guilty misconducts per thousand inmates in the general population from FY 2017-18 through FY 2020-21, while general guilty misconducts decreased from FY 2017-18 through FY 2021-22. However, major guilty misconduct in the general population remained relatively constant across the review period.

DOC also reports attempted assaults; those that would fall into this category are those considered “not complete” contact, such as an inmate lunging at CO and failing to make contact. Exhibit 26 shows attempted assaults on staff by fiscal year and the total number of those found guilty through the hearing process.

Exhibit 26

Attempted Assaults on Staff

| Staff Assaults | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|---------------------|------------|------------|------------|------------|------------|
| Written Misconducts | 241 | 187 | 191 | 137 | 128 |
| Guilty Misconducts | 171 | 139 | 147 | 94 | 92 |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Reports.

Attempted assaults are handled similarly, with written misconducts and review by the hearing examiner to determine guilt. During FY 2021-22, there were 128 written misconducts, and of those attempted assaults, 92 resulted in guilty misconducts.

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SECTION V

CORRECTIONS OFFICERS TRAINING



Fast Facts...

- ❖ *All DOC training appears to have an element of safety to keep COs safe.*
- ❖ *A Corrections Officer Trainee (COT) goes through a full year of training before being promoted to Corrections Officer 1.*
- ❖ *DOC employees must attend 40 hours of in-service training every year.*
- ❖ *DOC provides the Office of Administration with an annual training plan that outlines the training needs and methods for facility and specific training courses.*

This section reviews the training that corrections officers receive when initially hired. With continuing education, the training is designed to provide a safe environment for staff and inmates.

Key Findings

1. A COT participates in a full year of training before independently working as a corrections officer.
2. All DOC employees attend annual in-service training.

A. Training and Staff Development

Training for all staff employed by the Department of Corrections (DOC) is outlined in DOC Policy 5.1.1, Training and Staff Development. This policy establishes, implements, and evaluates employee training and development programs that contribute to DOC's mission and establishes a system of regular review.

Within DOC, the Bureau of Training and Staff Development is tasked with developing and implementing a standard, competency-based curriculum supported by appropriate materials and classroom resources that meet or exceed the American Correctional Association (ACA) standards for correctional agencies. Core training programs consist of:

- Pre-service training is the initial training designed to teach new employees the fundamental skills necessary to work in a correctional environment effectively and includes orientation and basic training.
- Facility or Field-Specific Technical Training includes training for DOC and the Pennsylvania Parole Board employees.⁴³ DOC uses the term facility to distinguish employees working in SCIs from field employees working in the community. Some training applies to both groups, but other courses address what happens in the community versus in the SCI.
- On-the-job training is the second training phase for new corrections officer employees, classified as "trainees" when

⁴³ In 2023, DOC and the Pennsylvania Parole Board merged, combining similar, shared, and overlapping resources and functions.

assigned to their jobs but continue to be given special consideration in supervision and job training.

- Management and Supervisory Development is a three-day training program for new supervisors. DOC also offers the Corrections Leadership Development Program for mid-level managers.
- Out-Service Training consists of all training not conducted by DOC but includes colleges (academic credit and non-academic credit courses), professional association meetings, conferences, workshops, conventions, etc. It may require an employee’s absence from work.
- Specialized Training is for employees assigned to facilities with specialized populations, such as women and young adult offenders.

Commonwealth and federal laws and regulations, ACA standards, DOC requirements, and employee learning needs determine mandatory in-service training each calendar year.

Minimum training hours for DOC employees are outlined in Exhibit 27 and fall into four categories: orientation, basic training, on-the-job training, and in-service training.⁴⁴

Exhibit 27

Minimum Hours of Training Programs for New Employees (Hours)

| Title | Orientation | Basic Training | On-The-Job Training | In-Service |
|---|-------------|----------------|---------------------|------------|
| Management | 40 | 40 | - | 40 |
| Non-Contact ^a | 40 | 40 | - | 16 |
| Contact ^b | 40 | 80 | - | 40 |
| Contact – Non-Corrections Officers ^c | 40 | 160 | - | 40 |
| Corrections Officers | 40 | 200 | 1,760 | 40 |

^a Non-contact employees may have contact with inmates but are not solely responsible for the care, custody, and control of inmates and are those who, for example, work in clerical or business office positions.

^b Contact Employees, including Community Corrections Center (CCC) Monitors, Corrections Records Specialists, nurses, teachers, and counselors, are responsible for inmates' care, custody, and control.

^c Examples of employees included in this category include Corrections Utility Plant Operator, Corrections Equipment Operator, and Corrections Maintenance Foreman.

Source: Developed by LBFC staff from information obtained from DOC Policy 5.1.1.

⁴⁴ Orientation is the on-site portion of pre-service training designed to acquaint new employees with the overall operation of the facility.

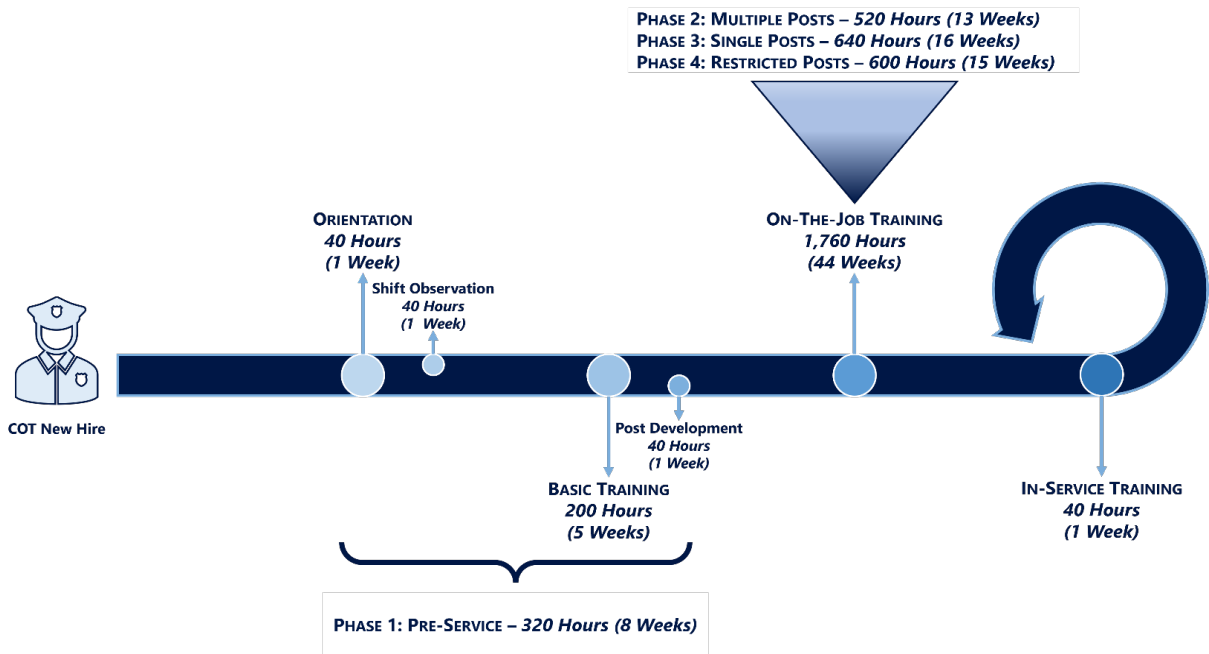
To conduct employee development and training, DOC continues using outside public and private resources such as colleges, universities, libraries, criminal justice, and allied professional associations, and activities, for which it includes training funds in its annual budgets.

B. First-Year Training Requirements for Corrections Officer Trainees (COT)

There are several training phases for each new full-time COT who, while in training status, will not be utilized to fill any post or duty position. A COT is a DOC employee hired to serve a one-year training program to develop the skills and techniques required of a CO. Successful completion of the one-year probationary period results in promotion to CO1. Exhibit 28 shows all phases of a COT's first year in training.

Exhibit 28

CO Training Process



Source: Developed by LBFC staff from information obtained from DOC.

Phase 1: Pre-Service Training introduces the COT to the overall philosophy of DOC and provides basic skills through orientation to the SCI, shift observation, post development, and basic training. This phase is a total of eight weeks.⁴⁵

- Orientation is a one-week facility orientation that includes a tour of the SCI and on-site visits to all departmental and functional areas within the facility. In addition to completing orientation, COTs complete the Basic Training Orientation Web-Based Training (WBT) course before moving on to basic training.
- Shift Observation is a one-week observation of all shifts (6:00 AM-2:00 PM, 2:00 PM-10:00 PM, and 10:00 PM-6:00 AM) to orient COTs to each type of custody post within the SCI. All new COTs must complete an observation of each shift. However, if it is not possible to schedule the COT on the 10:00 PM – 6:00 AM shift during this 40-hour week, it must be scheduled and completed before a COT completes on-the-job training.
- Basic Training is the five-week pre-service training offered at the Training Academy that teaches new COTs fundamental skills and provides information about DOC. Appendix H outlines the courses comprising the 2023 Basic Training Program for COTs.
- Post Development is a week of familiarizing the COT with various posts within the SCI, such as housing units, yard, dining hall, commissary, etc., under the guidance of an experienced officer in preparation for on-the-job training.

Phase 2: Multiple Posts refers to all posts that provide the COT with the support and assistance of another officer working the same post or near the COT.⁴⁶ During this phase, the facility can place the COT on either six weeks on the first shift and seven weeks on second shift or seven weeks on first shift and six weeks on second shift with an evaluation at the end of the 13 weeks. This phase begins the formal on-the-job training for a new COT.

Phase 3: Single Posts refers to any posts that allow the COT to work independently using acquired skills and knowledge for 16 weeks. Each SCI has unique needs, which may require two additional weeks of training for the COT.

⁴⁵ Post development is a 40-hour week to familiarize the COT with the various posts that are staffed by COs within an SCI. The COT is under the guidance of an experience officer.

⁴⁶ New COTs are not to be assigned to the Security Level 5 Housing Unit, Mental Health Unit (MHU), transportation of inmates, and/or an outside hospital duty.

Phase 4: Restricted Posts refers to any posts determined to be “high security” or requiring a higher degree of knowledge or experience.⁴⁷ During this 15-week phase (six weeks on first shift, six weeks on second shift, and three weeks on an optional shift), the COT receives inmate transport training but will not be used on any transport detail outside the SCI. A COT will only be utilized for an outside hospital post or transport detail for training purposes. Each facility has unique needs, which may require two additional weeks of training for a COT.

Once a COT begins this training phase, the minimum 39 weeks required to supervise an outside inmate work detail for Custody Level 2 inmates has been satisfied. An outside inmate work detail occurs outside the SCI’s secure perimeter.

COs permanently assigned to Security Level 5 Housing Units must successfully complete DOC’s Security Level 5 Housing Unit Seminar course within six months of assignment. These COs also receive training and certification for using an electronic immobilization device (EID).⁴⁸

Specialized Training: COTs assigned to SCI-Pine Grove or SCI-Muncy to work with young adult offenders must complete the Managing Young Adult Offenders course before the conclusion of their probationary periods. A current DOC employee who transfers to SCI-Pine Grove or SCI-Muncy must complete the course within six months of transfer.

COTs assigned to SCI-Muncy, SCI-Cambridge Springs, or the Quehanna Boot Camp, working with women offenders, must complete the Women Offenders in Pennsylvania Corrections course before the conclusion of their probationary periods. New employees also receive training on fraternization.⁴⁹ A current DOC employee who transfers to either of these facilities must complete the course within six months. All employees of these facilities receive in-service training on fraternization every two years.

Evaluations begin in Phase 2 of the training and are completed monthly. Additional assessments may be conducted by the training staff at any time if deemed necessary.

⁴⁷ High security in nature includes Security Level 5 Housing Unit, MHU, transportation of inmates, and/or outside hospital duty.

⁴⁸ The Electronic Immobilization Device (EID) Certification course teaches general information about the use, storage, effects, and application of the EID. The EID is intended to reduce the time an officer spends in a physical confrontation and provides defense and control during times of non-compliance by inmates. A minimum score of 70 percent is required to pass the course and obtain certification.

⁴⁹ Fraternization is the act of establishing intimate relations between people or groups that are considered unethical or immoral in some contexts, such as militaries, prisons, or workplaces.

At the end of each phase, a COT takes an exam, for which a minimum grade of 70 percent is necessary to pass. If a COT fails, the COT is allowed one retest. A COT's probationary period will not be extended beyond 12 months unless the extension meets the requirements for absences per the H-1 Collective Bargaining Agreement. Within 30 days of COTs' completion of on-the-job training, they are promoted to CO1, assuming an acceptable evaluation.

C. Required In-Service Training

All DOC employees must complete in-service training by December 31 of each year.⁵⁰ The in-service training must be included in the Annual Training Plan, with the requirements being presented to the Training Coordinator no later than October 15 each year.⁵¹

There are five hours of web-based training courses (WBT) that all DOC employees are required to complete in 2023. Those courses are:

- Naloxone Training (half-hour): includes information regarding Pennsylvania's response to the opioid crisis and the process of administering Naloxone.
- OA Mandatory Training (three hours): training that all state employees must take annually.
- Offender Contact/Relationship Reporting (half-hour) WBT that reviews policy requirements.
- Personal Protective Equipment (half-hour) WBT reviews the use of personal protective equipment (PPE).
- Prison Rape Elimination Act (PREA) Policy Updates (half-hour)

COs are required to complete 40 hours of in-service training annually. Exhibit 29 illustrates the training COs must complete in 2023. In addition to the courses in Exhibit 29, those corrections officers who are permanently assigned to Security Level 5 Housing Units are required to take an additional 13.25 hours of in-service training in the following courses:

- EID and Use of Force Recertification.
- Incident Response Responsibilities.
- Manipulation: The Con Game.

⁵⁰ Additionally, employees may receive out-service training. Out-service training is employee training and development such as conferences, conventions, and professional association meetings that benefit the employee and DOC.

⁵¹ A Training Coordinator is an employee assigned by each facility, CCC region and center, Central Office, and Training Academy who is responsible for supervising the planning, coordinating, facility and ACA training record maintenance, and on-site monitoring of training.

- Rifle Training for Tower Officers and Use of Force (must initially qualify before assuming post).⁵²
- Riot Baton and Use of Force.
- Use of Security Restraints.
- Verbal De-escalation Using Yield Theory.
- Video Camera Training.

Exhibit 29

**2023 Required In-Service Training for Corrections Officers
 (Hours)**

| Course | Hours |
|---|--------------|
| Certified Peer Specialist Training | .50 |
| Fire Safety Training (facility) | .50 |
| Incident Command System (facility) | .50 |
| Inmate Supervision and Accountability | .75 |
| Mental Health CI/SP | 1.50 |
| Naloxone Training ^a | .50 |
| OA Mandatory Training | 3.00 |
| Offender Contact/Relationship Reporting | .50 |
| Personal Protective Equipment | .50 |
| PREA Policy Updates | .50 |
| Right to Know Chemicals in the Workplace | .50 |
| Tool Control | .50 |
| Use of Force | .50 |
| Assault Management Applications in Corrections (AMAC) Combined | 7.50 |
| Basic First Aid Recertification | 2.25 |
| CPR / AED | 2.25 |
| Firearms Loading and Unloading Procedures Training ^b | 4.00 |
| Firearms Training and Use of Force Requalification | 8.00 |
| Oleoresin Capsicum ^c and Use of Force | 2.00 |
| Trauma Informed Care | 4.00 |
| Total Hours | 40.25 |

^a Naloxone Training furthers the knowledge of the opioid crisis, Pennsylvania’s response, Act 139, information on opioid overdose reversal, and the process of administering Naloxone.

^bTwo hours offered two times annually equals four hours annually.

^cOleoresin Capsicum is a tear gas product containing the compound capsaicin as the active ingredient that irritates the eyes to cause burning and pain sensations, and temporary blindness, also called pepper spray or OC spray.

Source: Developed by LBFC staff from information obtained from DOC Policy 5.1.1.

⁵² Firearms qualification is the initial successful completion of all training standards for the applicable firearm(s) in DOC’s approved training programs. A firearm refers to any pistol, revolver, rifle, or shotgun.

Additionally, corrections officers may join special response teams that require additional training. Some of those additional teams are:

- Regional Corrections Rifle Specialist Teams (CRST).
- Hostage Negotiation Teams (HNT).
- Hostage Rescue Team (HRT).
- Fire Emergency Response Teams (FERT).
- Corrections Emergency Response Teams (CERT).
- K-9 Unit.
- Mental Health First Aid (MHFA).
- Crisis Intervention Team (CIT).

D. Training Plans

DOC and SCIs prepare annual training plans to manage the training and development of staff. The training plans outline major program objectives, requirements, and schedules for the upcoming training year.

Facility Training Plans are developed with attention to DOC-wide mandated training requirements, participant evaluations of training programs, and facility training needs determined by Facility Managers⁵³ and their Training Advisory Committees.

DOC Annual Training Plans are developed by the Staff Development and Training Office upon receipt of the training plans from the SCIs, CCCs, and Central Office.⁵⁴ Once DOC's Training and Advisory Committee reviews and approves the annual training plan, it is forwarded to the secretary for approval no later than January 1. The secretary submits the plan to the Office of Administration, Human Resources Development Division.

Annual training plans should contain a synopsis of the facility training needs, a list of all courses to be offered, the general period for delivery, and methods to evaluate the facility training program and specific training classes.

- *2017 Annual Training Plan*: Focused on staff Interpersonal Communications (IPC) and extended the IPC program from 3.5 hours to 15 hours of training and integrated IPC into the Assault

⁵³ The Facility Manager is the Superintendent of a State Correctional Facility, Commander of a Motivational Boot Camp, Director of a Community Corrections Center, or Director of the Staff Development and Training Office.

⁵⁴ DOC, there is no 2019 Annual Training Plan because the Office of Administration changed reporting requirements for Agency Training Plans; it was therefore waived for 2019.

Management Applications in Corrections (AMAC) program. The IPC courses also became a mandatory training requirement for all DOC employees.

- *2018 Annual Training Plan:* Continued focus on IPC and developed a refresher course that became mandatory for all DOC employees. DOC also focused on suicide prevention and intervention training; training to recognize risk factors and appropriately respond to suicidal behaviors is mandatory in-service training for all DOC employees regardless of classification.
- *2020 Annual Training Plan:* Increased the Mental Health, Crisis Intervention, and Suicide Prevention mandatory in-service training course from two to three hours. DOC also increased collaborative web meetings and virtual instructor-led training.
- *2021 Annual Training Plan:* The COVID-19 pandemic made training difficult, and because of that, most of the 2021 training plan involved developing virtual training, redesigning classroom training for virtual and web-based training platforms and making the best use of training time by combining course material.
- *2022 Annual Training Plan:* This training plan continued flexibility with core training due to COVID-19, introduced new professional development material, combined parole and facility training into one consistent DOC approach, developed a protocol for training evaluation, and changed the name of the Management Development Program to the Professional Development Program.
- *2023 Annual Training Plan:* Created a formal apprenticeship program for new parole agents, resumed on-site training audits, and collaborated with the Recruitment and Retention Team to continue facility-based on-the-job program reviews.

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APPENDICES



Appendix A – House Resolution 174

PRIOR PRINTER'S NO. 2793

PRINTER'S NO. 3616

THE GENERAL ASSEMBLY OF PENNSYLVANIA

HOUSE RESOLUTION

No. **174** Session of
2022

INTRODUCED BY KAUFER, SNYDER, BERNSTINE, COOK, FRITZ, GUENST, MILLARD,
OWLETT, PICKETT, RADER, RIGBY, ROWE, STRUZZI, CIRESI, GILLEN AND WELBY,
MARCH 8, 2022

AS AMENDED, HOUSE OF REPRESENTATIVES, OCTOBER 26, 2022
A RESOLUTION

Directing the Legislative Budget and Finance Committee to conduct a thorough and comprehensive study on the cost of implementing a safety plan for staffing of State correctional institutions on Level 3 and Level 4 housing units in this Commonwealth.

WHEREAS, Since 1954, seven corrections officers or employees at the Department of Corrections were killed in the line of duty as a result of an assault; and

WHEREAS, The most recent occurred in 2018 when a corrections officer was assaulted and kicked in the head, later dying from his injuries; and

WHEREAS, There have also been numerous major assaults committed by inmates in recent years that have been directed at corrections officers or employees; and

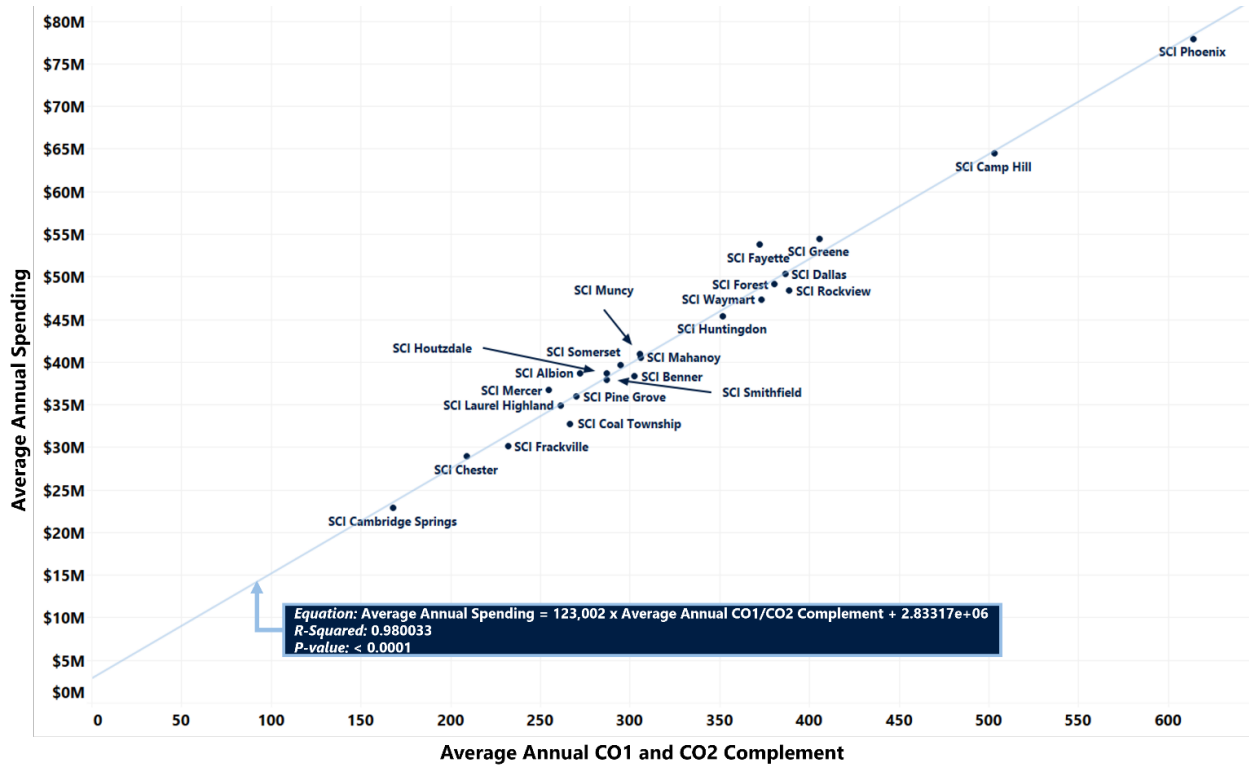
WHEREAS, A major assault is defined as an assault that causes the victim to seek care from a medical facility outside the State correctional institution; therefore be it

RESOLVED, That the House of Representatives direct the Legislative Budget and Finance Committee to conduct a thorough and comprehensive study on the cost of implementing a safety plan for staffing of State correctional institutions on Level 3 and Level 4 housing units in this Commonwealth; and be it further

RESOLVED, That the study determine the cost to have all Level 3 and Level 4 housing units at State correctional institutions be staffed by at least two correctional officers per pod where inmates are permitted freedom of movements from their cells, but that the study not apply to any Level 3 or Level 4 housing unit constructed within a secure bubble; and be it further

RESOLVED, That the Legislative Budget and Finance Committee submit a report to the House of Representatives containing its findings and recommendations resulting from the study no later than August 31, ~~2022~~ 2023.

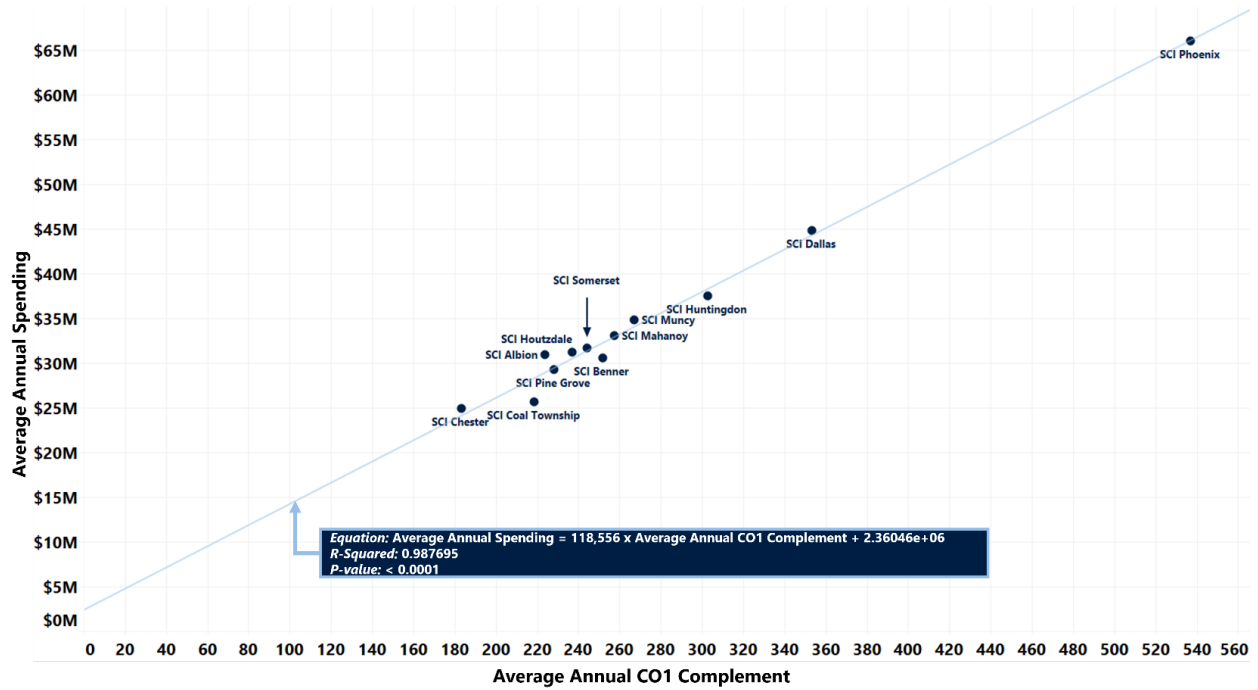
Appendix B – Five-Year Average of SCI CO1 and CO2 Completions and Spending: Regression Analysis



Source: Developed by LBFC staff from information obtained from DOC.

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Appendix C – Five-Year Average of SCI CO1 Complements and Spending for Institutions Impacted by HR 174 Proposals: Regression Analysis



Source: Developed by LBFC staff from information obtained from DOC.

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Appendix D – Violent Guilty Incidents by SCI

| | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|------------------------|---|--------------------|--------------------|--------------------|--------------------|
| SCI ⁵⁵ | Number of Violent Incidents (Percent of Statewide Total) | | | | |
| SCI Albion | 138 (5) | 133 (5) | 170 (6) | 78 (6) | 71 (4) |
| SCI Benner | 129 (5) | 102 (4) | 111 (4) | 51 (4) | 71 (4) |
| SCI Cambridge Springs | 54 (2) | 33 (1) | 61 (2) | 39 (3) | 30 (2) |
| SCI Camp Hill | 153 (6) | 148 (6) | 145 (5) | 79 (6) | 110 (7) |
| SCI Chester | 61 (2) | 69 (3) | 57 (2) | 28 (2) | 58 (4) |
| SCI Coal Township | 122 (5) | 118 (5) | 133 (5) | 62 (4) | 62 (4) |
| SCI Dallas | 90 (3) | 80 (3) | 128 (5) | 55 (4) | 61 (4) |
| SCI Fayette | 91 (4) | 100 (4) | 94 (4) | 55 (4) | 64 (4) |
| SCI Forest | 117 (5) | 110 (4) | 125 (5) | 94 (7) | 117 (7) |
| SCI Frackville | 88 (3) | 79 (3) | 99 (4) | 56 (4) | 46 (3) |
| SCI Graterford/Phoenix | 159 (6) | 138 (6) | 143 (5) | 87 (6) | 176 (11) |
| SCI Greene | 138 (5) | 106 (4) | 127 (5) | 80 (6) | 98 (6) |
| SCI Houtzdale | 160 (6) | 203 (8) | 188 (7) | 88 (6) | 118 (7) |
| SCI Huntingdon | 113 (4) | 138 (6) | 108 (4) | 47 (3) | 36 (2) |
| SCI Laurel Highlands | 38 (1) | 46 (2) | 69 (3) | 17 (1) | 23 (1) |
| SCI Mahanoy | 130 (5) | 100 (4) | 122 (5) | 64 (5) | 84 (5) |
| SCI Mercer | 46 (2) | 44 (2) | 45 (2) | 19 (1) | 17 (1) |
| SCI Muncy | 105 (4) | 132 (5) | 134 (5) | 77 (6) | 92 (6) |
| SCI Pine Grove | 117 (5) | 101 (4) | 51 (2) | 66 (5) | 45 (3) |
| SCI Pittsburgh | 0 (0) | 0 (0) | 0 (0) | 0 (0) | 0 (0) |
| Quehanna MBC | 7 (0) | 15 (1) | 7 (0) | 11 (1) | 5 (0) |
| SCI Retreat | 97 (4) | 111 (4) | 65 (2) | 0 (0) | 0(0) |
| SCI Rockview | 117 (5) | 97 (4) | 104 (4) | 48 (3) | 58 (4) |
| SCI Smithfield | 89 (3) | 97 (4) | 95 (4) | 49 (4) | 44 (3) |
| SCI Somerset | 149 (6) | 119 (5) | 174 (7) | 101 (7) | 125 (8) |
| SCI Waymart | 73 (3) | 74 (3) | 95 (4) | 31 (2) | 25 (2) |
| Annual Total | 2,581 (100) | 2,493 (100) | 2,650 (100) | 1,382 (100) | 1,636 (100) |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

⁵⁵ Graterford, Pittsburgh, and Retreat are closed.

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Appendix E – Inmate-on-Staff Assault Guilty Incidents by SCI

| | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|------------------------|--|------------------|------------------|------------------|------------------|
| SCI ⁵⁶ | Number of Staff Assault Guilty Incidents (Percent of Statewide Total) | | | | |
| SCI Albion | 33 (5) | 34 (6) | 40 (7) | 27 (7) | 20 (5) |
| SCI Benner | 47 (7) | 21 (4) | 20 (4) | 8 (2) | 13 (3) |
| SCI Cambridge Springs | 3 (0) | 3 (1) | 2 (0) | 10 (3) | 2 (0) |
| SCI Camp Hill | 32 (5) | 39 (7) | 29 (5) | 28 (7) | 37 (9) |
| SCI Chester | 8 (1) | 7 (1) | 10 (2) | 9 (2) | 5 (1) |
| SCI Coal | 19 (3) | 16 (3) | 19 (3) | 11 (3) | 6 (1) |
| SCI Dallas | 21 (3) | 9 (2) | 38 (7) | 21 (6) | 19 (5) |
| SCI Fayette | 20 (3) | 31 (5) | 19 (3) | 12 (3) | 12 (3) |
| SCI Forest | 36 (6) | 40 (7) | 28 (5) | 32 (8) | 44 (11) |
| SCI Frackville | 23 (4) | 27 (5) | 34 (6) | 16 (4) | 19 (5) |
| SCI Graterford/Phoenix | 53 (8) | 35 (6) | 27 (5) | 31 (8) | 66 (16) |
| SCI Greene | 53 (8) | 30 (5) | 36 (6) | 36 (9) | 32 (8) |
| SCI Houtzdale | 30 (5) | 46 (8) | 42 (7) | 12 (3) | 15 (4) |
| SCI Huntingdon | 24 (4) | 21 (4) | 28 (5) | 4 (10) | 9 (2) |
| SCI Laurel Highland | 5 (1) | 13 (2) | 11 (2) | 2 (1) | 2 (0) |
| SCI Mahanoy | 30 (5) | 20 (3) | 19 (3) | 11 (3) | 16 (4) |
| SCI Mercer | 14 (2) | 8 (1) | 5 (1) | 5 (1) | 3 (1) |
| SCI Muncy | 22 (3) | 22 (4) | 32 (6) | 26 (7) | 22 (5) |
| SCI Pittsburgh | 0 (0) | 0 (0) | 0 (0) | 0 (0) | 0 (0) |
| SCI Pine Grove | 26 (4) | 29 (5) | 13 (2) | 8 (2) | 6 (1) |
| Quehanna MBC | 0 (0) | 2 (0) | 0 (0) | 0 (0) | 0 (0) |
| SCI Retreat | 24 (4) | 46 (8) | 20 (4) | 0 (0) | 0 (0) |
| SCI Rockview | 34 (5) | 24 (4) | 25 (4) | 14 (4) | 16 (4) |
| SCI Smithfield | 34 (5) | 22 (4) | 17 (3) | 22 (6) | 11 (3) |
| SCI Somerset | 24 (4) | 15 (3) | 31 (6) | 21 (6) | 24 (6) |
| SCI Waymart | 16 (3) | 14 (2) | 18 (3) | 14 (4) | 17 (4) |
| Annual Total | 631 (100) | 574 (100) | 563 (100) | 380 (100) | 416 (100) |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

⁵⁶ Graterford, Pittsburgh, and Retreat are closed.

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Appendix F – Inmate-on-Inmate Assault Guilty Incidents by SCI

| SCI ⁵⁷ | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|------------------------|---|------------------|------------------|------------------|------------------|
| | Number of Inmate-on-Inmate Assault Guilty Incidents (Percent of Total) | | | | |
| SCI Albion | 46 (6) | 45 (6) | 40 (5) | 18 (5) | 25 (5) |
| SCI Benner | 28 (4) | 24 (3) | 28 (4) | 17 (4) | 23 (5) |
| SCI Cambridge Springs | 27 (3) | 15 (2) | 18 (2) | 8 (2) | 12 (2) |
| SCI Camp Hill | 42 (5) | 30 (4) | 33 (4) | 23 (6) | 25 (5) |
| SCI Chester | 25 (3) | 20 (3) | 22 (3) | 7 (2) | 15 (3) |
| SCI Coal Township | 45 (6) | 48 (6) | 46 (6) | 22 (6) | 22 (4) |
| SCI Dallas | 30 (4) | 25 (3) | 39 (5) | 17 (4) | 11 (2) |
| SCI Fayette | 22 (3) | 21 (3) | 31 (4) | 16 (4) | 17 (3) |
| SCI Forest | 32 (4) | 28 (4) | 30 (4) | 23 (6) | 24 (5) |
| SCI Frackville | 23 (3) | 28 (4) | 25 (3) | 16 (4) | 9 (2) |
| SCI Graterford/Phoenix | 39 (5) | 24 (3) | 34 (4) | 23 (6) | 43 (9) |
| SCI Greene | 40 (5) | 28 (4) | 36 (5) | 9 (2) | 20 (4) |
| SCI Houtzdale | 63 (8) | 63 (8) | 51 (7) | 36 (9) | 41 (8) |
| SCI Huntingdon | 46 (6) | 53 (7) | 29 (4) | 24 (6) | 14 (3) |
| SCI Laurel Highlands | 12 (2) | 17 (2) | 17 (2) | 6 (2) | 8 (2) |
| SCI Mahanoy | 34 (4) | 31 (4) | 42 (5) | 18 (5) | 37 (7) |
| SCI Mercer | 8 (1) | 14 (2) | 16 (2) | 3(1) | 4 (1) |
| SCI Muncy | 42 (5) | 56 (8) | 61 (8) | 23 (6) | 44 (9) |
| SCI Pine Grove | 23 (3) | 24 (3) | 11 (1) | 13 (3) | 12 (2) |
| SCI Pittsburgh | 0 (0) | 0 (0) | 0 (0) | 0 (0) | 0 (0) |
| Quehanna MBC | 3 (0) | 7 (1) | 6 (1) | 6 (2) | 3 (1) |
| SCI Retreat | 31 (4) | 26 (4) | 21 (3) | 0 (0) | 0 (0) |
| SCI Rockview | 32 (4) | 24 (3) | 23 (3) | 11 (3) | 15 (3) |
| SCI Smithfield | 20 (3) | 29 (4) | 22 (3) | 15 (4) | 13 (3) |
| SCI Somerset | 49 (6) | 35 (5) | 60 (8) | 35 (9) | 54 (11) |
| SCI Waymart | 25 (3) | 27 (4) | 25 (3) | 10 (3) | 10 (2) |
| Statewide Total | 787 (100) | 742 (100) | 766 (100) | 399 (100) | 501 (100) |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

⁵⁷ Graterford, Pittsburgh, and Retreat are closed.

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Appendix G – Inmate Fight Guilty Incidents by SCI

| SCI ⁵⁸ | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 |
|------------------------|---|------------------|-------------------|------------------|------------------|
| | Number of Inmate Fight Guilty Incidents (Percent of Total) | | | | |
| SCI Albion | 55 (6) | 52 (5) | 72 (7) | 27 (5) | 18 (3) |
| SCI Benner | 49 (5) | 52 (5) | 57 (5) | 25 (5) | 30 (5) |
| SCI Cambridge Springs | 19 (2) | 6 (1) | 32 (3) | 19 (4) | 13 (2) |
| SCI Camp Hill | 62 (6) | 58 (6) | 64 (6) | 24 (5) | 36 (6) |
| SCI Chester | 26 (3) | 38 (4) | 19 (2) | 9 (2) | 28(5) |
| SCI Coal Township | 46 (5) | 46 (5) | 60 (6) | 22 (4) | 30 (5) |
| SCI Dallas | 34 (3) | 35 (4) | 38 (4) | 14 (3) | 24 (4) |
| SCI Fayette | 43 (4) | 40 (4) | 45 (4) | 27 (5) | 29 (5) |
| SCI Forest | 39 (4) | 37 (4) | 59 (5) | 33 (6) | 42 (7) |
| SCI Frackville | 41 (4) | 21 (2) | 34 (3) | 20 (4) | 15 (2) |
| SCI Graterford/Phoenix | 39 (4) | 47 (5) | 43 (4) | 26 (5) | 52(8) |
| SCI Greene | 39 (4) | 42 (4) | 40 (4) | 29 (6) | 41 (7) |
| SCI Houtzdale | 60 (6) | 87 (9) | 79 (7) | 31 (6) | 50 (8) |
| SCI Huntingdon | 46 (5) | 55 (6) | 42 (4) | 16 (3) | 15 (2) |
| SCI Laurel Highlands | 19 (2) | 15 (2) | 31 (3) | 10 (2) | 14 (2) |
| SCI Mahanoy | 61 (6) | 49 (5) | 56 (5) | 27 (5) | 26 (4) |
| SCI Mercer | 15 (2) | 19 (2) | 21 (2) | 8 (2) | 7 (1) |
| SCI Muncy | 31 (3) | 34 (3) | 28 (3) | 24 (5) | 19 (3) |
| SCI Pine Grove | 66 (7) | 47 (5) | 27 (3) | 44 (8) | 30 (5) |
| SCI Pittsburgh | 0 (0) | 0 (0) | 0 (0) | 0 (0) | 0 (0) |
| Quehanna MBC | 3 (0) | 9(1) | 0 (0) | 4 (1) | 2 (0) |
| SCI Retreat | 34 (3) | 21 (2) | 23 (2) | 0 (0) | 0(0) |
| SCI Rockview | 44 (4) | 41 (4) | 50 (5) | 19 (4) | 21 (3) |
| SCI Smithfield | 29 (3) | 42 (4) | 44 (4) | 10 (2) | 19 (3) |
| SCI Somerset | 62 (6) | 55(6) | 76 (7) | 44 (8) | 43 (7) |
| SCI Waymart | 23 (2) | 26 (3) | 34 (3) | 6 (1) | 8 (1) |
| Statewide Total | 985 (100) | 974 (100) | 1074 (100) | 518 (100) | 612 (100) |

Source: Developed by LBFC staff from information obtained from the DOC Department-wide Violence Report.

⁵⁸ Graterford, Pittsburgh, and Retreat are closed.

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Appendix H – 2023 Basic Training Courses for COTs

| Course | Description and Performance Objectives | Hours |
|--|--|----------------------------------|
| Assault Management Applications in Corrections (AMAC)⁵⁹ Course 1 | <p>A foundational course that introduces the approach employed by the AMAC program to manage assaults in the correctional setting. Topics include:</p> <ul style="list-style-type: none"> • AMAC Conditions for Success. • Situation Analysis. • Mindset. • Use of Force. • Body Vulnerable Points. • Interview Positions. • Ranges of an Assault. • Touch Pressure Point Application. | 3.75 |
| AMAC Course 2 | <p>Covers the basics of the protective positioning used in the AMAC program. Introduces protective positions to use when standing and on the ground. The core concepts for defending against strikes and takedowns are presented in addition to some basic approaches to talking assaultive individuals to the ground.</p> | 3.75 |
| AMAC Course 3 and AMAC Course 4 | <p>These courses are the core of the AMAC program and focus on basic techniques for improving body position against an assaultive individual on the ground at grappling range.</p> | Course 3: 3.75 Course 4: 3.75 |
| AMAC Course 5 | <p>The aim is to enhance the ability to gain and maintain positional control of an assaultive individual on the ground. Participants are exposed to variations of protective positions, improved methods for maintaining good positions, and alternate methods for transitioning positions.</p> | 3.75 |
| AMAC Course 6 | <p>Builds on all the content in courses 1-5 and adapts it into a team-based strategy for managing assaults. It is a common misconception that when corrections staff outnumber a resistant inmate, they will automatically successfully manage the assault. Without focused training in how to work as a member of a team to manage an assault, the risk of injury for all parties involved is significantly increased.</p> | 3.75 |
| Basic First Aid (lecture and hands-on) | <p>Intended for individuals who are required to certify in basic emergency medical care. In this course, participants will develop the knowledge, skills, and confidence to respond to a medical emergency. The participants must also demonstrate first aid skills and pass a skills performance evaluation.</p> | 3.50 |
| Contraband and Searches | <p>Defines contraband in a correctional setting and the security measures utilized to detect and prevent the introduction of contraband into the institution. Participants will explain the importance of and demonstrate the proper techniques to conduct various inmate searches, such as clothed and unclothed inmate searches, and perform an effective</p> | 4.50 |

⁵⁹ The Assault Management Applications in Corrections (AMAC) Program is a defensive tactics program for facility employees that was created by and is unique to Pennsylvania.

cell search. Participants will be able to explain the procedure for bringing authorized items into a facility and describe the procedures for identifying and securing contraband. Furthermore, this course identifies numerous examples of contraband and how it may be introduced.

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| COVER | Introduces Corrections Outreach for Veteran and Employee Restoration (COVER) to new DOC employees. This course was established to help employees deal with the effects of post-traumatic stress and to help reduce the number of employee suicides. | .50 |
| CPR/AED Certification (lecture and hands-on) | Intended for individuals who must be trained and certified in basic emergency medical care using cardiopulmonary resuscitation (CPR) and automated external defibrillation (AED). The participants must demonstrate CPR/AED skills and pass a skills examination. | 2.50 |
| Dayroom Scenarios | Allows five-week basic training participants to practice the skills that they learned during basic training at a walking pace before continuing on-the-job training. | 11.00 |
| Drug Awareness | Reinforces that drugs are dangerous contraband within a correction setting. Participants can analyze various drug smuggling and concealment methods occurring in DOC facilities by describing some common substances found in institutions and discussing why inmates risk getting drugs while incarcerated. Finally, participants will review initiatives DOC has developed for drug interdiction. | 1.50 |
| Electronic Immobilization Device (EID) Certification | Participants will learn general information about the use, storage, effects, and application of the electronic immobilization device (EID). The use of the EID is intended to reduce the time an officer spends in a physical confrontation and provides defense and control during times of non-compliance by inmates. | 1.50 |
| Ethics and Professionalism | Introduces new DOC employees to the concept of ethics, particularly as it relates to ethics for correctional professions. | 1.00 |
| Fundamentals of Security | Explores fundamentals of security in a correctional setting. The course includes static and dynamic security, identifying complacency, key control, tool control, and radio control. | 2.00 |
| Hostage Survival | Explores how to survive as a hostage in the correctional environment. In the event of being taken hostage, knowing why hostages are taken and the numerous events that occur at the beginning, throughout, and completion of a hostage situation will better prepare correctional staff members to survive a hostage situation. | 2.50 |
| Incident Command System (ICS) | ICS is a structured approach to managing a critical situation in a correctional environment. The primary goal is to familiarize staff with basic ICS concepts and terminology. Participants will learn the definition of a critical incident, DOC's objectives, and strategies to manage such incidents, explore the components of ICS, and learn the ICS 5-Step Tactical Plan. | 2.00 |
| Incident Response Responsibilities and Procedures | This course examines the general application of the Use of Force Continuum and types of responses on a facility level. Participants will learn their duties in affected and unaffected areas relevant to the incident, and the duties and equipment of an Incident Response Team (IRT). | 1.00 |

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| Infectious Diseases | In this course, participants will explore the standard precautions and those essential for the most common infectious diseases found in a correctional setting. Participants will discuss the basics of blood and body fluids exposure. | 1.00 |
| Initial Firearms | Familiarizes participants with initial firearms safety rules and expectations, the nomenclature and operation of handguns, and the fundamentals of marksmanship. Participants will be taught the principles of dim/adverse lighting operations, tactical movement, and shooting. | 33.50 |
| Inmate Disciplinary Procedures | Generates awareness of the Inmate Discipline Policy (DC-ADM 801). This course is instructed through facilitation, class discussion, small-group exercise, and independent practice. This course intends to train the participants to recognize rules and guidelines that are established for the inmates, available sanctions, use of proper forms and reports, and a general understanding of inmate discipline procedures. | 2.00 |
| Inmate Supervision and Accountability | Discusses and explores the fundamental activities associated with inmate supervision and accountability. Topics covered include inmate progress reporting, types of inmate counts and observations, and exploring the role of a work detail supervisor. | 2.00 |
| Leadership and Mentoring | Designed to familiarize the participants with DOC's overall organizational structure, expose the participants to basic leadership theories, and initiate interest in DOC's Mentoring Program. | .50 |
| Legal Aspects of Corrections | Designed to provide participants with legal aspects of corrections and how they relate to DOC employees. The purpose of this course is to establish an awareness of the rights of inmates and employees' rights and responsibilities pertaining to these rights and any potential litigation. | 1.50 |
| Manipulation: The Con Game | Identifies the various tactics inmates and re-entrants use to manipulate staff for personal gain while incarcerated or under supervision. Participants will identify manipulation tactics using videos and learning how to apply professionalism and properly report manipulation will help keep staff from severe consequences. | 1.50 |
| Medication-Assisted Treatment (MAT) | Provides education on the MAT used within a correctional setting and the measures used to maintain MAT participants on Naltrexone and Buprenorphine. Explain the importance of using MAT for inmates with opioid or alcohol use disorders. | 1.00 |
| Mental Health First Aid (MHFA) | Provides foundational information regarding the knowledge and skills required to help a person developing a mental health problem or experiencing a mental health crisis. | 7.50 |
| Naloxone Training (WBT)^a | Training to further the participants' knowledge of the opioid crisis by studying Pennsylvania's response to the opioid crisis and the focus of Act 139, providing information on opioid overdose reversal, and the process of administering Naloxone. | .50 |
| Oleoresin Capsicum (OC) (lecture and hands-on) | This course covers general information on the oleoresin capsicum (OC), its deployment within the use of force guidelines, storage, and procedures for decontamination. The participants receive hands-on training in the application of OC delivery by inert canisters and experience the effects of OC during the initial certification. The course also | 3.00 |

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| | covers general information about DOC's policies referencing the use of OC. | |
| Orientation | Basic Training Orientation training is designed to provide staff members with an understanding of rules, expectations, and requirements for completing basic training with an understanding of what to do during emergencies and drills. | .50 |
| Prison Rape Elimination Act (PREA) | PREA, enacted in 2003, was created to enforce zero tolerance for the sexual abuse and sexual harassment of inmates. This course delineates PREA's purpose and major guiding principles. Participants are introduced to the scope of inmate-on-inmate and staff-on-inmate sexual assault, the reporting procedures for prison rape, and corresponding staff responsibilities in such events. Comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities. | 2.50 |
| Re-entry Simulation | Introduces basic training participants to a re-entrant's experience through scenarios and role-play. Participants experience re-entry through the eyes of those they serve. | 2.00 |
| Report Writing | Designed to provide basic knowledge for the completion of the most common reports. Participants learn the purpose of report writing, ten steps of report writing, outlining the report, and finalizing the report. | 1.50 |
| Riot/Individual Baton | Participants will follow the Use of Force Continuum guidelines to perform proper riot baton strikes, blocks, and riot baton retention techniques. Perform riot baton strikes, blocks, and riot baton retention techniques. | 3.00 |
| Security Restraints | Security restraints are some of the most used pieces of equipment by COs. The course starts with an overview of the basic justifications for using restraints, and a basic overview of most security restraints used by DOC. The course guides participants through the handcuff application process. Participants will obtain direct experience through practical application exercises. | 3.00 |
| Security Threat Group Awareness | Identifies the nine major Security Threat Groups (STGs) in DOC. The course describes basic identification marks and terminology of the nine major STGs. | 1.50 |
| Sexual Harassment Awareness and Prevention | Designed to increase awareness and comprehension of the behaviors and dynamics associated with sexual harassment and its prevention in the workplace. The course reviews federal and state laws as well as commonwealth and DOC policies that govern sexual harassment in the workplace. Participants will learn how to report sexual harassment and identify strategies for its prevention. | 1.00 |
| Stress Management | Participants learn how stress can negatively affect the physical and emotional health of COs. Participants will discuss several types of stress, stressors, and effective strategies to reduce and cope with stress. Participants will reflect on the importance of work-life balance and discover various stress management resources. | 2.00 |
| Suicide Prevention and Intervention | Suicide prevention and intervention is being "responsive to those committed to our care." The course gives an overview of the DOC Suicide Prevention program. It reviews the demographics of suicide; | 3.00 |

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| | suicide risk factors in a correction setting; corrections staff roles and responsibilities to suicidal behaviors; myths and facts of suicide in custody; and covers key points of Critical incident Stress Management (CISM). | |
| Tactics for Effective Communications in Corrections (TECC) I | Designed to develop awareness of the communication process and to foster more effective communication between correctional staff and inmates/re-entrants. Differing brain functions, freeze/flight/fight instincts, prison and parole staff safety, communication tactics, and non-verbal cues are examined and discussed. | 3.00 |
| Trauma-Informed Response | Helps staff recognize the signs and symptoms of trauma, helps individuals to heal, and prevents re-traumatization to live a healthy life. | 4.00 |
| Use of Force | Participants learn the general guidelines for the Use of Force Continuum and justification for each level of the continuum. | 1.50 |
| Yield Theory | A tool for correctional staff to use in everyday interactions with both offenders and staff to foster a less threatening environment that involves three core actions: listen, validate, and explore options. | 22.50 |

Source: Developed by LBFC staff from the PA Department of Corrections 2023 Basic Training Program Syllabus

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Appendix I – Department of Correction’s - Response



Mr. Christopher R. Latta,
Executive Director
Legislative Budget and Finance Committee
Room 400 Finance Building
613 North St. Harrisburg, PA 17105

Dear Director Latta,

This correspondence will serve as the written response from the Department of Corrections to the Legislative Budget and Finance Committee draft findings of the *Safety-Related Staffing Plans* study conducted pursuant to House Resolution 174 of 2022. The Department recognizes the complexities in conducting a thorough analysis of its staffing plans and accurately accounting for the unique infrastructure of each facility, which greatly influence staffing plans. Thank you for the time you and your staff expended to most accurately conduct this review.

The following are the Department’s responses to the recommendations outlined in the report:

Recommendation 1 - DOC should begin collecting and tracking more specific violent incident data.

Recommendation 2 – DOC should invest in an updated Misconduct Tracking System.

The DOC intends to adopt the recommendations. The Misconduct Tracking System, where the data in both recommendations would be collected for more detailed analysis, resides in a mainframe system that has limited ability for expansion. The DOC is currently engaged in a multi-year, multi-phased process of modernizing its information systems; eliminating the mainframe foundation. The current Misconduct Tracking System is slated for enhancement of data collection capabilities when predicate modules of the replacement system have been built.

After careful review, the Department offers the following comments regarding specific findings within the report:

Page 5-5/Exhibit 9 – Interpretation of Staffing Model Proposed in HR 174

Comment: The Department contends that the plain language of HR 174 requires that Level 3 and Level 4 housing units be staffed by **at least** two correctional officers per pod where inmates are permitted freedom of movement from their cells, excluding those housing units with an operational secure control bubble. As such, the PSCOA interpretation of the proposed staffing model will present scenarios where at least one pod of a Level 3 housing unit will fall below the two correctional officer per pod threshold established in HR 174. As noted within the description of the PSCOA model, the housing unit CO2 rotates between the pods and provides relief for meals, breaks, and other support when necessary. During those times where the CO2 is providing relief for any of the three proposed CO1s in the model, the unit will be unable to meet the safety plan threshold of at least two correctional officers per pod. Likewise, when the CO2 is entitled to breaks or meals, the safety plan threshold will not be met, without the creation of additional utility corrections officers who are unassigned to housing unit posts and provide relief during meal and break periods to maintain the safety plan threshold. Therefore, the estimate of the PSCOA staffing model allocates an insufficient number of staff to fully comply with the minimum staffing thresholds within HR 174 and, consequently, underestimates actual costs.

Page 5-6/Section III.D. Pages 28-31 – Impacts on SCI Staffing

Comment: Implementation of either model of the staffing plan will drive vacancy rates from an average of approximately three percent at impacted locations to either 11 percent or 18 percent, depending on the model employed; necessitating the use of overtime to implement the safety plan established in HR 174.

Because the study period does not account for current vacancy rates and only considers the vacancy rates of CO1s during the study period, the Department contends that the study underestimates the actual impact on staffing that would be felt if implemented present day. To most accurately assess the impacts on staffing, the spectrum of vacancies from COT through CO2 should be considered. COTs ultimately fill vacancies in the CO1 ranks and may begin to work single person posts independently, when reaching phase three of their training plan; therefore, may be assigned to posts considered in the study. CO1s will generally fill vacancies at the CO2 level.

As of October 2, 2023, only two of the impacted facilities currently maintain an officer vacancy rate of less than the three percent average cited within the study. When considering the full spectrum of COT through CO2, the average vacancy rate is noted to be 7.6%, or more than double that which the study considered.

| Facility | Current Officer Vacancy Rate | Facility | Current Officer Vacancy Rate |
|-------------------|------------------------------|---------------------|------------------------------|
| SCI Albion | 4.8% | SCI Mahanoy | 10.6% |
| SCI Chester | 6.9% | SCI Muncy | 2.7% |
| SCI Coal Township | 12.7% | SCI Phoenix | 11.9% |
| SCI Dallas | 4.1% | SCI Pine Grove | 2.0% |
| SCI Houtzdale | 10.6% | SCI Benner Township | 10.0 % |
| SCI Huntingdon | 4.6% | SCI Somerset | 9.9% |

Because the staffing plan is always required to be fulfilled, the frequency with which the use of mandatory overtime would become necessary will substantially increase. Moreover, as the use of mandatory overtime becomes more frequent, so does the propensity for triggering double-time scenarios through the need of mandating staff to work on regularly scheduled days off; leading to a further underestimation of overtime costs.

As detailed in the January 2017 Legislative Budget and Finance Committee *PA Department of Corrections Overtime Study* conducted pursuant to Senate Resolution 263 of 2016, the fiscal impacts of excessive overtime use triggers detrimental financial consequences for the Commonwealth and is not a long-term sound financial practice through the increased pension costs associated with overtime. Said report estimates that hiring a Corrections Officer Trainee (COT) in lieu of overtime, saved greater than \$38,000.00 per year over the first ten years of employment:

Overtime Increases Pension Payments

The increase in the number of overtime hours worked by COs approaching retirement has resulted in further increasing the costs of pension benefits. According to staff from the State Employees' Retirement System (SERS), of the 240 CO 1-2s who retired during FY 2015-16, 191 COs had a SERS Final Average Salary (FAS) that was higher than the final annual salary of the employee. The FAS reflects a three-year average salary, which, without overtime, would naturally be less than the individual's final year salary. However, for these 191 COs who retired in FY 2015-16, due to overtime, the SERS FAS averaged \$14,033 above their last year's regular salary. When factoring in their average of 25.6 years of service, this translates into an additional \$8,616 in annual retirement annuity payments per CO under the Maximum Single Life Annuity (MSLA) option. This equates to an additional \$1.6 million per year in pension benefits for all of the 191 COs combined. With an average

Secretary's Office | 1920 Technology Parkway | Mechanicsburg, PA 17050 | 717.728.4122

retirement age of 55.7 years during FY 2015-16 and an average life expectancy of 82.7 years, the 191 COs that retired during FY 2015-16 with a higher FAS than their annual salary are estimated to cost the Commonwealth an additional \$44.5 million in pension benefits due to the overtime hours worked during their last three years of employment (p.S-6).

It Is More Cost Effective to Hire COs Than to Continue to Use Overtime to Provide Security Hours

A certain amount of overtime is deemed inevitable by prison staffing experts, however, maintaining an efficient number of security staff would minimize the number of overtime hours needed to meet the needs of the DOC, therefore, reducing the Department's overall personnel expenditures. We estimate that training a single COT will save the DOC \$30,519 in overall personnel expenditures in the first year. Furthermore, the total cumulative savings of hiring a single COT is estimated to be \$213,915 over a five-year period and \$381,127 over a ten-year period (p.S-9).

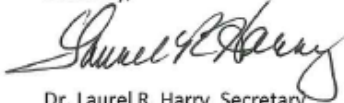
With the current vacancy rates noted above, the Department is unable to fill its current positions to operate within the estimated vacancy rate of three percent assumed in the study. Adding additional unfilled positions will only serve to further explode overtime costs in both the near-term annual operations costs and in the long-term through excessive pension payments.

However, more importantly and beyond the fiscal impacts, there is the human cost to implementing the staffing safety plan proposed under HR 174. As previously mentioned, current vacancy rates far exceed those detailed within the study. Current vacancy rates necessitate fulfilling essential posts at each of the potentially impacted facilities using a combination of voluntary and mandatory overtime. Exacerbating vacancy rates through imposition of either of the proposed HR 174 staffing plans would only further drive the need for overtime beyond that which can be filled on a voluntary basis; necessitating that staff remain on post or work on scheduled days off using mandatory overtime.

The impact of long shifts and inadequate time away from work has detrimental impacts on staff wellness, retention, and future recruitment. Moreover, continued long-hours has the effect of reducing alertness and readiness to respond to emergency situations that are frequently present in a correctional setting.

Thank you for the opportunity to submit these comments. Should you need further information, or have questions, please contact Ms. Diana Woodside, Director, Office of Legislative Affairs at (717) 728-4119.

Sincerely,



Dr. Laurel R. Harry, Secretary
Pennsylvania Department of Corrections

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Appendix J – LBFC’s Response to DOC’s Comments on the Draft Report

As shown in Appendix I, DOC had several comments regarding specific findings in this report. We have reviewed these comments and address them below.

Interpretation of Staffing Model Proposed in HR 174: We acknowledge DOC’s interpretation of the language in HR 174. Our report presents two staffing models based on stakeholder feedback and DOC’s understanding.

Impacts on SCI Staffing: As we show in our report, several factors affect SCI staffing and vacancy rates, many of which are outside the scope of this report. In its response, DOC highlighted how increasing vacancy rates have impacted staffing and overtime since the end of our report’s scope. We agree that vacancy rates are a significant consideration when evaluating staffing practices. Based on the models proposed by DOC and PSCOA, we calculated our vacancy rates based on CO1s only, while the rates provided by DOC also included CO2s. We recognized that CO2s cover CO1 posts at times. However, those decisions are facility-based; we used only CO1s in our calculations for uniformity.

DOC cites the 2017 LBFC study, *PA Department of Corrections Overtime Study*, to highlight the potential impacts that overtime could have on the costs to implement the staffing models described in the HR 174 report. Our prior report captures the significance of overtime expenditure. However, at that time, several factors affected SCI staffing practices, including a temporary hiring freeze, the department’s significantly outdated manpower surveys, and its inability to accurately track regular and overtime hours.

Due to the factors listed above, it is not suitable to cite the findings of our 2017 report in evaluating the costs and impacts of implementing new staffing models. An appropriate comparison of the effect of vacancy rates and overtime would necessitate an updated overtime analysis, which was outside the scope of this current report.

