

# Department of Corrections



**Senate Finance Subcommittee**  
**Public Safety**  
**September 17, 2013**

Harold W. Clarke, Director

# Changes

## DOC Philosophy and Reorganization

### VADOC Mission:

**We will enhance the quality of life in the Commonwealth by improving public safety. We will accomplish this through reintegration of sentenced men and women in our custody and care by providing supervision and control, effective programs and re-entry services in safe environments which foster positive change and growth consistent with sound correctional principles, fiscal responsibility and constitutional standards.**

# Virginia Department of Corrections

The Virginia Department of Corrections has established a number of initiatives to further the mission of Public Safety in the Commonwealth.

1. Virginia Adult Re-entry Initiative
2. Unit management
3. Learning Teams
4. Dialogue
5. Healing Environment
6. Director's Diversity Council
7. Evidence Based Practices
8. Effective Practices in Correctional Settings
9. Motivational Interviewing
10. Communication/Marketing Plan
11. High Security Inmate Step-Down Program
12. Re-entry Councils

# National Institute of Corrections (NIC) Support

- Future Search
- Executive Training
- Leadership Training
  - Superintendents, Wardens, Chiefs
  - Assistant Wardens, Deputy Chiefs
- Strategic Planning
- Urban Institute

***The Department has received national recognition for its initiatives which NIC would like to replicate across the country***

# Future Search

- Future search is a unique planning method used world-wide by hundreds of communities and organizations. The method enables large diverse groups to:
  - Validate a common vision
  - Take responsibility for action
  - Develop commitment to implementation.

# VADOC Future Search Conference

- During the year 2011, a “Future Search” conference was conducted with a variety of partners and stakeholders of the VADOC.
- The ideas and solutions generated from the “Future Search” conference were utilized in the development of a performance based Strategic Plan.

# Healing Environment Defined

- Most new initiatives fail because organizations and stakeholders are not prepared to sustain changes. To prevent this VADOC is creating the Healing Environment.
- The Healing Environment is purposefully created by the way we work together and treat each other, encouraging all to use their initiative to make positive, progressive changes to improve lives. It is safe, respectful, and ethical – where people are both supported and challenged to be accountable for their actions.

# Dialogue Initiative

Talking Together, Thinking Together, Learning Together

Finding Common Ground

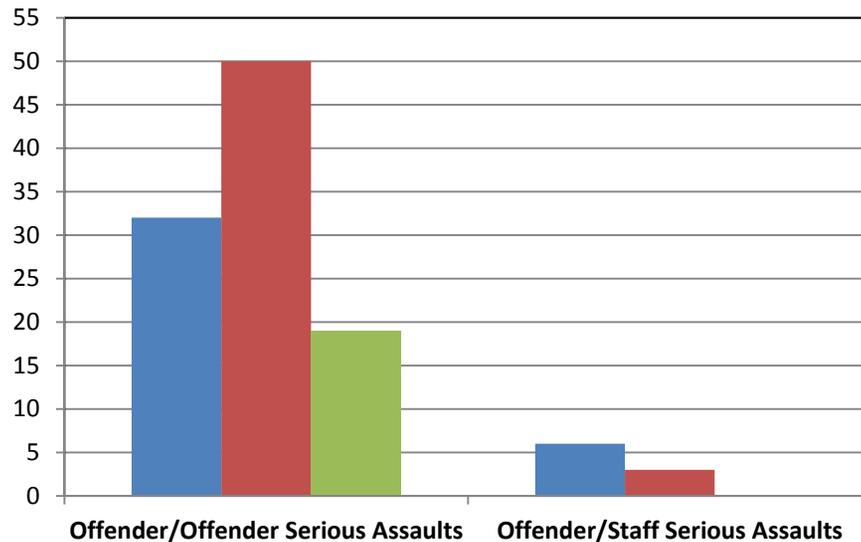
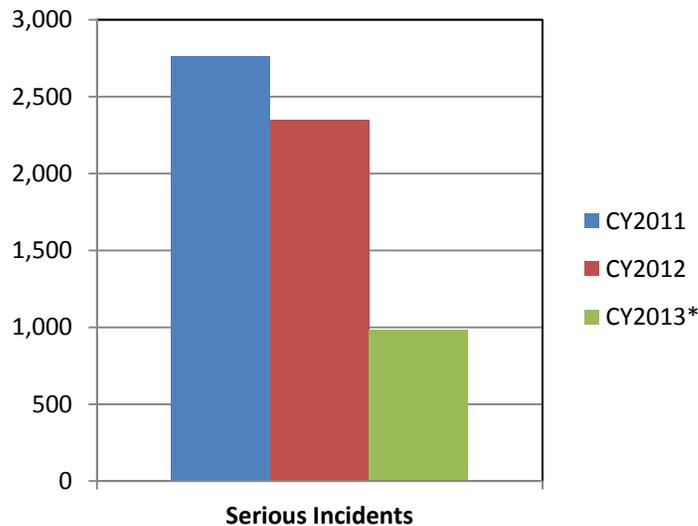
Creating New Meaning Together

*Reflects the science of effective management  
of organizations where all voices are heard*

# Safety and Security

# Serious Incidents

Incident Reporting	CY 2011	CY 2012	CY2013*
Total Incidents	2,760	2,350	982
Serious Assaults – Offender/Offender	32	50	19
Serious Assaults – Offender/Staff**	6	3	0
Gang Related Incidents (all)	33	26	11
Walk Away	0	2	1
Custody Escapes	0	0	0



\*Data as of July 31, 2013; data includes only facility incident reports that have been approved

\*\*Includes VADOC Employees, Contractors, Volunteers and Visitors

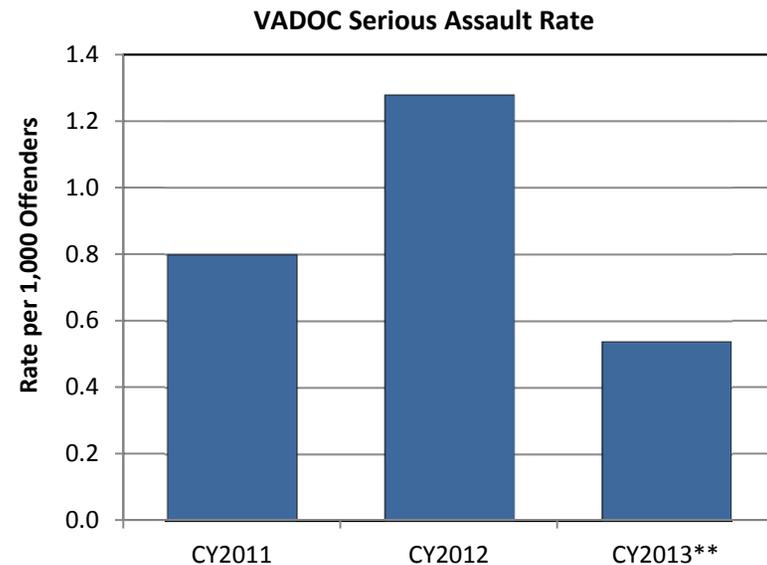
Note: In 2011, VADOC changed the definition of Serious Assault from "an assault where there was an intent to harm, serious injury and requires medical transport to a local hospital for medical care" to the Association for State Correctional Administrators (ASCA) definition which allows for national comparisons.

SOURCE: Commonwealth Public Safety STAT, September 2013

# Serious Assaults

- The national rate of aggravated assault as reported by the FBI in the “*Crime in the USA 2010*” report is 252.3 per 100,000 citizens and the same report provides a rate of 119.1 as the assault rate for the State of Virginia\*
- For FY2010-2011, in a comparison of 14 Southern states, Virginia had the lowest rate of assaults on inmates at 0.65 per 1,000 offenders; Kentucky rated at 0.8 per 1,000 offenders and Louisiana rated at 1.1 per 1,000

	CY2011	CY2012	CY2013**
Number of Serious Assaults	32	50	19
Rate per 1,000 offenders***	0.80	1.28	0.54
Percent of Total Incidents	1.4%	2.3%	1.9%



• <http://www.fbi.gov/about-us/cjis/ucr/crime-in-the-u.s/2010/crime-in-the-u.s./violent-crime/aggravatedassaultmain>

\*\*Data through July 31, 2013

\*\*\* Rate has been re-calculated to take into account offenders who were in a VADOC Facility at some point in time during a calendar year rather than using an End of Year snapshot  
 Note: In 2011, VADOC changed the definition of Serious Assault from “an assault where there was an intent to harm, serious injury and requires medical transport to a local hospital for medical care” to the Association for State Correctional Administrators (ASCA) definition which allows for national comparisons.

SOURCE: Commonwealth Public Safety STAT, September 2013

# Confirmed Gang Members<sup>1</sup>

- Identification and Confirmation of Gang members has increased
- VADOC has dedicated more skilled staff
- More gang training has been provided (staff are better informed)
- Law Enforcement is more actively monitoring gang activity and pursuing prosecution
- New Gang Management Strategies Plan developed and approved in January 2012

Location Type <sup>2</sup>	2010		2011		2012		2013	
DOC Facility <sup>3</sup>	4,787	53%	4,893	47%	5,257	47%	5,481	44%
Local/Regional Jail	361	4%	516	5%	624	6%	597	5%
P&P District	1,974	22%	2,765	26%	3,263	29%	3,625	29%
Detention/Diversion Center	13	<1%	23	<1%	20	<1%	15	<1%
Other Location <sup>4</sup>	29	<1%	23	<1%	81	<1%	138	1%
Inactive <sup>5</sup>	1,926	21%	2,241	21%	2,060	18%	2,613	21%
<b>Total Gang Members</b>	<b>9,090</b>		<b>10,461</b>		<b>11,305</b>		<b>12,469</b>	

<sup>1</sup> Gang members as reported by VADOC Computer Technology Services Unit (CTSU) on January 5, 2011 for CY2010 , December 14, 2011 for CY2011, September 20, 2012 for CY2012 and July 31, 2013 for CY2013

<sup>2</sup> Location of an offender on the date indicated

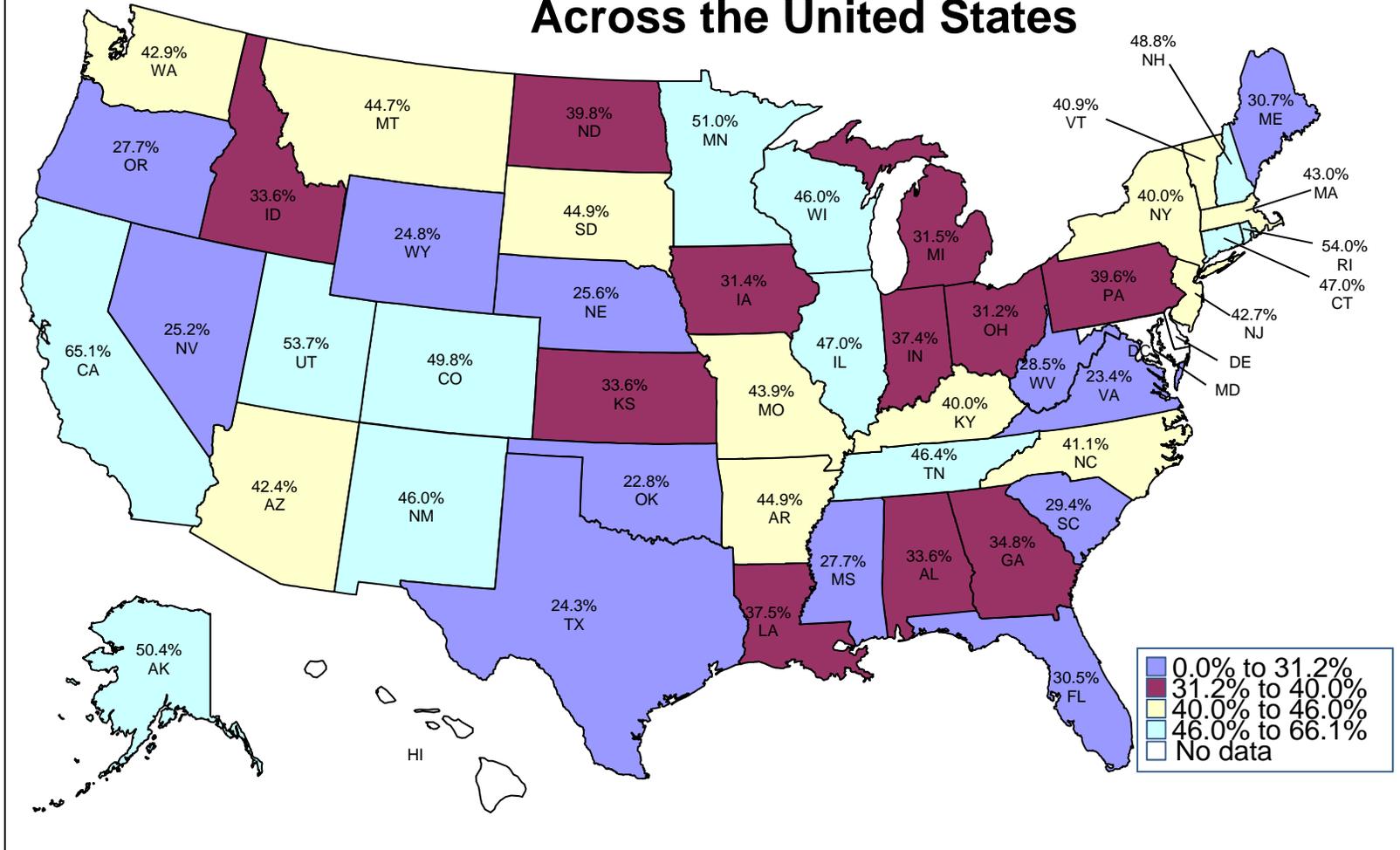
<sup>3</sup> Includes Institutional Hospitals

<sup>4</sup> Includes Courts, Federal Prisons, Federal Detention Agencies, Fugitive Unit, Detainer Unit

<sup>5</sup> Location code in the VirginiaCORIS Transfer Table that is not indicative of active incarceration or supervision (i.e. state to which an offender was released after incarceration/supervision or location code not reported)

SOURCE: Commonwealth Public Safety STAT, September 2013

## Three-Year Re-incarceration Rates\* Across the United States



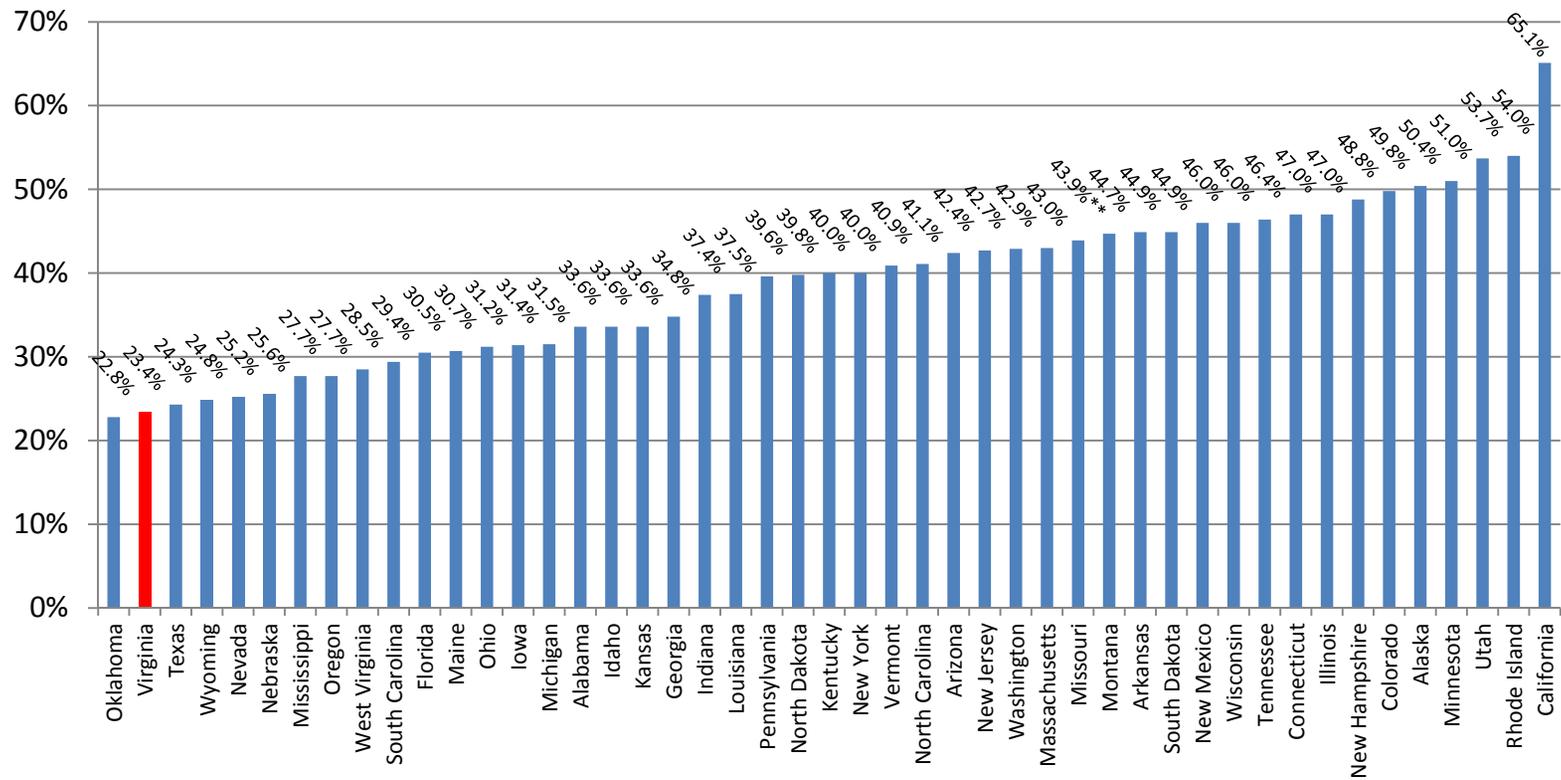
<sup>1</sup> Missouri's recidivism rate excludes the release of parole violators who have previously been returned to prison for a violation of supervision within the commitment.

<sup>2</sup> Hawaii's recidivism rate is unknown.

<sup>3</sup> Neither Maryland nor Delaware calculate their respective re-incarceration rates.

NOTE: Virginia's re-incarceration is for the FY2008 SR Release cohort as reported in February 2013; re-incarceration rates do not represent released offenders from one particular year, but from the most recent year for which that state calculated its three-year re-incarceration rate

# Three-Year Re-Incarceration Rates: A State Comparison\*



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# Operational Issues

Employee Turnover

DOC Reductions

River North Opening

Reduced Crowding

# Corrections Officer Turnover

- Last Four Years

FY 10 – 12.62%	State Turnover -	11.63%
FY 11 – 16.14%		11.86%
FY 12 – 15.57%		11.27%
FY 13 – 16.61%		11.49%
- 25% of Corrections Officers have been employed less than 2 years; 50% less than 6 years
- Salary is an issue for the recruitment and retention of Corrections Officers
- Correctional Officer starting salary = \$28,035

# Probation and Parole Officer Turnover

- Last four years

FY 10 – 8.94%	State Turnover - 11.63%
FY 11 – 9.42%	11.86%
FY 12 – 7.54%	11.27%
FY13 – 10.10%	11.49%
- 25% of P&P Officers have been employed less than 1 year; 50% less than 5 years
- Salary is an issue for the recruitment and retention of P&P Officers
- P&P Officer starting salary = \$34,961

# Facility Closings – Position Reductions and Layoffs

- FY 09 – 6 Facilities – 524 Positions – 13 Layoffs
  - State Responsible Population 38,266
- FY 10 – 2 Facilities – 449.5 Positions – 22 Layoffs
  - State Responsible Population 37,776
- FY 11 – 1 Facility – 170.5 Positions – 1 Layoff
  - State Responsible Population 37,367
- FY 12 – 1 Facility – 302 Positions – 4 Layoffs
  - State Responsible Population 37,159
- Total – 10 Facilities – 1,446 Positions – 40 Layoffs
  
- Current Offender Population is 124% of Design Capacity

# Opening of River North Correctional Facility

- Total Position Levels Appropriated: 331
- Upcoming events:
  - September 25, 2013: Ribbon Cutting
  - October 1, 2013: Open House to public
  - Week of October 7, 2013: Receipt of initial offenders

# Reducing Overcrowding / Double Bunking

## Impact of River North Opening

River North Correctional Center  
Grayson County  
Open Date: October 2013  
Capacity: 1000 Beds



Draw down state responsible inmates from local jails: 500 Inmates  
Reduce DOC overcrowding at security level 2 Institutions: 500 Inmates

Percent overcrowding at security level 2 Institutions decreases from  
144% to 138% of design capacity.

# Reducing Overcrowding/Double Bunking

## Impact of River North Opening

Security Level	Percent Of Design Capacity
1	132%
2	138% (down from 144%)
3	128%
4	103% (down from 118%)
5	91%
Special Use	148%
Male Total	125%
Female Total*	114%
System Total	124%

\*Female SR Population increased 11% from FY2004 to FY2013; from May 2012 to May 2013, the Female SR Population increased by 153, 5.4%

# Concerns

## Budget & Staffing

# Budget Impact on Security Resources

- DOC's annual budget (not counting inadequate resources for Education) begins FY14 with a shortfall of approx. **\$32.5M** (equivalent to approximately 650 Correctional Officer positions). This includes an "Administrative Efficiency" requirement (Chapter 806, paragraph G, item 471) likely to be \$2.6M which is an item the Agency is unable to absorb.
  - Among the items making up the gap are information technology, utilities, gasoline, P&P District office leases, and insurances.
  - The cost of underfunded leases and information technology is funded in the Department's budget requiring a vacancy rate of 3.3%.
  - In addition to this vacancy rate, individual facilities must generate additional vacancies to absorb underfunded costs for utilities and gasoline.
- While the application of a vacancy rate to meet the shortfall is applied against all functions (excluding medical), Security positions are most adversely impacted because they comprise the majority of DOC's workforce and account for a majority of the turnover which occurs.

# Inmate Pay Funding

- In FY2012, approximately \$8.7M was allocated for Inmate Pay, approximately \$9.8M was expended
  - Shortfall of approximately \$1.1 million had to be resolved
- Additional Inmate Pay funding will:
  - create additional work opportunities
  - increase safety/security by keeping inmates effectively engaged
  - promote successful reentry by developing work skills

# Probation Officer Caseload Drivers

- **GPS on-leg:**

June 2012: 309

June 2013: 436 (*Represents increase of 29% from 2012*)

- **Conditional Release cases:** (Sexually Violent Predators released to community supervision)

June 2012: 78 conditional release cases

June 2013: 96 conditional release cases (*Represents increase of 23% from 2012*)

- **Average Caseload:**

June 2013: 75 cases per Officer

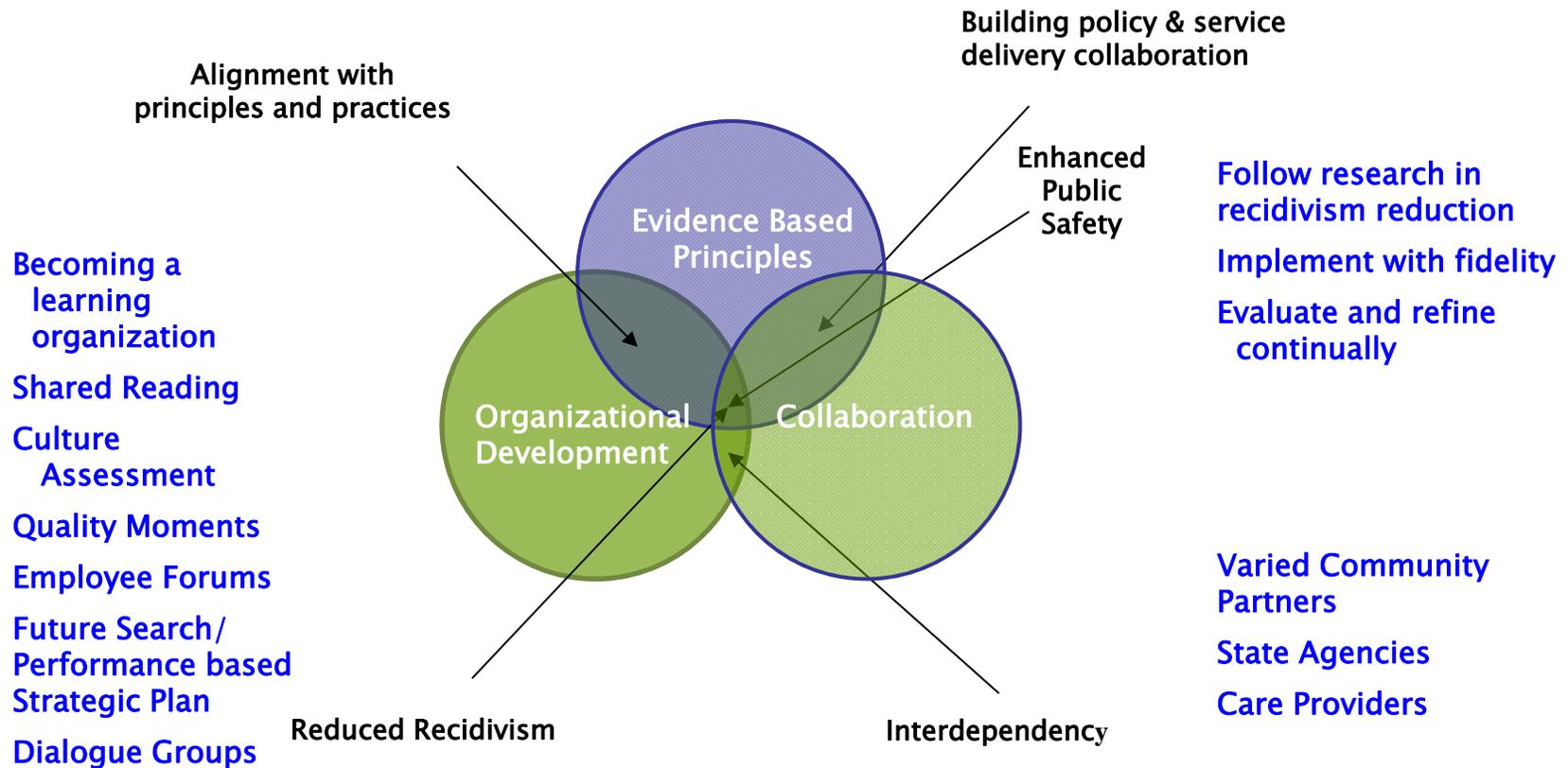
Minimum requirement **18 FTE** for supervision of sex offenders

# Re-entry and Evidence Based Practices

# Re-entry Preparation = Public Safety

- Re-entry is not optional
  - *Over 90% of state responsible offenders complete their sentences and return to local communities*
- Incapacitation is a short term solution, effective only while the control is in place
- Lasting public safety is created when offenders are prepared to re-enter the legitimate economy and lead crime free lives after release
- Re-entry is smart on crime, not soft on crime

# Integrated Re-entry Model



# Re-entry Gaps in 2010

- Major gaps in 2010 that have been addressed:
  - Few research based practices
  - Stovepipe operating divisions; staff not working effectively across divisions
  - Lack of consistent programming tracks
  - Lack of automation of assessment tools and case plans
  - Greater focus needed for release planning
  - Greater focus and resources needed for recidivism reduction
  - More interagency collaborations needed

# Organizational Development

Goal – to shift the organizational culture from primary focus on risk control to include risk and recidivism reduction

- Practices based on national experience and success in lowering recidivism rates
  - strongly articulating new mission and vision for following science to create public safety
- Agency reorganization created operational “oneness”
  - combined separate operating divisions into one under Chief of Corrections Operations
  - programming and re-entry under one point of contact
  - DCE combined with DOC
- Accountability for reentry placed in unit head work profiles

# Re-entry Accomplishments

- Virginia Adult Re-entry Initiative (VARI) strategic plan was developed to fill gaps and create organizational change
- Organizational readiness created through operational “oneness”
  - Combined operating divisions
  - Programming and re-entry combined
  - DCE combined with DOC

# Re-entry Accomplishments

- Evidence Based Practices (EBP) is the science of corrections in reducing recidivism
  - Fundamentals implemented in all operating units
    - *Culture and research based programmatic changes that create lasting public safety*
  - In Probation and Parole Districts a strategic plan is being followed to build fidelity according to science
    - *Training of all Chiefs/Deputies followed by creating an organizational development plan in each Unit*
    - *Probation Officers trained in cognitive intervention strategies demonstrated to be effective in offender change (EPICS II)*
  - Prison EBP advanced implementation on-going

# Re-entry Accomplishments

- Administrative Segregation Step Down Program implementation at Red Onion and Wallens Ridge State Prisons
  - Provides a secure graduated pathway through programming for many offenders to work their way to a general population setting
  - Changed culture: staff training, Treatment Officers, added a school building, re-entry program
  - Significant outcomes
    - *Reduced long term segregation by 68%*
    - *Increased safety and lowered incidents by 65%*
    - *Decreased offender grievances by 79%*
    - *Increased program from 0 to 439 participants*



## Administrative Segregation Step Down Program

Therapeutic Modules allow out of cell secure group programming

Security Chairs allow a step down process before unrestrained group setting





- Virginia's Administrative Segregation Step Down Program recognized as a national model
- In July 2013 DOC was awarded the Southern Legislative Conference STAR award for Transforming Government

# Re-entry Accomplishments

- Implemented a system of research based programs
  - Thinking for a Change, a national evidence based program
    - *in all prisons*
    - *follow -up peer support groups in the community after release*
  - Intensive Re-entry Programs
    - *Medium security prisons*
    - *Cognitive community model*
    - *Thinking for a Change; Ready to Work*
    - *Sr. Re-entry Probation Officers bridge gaps*
  - Higher security re-entry pod programs
  - Security Level 1 “Road to Success”



Cognitive Community Greenville Correctional Center

# Re-entry Accomplishments

- Work Program Certifications fully utilize resources with DOC foreman delivering training during prison work supervision

- ServSafe
- Wastewater Treatment Plant
- Agribusiness Pesticide Training
- Agribusiness beef cattle vet certificate
- Agribusiness dairy plant certification
- Commercial Drivers License
- OSHA certification



# Re-entry Accomplishments

- Interagency collaborations developed

Department for Aging and Rehabilitative Services

Department of Behavioral Health and Developmental Services

Department of Criminal Justice Services

Department of Health

Department of Motor Vehicles

Department of Social Services

Department of Transportation

Department of Veterans Services

Virginia Employment Commission

U.S. Department of Veterans Affairs

U.S. Social Security Administration

# Re-entry Accomplishments

- Program Collaborations
  - Campus within Walls
    - *Southside VA Community College; Sunshine Lady Foundation*
  - Entrepreneurial Program
    - *UVA's Darden School of Business*
  - Veterans Dormitory Programs
    - *Local volunteer groups, Wounded Warrior Program*
  - HVAC program
    - *Public/private partnership Johnson Controls*



## Domesticated animal care and training certification

*Fetch a Cure Pen Pals*

*Thoroughbred Retirement Foundation*



# Re-entry Resources

- \$3.2 million and 45 FTE
  - *community probation officers*
  - *Re-entry programming in prisons*
- \$345,000 for a third Virginia Serious and Violent Offender Re-entry federal model program
- \$407,000 to pilot work release from VADOC female facility
- 2 federal Second Chance grants
  - *Women and family re-entry SW VA*
  - *Technology offender educational re-entry grant*
- \$600,000 federal Residential Substance Abuse Treatment grant

# Re-entry Accomplishments

- Since 2010 there are improvements in key measures:

Risk and Needs Assessment  95.4 %

Re-entry Case Plans  93.9 %

Homeless discharges  73%

Recidivism  2010 27.3%  
2013 23.4 %

(3 year recommitment rate/year reported)

# Re-entry Next Steps

- Organizational Development
  - Continue to build fidelity in using evidence based practices, followed by evaluation
  - Develop strategic plan to address gaps
  - Engage community stakeholders
  
- Resource Needs
  - Sex Offender Probation Officers – high need
  - Program resources – Thinking for a Change, intensive re-entry programs

# DOC Challenges

# The Challenges

To reach our goals, we must be positioned to address our ongoing challenges:

- The need to consistently administer a high level of safety and security.
- Manage shifting challenges with gang members.
- The Department's geographic diversity.

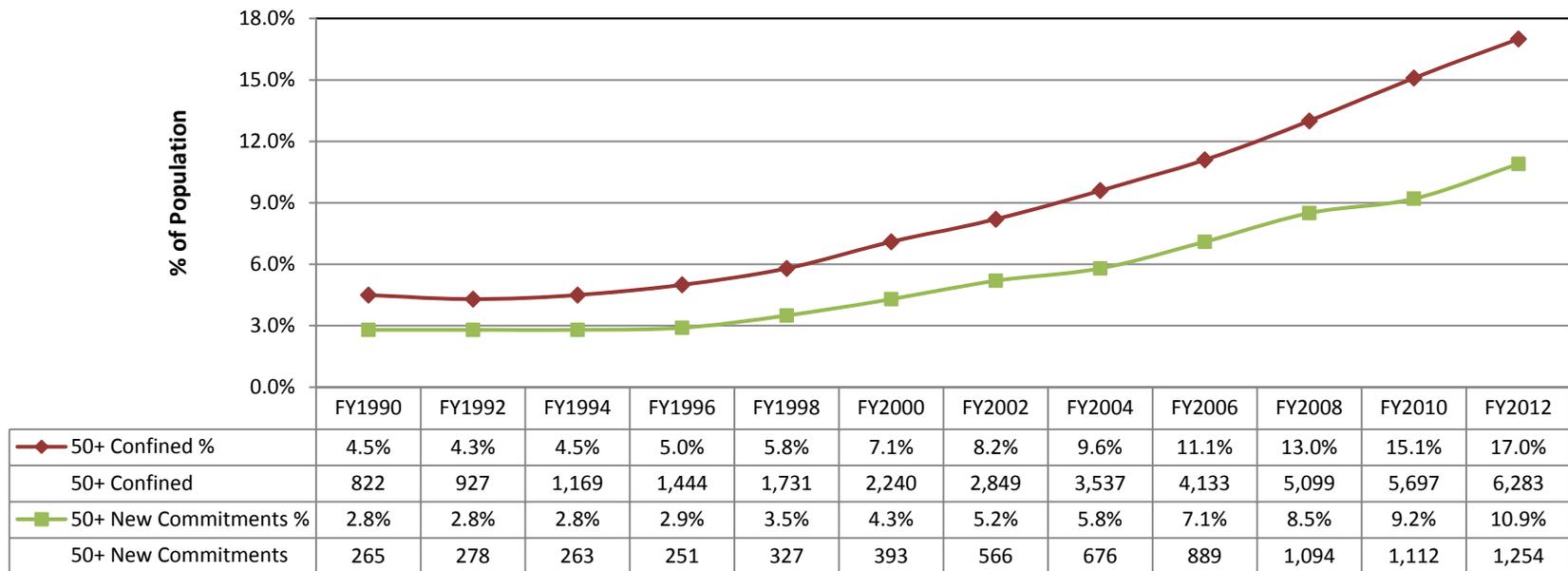
# The Challenges

- Building on our current success by continuing our efforts to become a learning organization and focus on cultural transformation.
- Continue to build alliances with external stakeholders.
- The need to shift organizational culture from primary focus on risk control to include risk and recidivism reduction.
- Continue our focus on Evidenced Based Practices and process improvements in a challenging fiscal environment.

# Managing Geriatric Inmates

# State Responsible Inmates Age 50+ FY1990-FY2012

- SR Confined Inmates Age 50+ have increased over seven-fold from 822 to 6,283 since FY1990
- SR New Court Commitments Age 50+ have increased more than four-fold from 265 to 1,254 since FY1990
- Nearly 11% of the SR New Court Commitments and 17% of the SR Confined Population are Age 50+



SOURCE: VADOC Statistical Analysis & Forecast Unit, September 4, 2013

# Costs of Managing Geriatric Inmates

- **Facilities:** The FY2012 per capita expense at Deerfield was \$31,747 while most other Medium Security Dormitories (MSD) average \$19,277
- **Medical:**
  - Medical expenditures have increased from 13% to 15% of the DOC’s Operating expenditures between FY2007 and FY2012
  - Most medical expenditure data is not available by age

	Medical Cost per Capita	% of Total DOC Operating Expenditures
FY2007	\$4,059	12.9%
FY2008	\$4,393	12.9%
FY2009	\$4,322	13.2%
FY2010	\$4,827	14.9%
FY2011	\$4,870	14.7%
FY2012	\$5,195	15.0%

SOURCE: VADOC FY2012 Management Information Summary Report, pages 17 and 34  
<http://www.vadoc.virginia.gov/about/facts/managementInformationSummaries/2012-mis-summary.pdf>

# FY2012 Off-Site Medical Expenditures by Age Group\*

Age Group	Total Combined Expense**	Percent of Total Expense	Percent of Total Offenders
Under 30	\$5,228,053	10%	28%
30-34	\$5,319,656	10%	17%
35-39	\$3,671,567	7%	13%
40-44	\$6,027,951	11%	13%
45-49	\$8,516,895	16%	12%
<b>Total Under 50</b>	<b>\$28,764,122</b>	<b>54%</b>	<b>83%</b>
50-54	\$8,726,057	16%	8%
55-59	\$7,498,438	14%	5%
60-64	\$4,170,563	8%	2%
65+	\$4,302,312	8%	2%
<b>Total 50 and Older</b>	<b>\$24,697,370</b>	<b>46%</b>	<b>17%</b>
<b>Total</b>	<b>\$53,461,492</b>		

- The off-site portion of medical expenses is available by age group through the medical provider (Anthem Insurance)
- Off-site medical expenses would be greatly impacted by an aging population and would be reflective of the increased costs associated with an older group
- Off-site costs are almost **23%** of the total medical expenditures and are shown to reflect the trend, NOT the total costs
- The total combined expense of off-site medical care for offenders under the age of 50 is \$28,764,122
- The total combined expense of off-site medical care for offenders age 50 and older is \$24,697,370
- Offenders age 60 and older (4% of total offenders) account for 16% of off-site medical expense

\*Data is for May 2011 – April 2012

\*\*These costs are for off-site expenses only, excluding the costs of drugs and dental care

SOURCE: VADOC Budget Office, September 4, 2013