

Joint Legislative Audit and Review Commission

The Virginia General Assembly

**STAFFING
OF VIRGINIA'S
ADULT PRISONS
AND FIELD UNITS**

A report in a series dealing with corrections issues
in Virginia

**REPORT OF THE
JOINT LEGISLATIVE
AUDIT AND REVIEW COMMISSION ON**

Staffing of Virginia's Adult Prisons and Field Units

**TO THE GOVERNOR AND
THE GENERAL ASSEMBLY OF VIRGINIA**



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PREFACE

The 1983-85 Appropriations Acts directed the Joint Legislative Audit and Review Commission to examine staff utilization in the Department of Corrections. Previous reports examined staffing levels in the central and regional offices and in the major institutions.

This report addresses nonsecurity staffing in the 15 major institutions. It also assesses nonsecurity and security staffing in the 26 field units.

Overall, JLARC staff found the level of nonsecurity personnel in the major institutions to be adequate. There are, however, three functional areas that appear to be understaffed. The report recommends a combined increase of 31 additional nonsecurity positions for major institutions.

The level of staffing in field units was found to be insufficient to provide adequate programs and security. The report recommends an increase of 51 nonsecurity positions and 26 security positions in the field units. The proposed increases would add food service supervisors, counselors, and corrections officers to improve night shift staffing.

The lack of a system to monitor overtime use, reported in earlier studies, still exists. The department spent \$5.9 million on overtime in FY 1985, up from \$2.8 million in FY 1984. The report urges the department to develop a system to control overtime use. Another problem cited in earlier reports was the misclassification of staff. Security staff who are assigned to nonsecurity functions generally draw more pay than properly assigned nonsecurity personnel. Misclassification of security staff also inflates staff-to-inmate ratios.

Several staffing efficiencies could be achieved without a reduction in services. For example, expanded use of inmates in some work areas could substitute for or supplement salaried employees.

On behalf of the Commission staff, I wish to acknowledge the cooperation and assistance of central office staff and field personnel who provided information for this report.



Philip A. Leone
Director

August 18, 1986

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OF VIRGINIA'S
ADULT PRISONS
AND FIELD UNITS**

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**Joint Legislative
Audit and Review
Commission**

Nonsecurity staffing in Virginia's prisons is generally adequate. There are, however, pockets of over- and under-staffing which need to be addressed by the Department of Corrections. Further, there are shortages of both security and nonsecurity staffing in some adult field units. A total of 108 new positions are recommended over FY 1985 levels: 31 in major institutions and 77 in field units.

This report focuses principally on nonsecurity staffing in the Department of Correction's adult institutions. Nonsecurity staff provide the support services needed to maintain and operate the institutions, as well as provide services and programs to inmates. The report also addresses both security and nonsecurity staffing in DOC's 26 field units.

In the 1980's, the efficiency of staffing Virginia's prisons became an issue of

increasing concern. Several studies indicated that Virginia's institutions had higher staffing levels than other states' systems. As a result, the General Assembly adopted provisions in the Appropriations Act directing a study of DOC's staffing and operations. Since 1984, JLARC has produced a series of reports on these subjects.

Within the last decade, Virginia's correctional system has experienced tremendous growth in its adult inmate population. The inmate population increased 70 percent, from 6,029 inmates in 1972 to 10,254 by June 1985. In June 1986 the inmate population was 10,902. By June 1990 DOC estimates the inmate population will be 12,334. DOC has responded to the inmate increases by opening six new correctional institutions since 1980. These new facilities have resulted in a corresponding increase in the level of DOC staffing.

A JLARC REPORT SUMMARY

Systemwide staffing increases of security and nonsecurity positions follow similar patterns. Over a six-year period, FY 1980 - FY 1985, nonsecurity positions increased by 32.2 percent, while the security positions increased at a slightly higher rate of 33.7 percent. In FY 1985, however, while established security and nonsecurity positions were both reduced, nonsecurity positions received proportionately larger cuts, especially in the treatment program area.

In FY 1985, DOC was authorized 8,160 positions. Of that total, 5,324 were assigned to the 15 major institutions, two reception centers, and 26 field units. Of these, 3,942.5 were security positions and 1,381.5 were nonsecurity positions.

DOC's system of 15 major institutions and two reception and classification centers provide housing for most of the State's adult felons. Unlike many other states, Virginia's major institutions are relatively small. A typical

institution houses from 300-600 inmates. The largest major institution in the system is the State Penitentiary, which houses over 850 inmates and employs over 500 personnel.

Virginia's 26 field units housed an average daily population of 2,544 prisoners during FY 1985, an average of 98 per field unit. The number of security personnel assigned to a field unit averages about 25 positions, and the number of nonsecurity staff averages about six positions. As a result of low nonsecurity staffing, rehabilitative and educational programs in field units are limited.

DOC's major institutions and field units had 1,203.5 filled nonsecurity positions during FY 1985. Of that total, 1,057 (88 percent) were assigned to the major institutions, and 146.5 (12 percent) were assigned to the field units. Nonsecurity staff comprise 26 percent of total staff assigned to the major institutions. In field units, 17 percent of total staff are nonsecurity positions.

JLARC staff used a number of methodologies to assess the adequacy of staffing in the institutions. These methods included interviews with staff at the major institutions and field units, a regression analysis on staffing variation, a review of workload standards, a comparison of staffing levels among facilities, a review of overtime usage, and a review of DOC documents on staffing.

The report also builds on some of the findings and research from other JLARC corrections studies, during which JLARC staff visited all DOC institutions, interviewed all wardens and top management officials, and collected extensive data on all institutions.

Nonsecurity Staffing Needs in DOC's Major Institutions (pp. 11-104)

Overall, the number of nonsecurity positions in major institutions seems generally adequate (Table A). However, three areas, treatment programs, maintenance, and support services were determined to be understaffed. DOC also has no systematic method for assessing the need for additional nonsecurity personnel. As a result, some variation in the levels of staff exists among institutions.

To determine specific institutional staffing needs, nonsecurity staff were divided into nine functional areas. Categorizing activities into separate functional areas provides a means for reviewing staffing along functional lines and for identifying variation among institutions. The nine functional areas defined in the analysis are also identified in Table A.

Table A		
RECOMMENDED NONSECURITY STAFFING CHANGES IN MAJOR INSTITUTIONS		
Functional Area	Adequate	Net Changes
Maintenance		+10
Food Services	✓	+ 1
Accounting	✓	0
Personnel	✓	+ 3
Medical Services	✓	- 2
Treatment Programs		+19
Administration	✓	+ 3
Support Services		+11
Clerical	✓	+ 2
Subtotal		+47
Less security staffing reclassification		-16
Net change recommended		+31

Source: JLARC staff analysis.

Maintenance. Maintaining the physical plant of Virginia's correctional institutions is a primary function of institutional personnel. Sixteen percent of institutions' nonsecurity staff are maintenance personnel, including plumbers, electricians, power plant operators, and other skilled and non-skilled personnel who maintain and operate institutional equipment.

The overall level of maintenance staffing at the major institutions was somewhat inadequate. Adjustments were recommended at individual institutions due to staffing variations and individual institutional needs. DOC should also supplement maintenance staff through expanded use of inmate labor.

Food Services. Food services is a primary institutional function that must be carried out three times per day, 365 days a year. During FY 1985, DOC's inmate population of 9,700 was served approximately eight million meals. Overall, DOC's major institutions are adequately staffed for this mission.

Special food services arrangements, such as the delivery of meals to inmates' cells, require additional staffing that would not otherwise be needed. Consequently, staffing efficiencies would be possible if one central dining area were used at Mecklenburg, Staunton, and VCCW and if food deliveries were reduced at the Penitentiary and Powhatan.

Accounting. The accounting function has been decentralized from DOC's central office to the major institutions. The institutions' accounting departments prepare their budgets and payrolls, monitor the execution of approved budgets, and project future budgetary needs. The accounting departments also maintain inmate and other accounts and reconcile their assets with State reports.

Overall, staffing levels in the accounting area appear to be appropriate. However, an additional accounting position is needed for VCCW, and one position at the Powhatan Complex should be dropped.

Personnel. Complete responsibility for all personnel transactions was originally borne by DOC's central personnel unit. This responsibility was partially decentralized to the major institutions beginning in 1981 with a pilot project at Southampton Correctional Center. Most of the major institutions now process their personnel transactions and maintain their employee files.

Staffing is generally adequate in the personnel area. However, an increase of one position each at Buckingham, Nottoway, and the Penitentiary is recommended.

Medical Services. Medical services account for 10 percent of all nonsecurity personnel. For analytic purposes, JLARC staff divided the medical services area into three

separate sub-areas: nurse services, physician services, and dental services.

Medical staffing levels in general were considered to be appropriate, although adjustments have been recommended for specific institutions. The analysis of physician services, however, suggests that contracted services (privatization) may be more cost effective than employing full-time or part-time physicians at the major institutions.

Many physicians and dentists are allowed to work fewer hours than they are paid for. This is contrary to State personnel policy which requires employees to work a 40-hour work week. DOC has allowed this practice because it is allegedly difficult to attract qualified physicians to work in prisons. The Department of Corrections should cease this practice and comply with State personnel policy.

Treatment Programs. Given the cuts in nonsecurity positions in 1984, recent growth in the inmate population, and the revision in DOC's mission statement, more emphasis needs to be focused on treatment personnel.

While all adult institutions have some form of treatment program, the types and levels of services they provide vary among facilities. The types of treatment services provided by DOC personnel can be organized into three categories: (1) a unified treatment program incorporating case management, counseling, and group activities; (2) psychological testing, evaluation, and therapy; and (3) recreational activities and programs.

Treatment staffing levels generally need to be increased. According to standards developed by the American Corrections Association, DOC's major institutions have fewer counselors than suggested. DOC should increase the number of counselors by 18 positions in eight institutions. In addition, DOC should:

- abolish lay counselor positions in three facilities;
- assess what portion of the inmate population has counseling and therapeutic needs; and

- establish six additional recreation positions in six institutions.

Administration. Major institutions, because of the number of employees, the size of their annual budgets, and the multiplicity of services they provide, have become complex administrative organizations. The warden, the key actor in the administrative framework of the institution, is assisted by several administrators whose responsibilities range from security administration to maintaining inmate records.

In general, the administrative function within the major institutions is appropriately staffed. Two assistant warden positions (one each for Deerfield and Marion) and two operations officer positions (for Powhatan and St. Brides) are the only recommended staffing additions. The human resources developer position at the Penitentiary should be abolished. These staffing recommendations would result in a net increase of three administrative positions for the major institutions.

Support Services. Most correctional institutions have personnel who are responsible for performing a variety of support duties. The four sub-functions included in the support functional area were: laundry services, commissary operation, warehouse receiving and storage, and switchboard operation. A total of 11 additional positions are recommended in the areas of laundry, warehouse receiving and storage, and switchboard coverage.

Clerical. Generally the major institutions were consistently staffed with clerks, although additional staff are recommended for three institutions: James River, Powhatan, and VCCW.

Systemwide Patterns and Issues (pp. 135-145)

Patterns of non-security staffing indicate that the number of staff in an institution are largely related to the size of the institution's inmate population and the classification of those inmates.

The review of the appropriateness of nonsecurity staff in DOC's major institutions revealed three issues common to all facilities: personnel misclassification, overtime utilization, and inmate labor.

Misclassification. Virginia's employee classification plan attempts to unify positions with similar duties and responsibilities into job classes. Misclassification occurs when an employee spends the majority of his/her time performing duties that are not included in the job description. Misclassification can result in inequitable compensation for work performed and, in the case of DOC, make the ratio of security staff to inmates appear higher than it actually is.

Misclassification of employees involved both nonsecurity personnel who performed duties of other nonsecurity classified positions, and security personnel who performed nonsecurity duties. A total of 12 misclassified nonsecurity positions and 73 security positions were identified in this report. Some of these misclassified positions should be reviewed for possible reclassification or other action. JLARC's 1985 report on security staffing identified 89 security staff being used for nonsecurity functions. For the most part, these practices continue. DOC should reclassify such positions appropriately.

Utilization of Overtime. Overtime, a common means of compensating staff for hours worked beyond regularly scheduled hours, is frequently used by corrections administrators to supplement staffing. DOC is one of a few State agencies given blanket approval to use overtime under State personnel policy. The intent of this policy is to provide DOC with adequate staffing during emergency situations, such as escapes or riots.

DOC policy now permits overtime use in emergencies and to fill essential security posts. DOC defines the personnel who are eligible for overtime pay, but these policies are inconsistently followed. In particular, there is limited review of the reasons for overtime use. No institution was able to provide JLARC staff

with documentation that indicated what emergencies existed on the days overtime was recorded. The department needs to more carefully define and monitor overtime use. Institutions should record in an auditable manner why overtime was used.

Inmate Labor. Twenty-five percent of the inmate population within the major institutions does not work. Of the inmates who do work, a significant number perform tasks that offer very little towards developing employment-related skills.

Efforts should be made to provide work to the significant number of inmates who are not engaged in productive work activities. Working inmates learn valuable skills, can often contribute to the operation of the institution, and can sometimes supplement or substitute for regular staff.

Field Units (pp. 105-134)

Staffing in Virginia's field units is generally insufficient to provide adequate security and programs. Additional personnel are needed in both the nonsecurity and security areas. (This report addresses security staffing in field units because JLARC staff's earlier report on security staffing focused only on major institutions.)

Most of Virginia's 26 field units are located in rural areas of the State. During FY 1985, the number of inmates housed in the 26 field units was 2,544, approximately 25 percent of the adult inmate population in Virginia's prison system. During FY 1985, the ratio of inmates to security staff at the major institutions averaged 2.51 to 1, compared with an average of 3.58 to 1 at the field units. The ratio of inmates to nonsecurity staff at the major institutions averaged 6.51 to 1, while the ratio at the field units was 17.55 to 1. During early FY 1986, field units received an additional 340 inmates as part of the Governor's initiative to reduce overcrowding in local jails.

In the past, most inmates in the field units were within two or three years of parole. However, according to DOC and field unit superintendents, many facilities are now receiving more inmates with longer sentences and convictions for violent crimes. Because of

inmates' proximity to parole, field units represent the State's last opportunity to provide needed training, education, or rehabilitation.

Field units are considered to be less restrictive environments than the major institutions, and inmates assigned to field units are assumed to pose less of a security risk. Many inmates participate in farm or road work outside the walls. Nevertheless, over the years more escapes have involved inmates assigned to field units than inmates at major institutions. During FY 1985 field units accounted for 30 of 54 escapes.

Additional staffing is needed in field units to provide sufficient security for the increased inmate population and to provide adequate services for prisoners nearing release. A total of 77 additional FTEs are recommended in both nonsecurity and security areas.

Nonsecurity Staffing. For non-security functions, JLARC staff recommend 48 additional full-time and six additional half-time positions. These positions include 20 additional full-time food service supervisor positions for the 20 field units that currently use corrections officers for food services. This action would free the correctional officers for security work. Six additional half-time nurse positions are recommended at six facilities, to give each field unit a full-time nurse. An additional 28 full-time counseling positions are recommended at 25 field units. These additional positions would ease pre-existing case management pressures and bring counseling caseloads in the field units closer to caseload standards and to the system average for the major institutions. Currently the number of inmates per counselor in the field units is 93:1, compared to 58:1 in the major institutions.

Security Staffing. Twenty-six additional corrections officers positions are recommended for nine field units. These positions are warranted based on current population levels, security staff-to-inmate ratios, and the need for more officers during the night shift. A summary of recommended field unit staffing changes is presented in Table B.

Table B

FIELD UNIT STAFFING NEEDS

	Net Increases Recommended
Nonsecurity	
Food Service Supervisors	20
Counselors	28
Nurses	3*
Subtotal (Nonsecurity)	51
Security	
Correctional Officers	26
Total for Field Units	77

*Three full time equivalent (FTE) positions are needed to bring six part-time positions up to six full-time positions.

Source: JLARC staff analysis.

Conclusion

While DOC's nonsecurity staffing is generally adequate, modifications are recommended to promote economy, better services, greater consistency, and improved security. Specific recommendations are included in the full text of the report.

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I. INTRODUCTION

In recent years the operations of the Department of Corrections (DOC) have been characterized by growth, turmoil, and scrutiny. The growth of the system can be seen in the opening of six new institutions since 1980. Departmental turmoil is illustrated by the turnover of DOC directors -- five have served in the past five years.

As a consequence of these and other factors, the General Assembly has also demanded a higher level of scrutiny. For example, in response to concern about growing staffing levels in the system, the 1983 session of the General Assembly directed JLARC to study the department's manpower utilization. Following the 1984 death-row escapes at Mecklenburg, JLARC directed its staff to focus on security procedures and staffing at major institutions. In all, JLARC staff have completed or initiated nine studies of correctional issues. The following studies have already been submitted:

- Central and Regional Office Staffing in the Department of Corrections (1984)
- Virginia Correctional System: Population Forecasting and Capacity (1985)
- The Community Diversion Incentive Program of the Virginia Department of Corrections (1985)
- Security Staffing and Practices at Virginia Prisons (1985)
- Staff and Facility Utilization by the Department of Correctional Education (1986)

Other reports in preparation deal with jail capacity and population forecasting, capital outlay and prison design, and a summary report.

This report focuses on the adequacy of nonsecurity staffing in the major adult institutions. Nonsecurity staff provide support services for maintaining and operating the institutions, as well as providing services and treatment programs to inmates. This report also addresses both nonsecurity and security staffing in the field units (security staffing in major adult institutions was covered in a previous JLARC report), thereby completing the legislature's mandate to study DOC staffing.

MISSION AS A DETERMINANT OF STAFFING

Two overall objectives comprise DOC's mission: (1) to ensure that persons convicted of State crimes are removed from society and housed in secure confinement; and (2) to provide rehabilitative programs for inmates to

help prepare them to re-enter society. In general, higher priority has been placed on secure confinement than rehabilitation programs. Within adult facilities, security staff ensure the confinement of inmates, and nonsecurity staff provide services and support.

While DOC has developed a number of treatment programs over the years, the Board of Corrections recently revised DOC's mission to emphasize the philosophy that inmates should be assisted in overcoming the problems they had before entering prison. DOC's mission now states, "the mission of the Department of Corrections is...to protect the people of the Commonwealth from crime by offering programs to help offenders lead crime-free lives after release....". This statement reflects an effort to focus on treatment and rehabilitative programs, which might be expected to affect nonsecurity staffing levels.

RECENT FACTORS AFFECTING STAFFING

Staffing issues must be assessed within the context of the whole corrections environment. Within the last decade, Virginia's correctional system has experienced tremendous growth in its adult inmate population. The inmate population increased 70 percent, from 6,029 inmates in 1972 to 10,254 by June 1985. In all state and federal prisons, inmate populations increased from 195,000 in 1973 to 420,041 by June 1985, an increase of 115 percent.

DOC has responded to the inmate increases by opening six new correctional institutions since 1980. This expansion in the number of prisons has brought with it overall increases in the level of staff needed to maintain order and to provide services to the prison population.

During that period, staffing levels grew 33 percent compared with an increase in the prison population of 24 percent (Table 1). However, this growth in staffing levels occurred primarily in the early 1980's, when the State opened five new correctional institutions and added over 1,300 positions. The growth rate in staffing has since stabilized, and declined slightly between fiscal years 1984 and 1985. The prison population, on the other hand, has continued to grow.

Increases in security and nonsecurity staffing follow similar patterns. Over a six-year period, FY 1980 - FY 1985, nonsecurity positions increased by 32.2 percent, while security positions increased at a slightly higher rate of 33.7 percent (Table 2). In 1985, however, the number of established security and nonsecurity positions was reduced, with the more substantial reductions in nonsecurity positions.

During the 1984 session of the General Assembly, DOC submitted and the legislature approved cuts of 201 positions throughout the department. These reductions included 93 nonsecurity and 37 security positions at the adult

Table 1

CHANGES IN STAFFING LEVELS AND INMATE POPULATIONS
WITHIN MAJOR INSTITUTIONS AND FIELD UNITS
FISCAL YEARS 1981 - 1985

<u>Fiscal Year</u>	<u>Staffing Levels</u>	<u>Change</u>	<u>Inmate Populations</u>	<u>Change</u>
1980	3,993	--	8,270	--
1981	4,393	+10.0%	8,363	+ 1.1
1982	4,926	+12.1%	8,788	+ 5.1%
1983	5,306	+ 7.7%	9,463	+ 7.7%
1984	5,413	+ 2.0%	9,783	+ 3.4%
1985	5,324	- 1.6%	10,254	+ 4.8%
SIX YEAR CHANGE		+33.3%		+24.0%

Source: DOC employee relations data.

Table 2

CHANGES IN NUMBER OF ESTABLISHED POSITIONS
WITHIN MAJOR INSTITUTIONS AND FIELD UNITS
FISCAL YEARS 1981 - 1985

<u>Fiscal Year</u>	<u>Security Positions</u>	<u>Change</u>	<u>Nonsecurity Positions</u>	<u>Change</u>
1980	2,948	--	1,045	--
1981	3,222	+ 9.3%	1,171	+12.1
1982	3,614	+12.2%	1,312	+12.0%
1983	3,876	+ 7.2%	1,430	+ 9.0%
1984	3,974	+ 2.5%	1,439	+ 0.6%
1985	3,943	- 0.8%	1,382	- 4.0%
SIX YEAR CHANGE		+33.7%		+32.2%

Source: DOC employee relations data.

institutions. Positions in the treatment functional area, which includes rehabilitation counselors, social workers, and other treatment-oriented staff, received the most reductions (51). Field units did not receive any reductions in staff as a result of this staffing action.

The escape of six inmates from Mecklenburg's death row in May 1984 and escapes from other adult institutions focused public attention on DOC's security procedures. Subsequently, the State sought to increase security and provide for more effective administration of the correctional system.

In early 1985, another issue emerged that would have an effect on DOC operations. Crowding in local jails became severe, and sheriffs demanded that State-responsibility prisoners housed in local jails be transferred to DOC institutions. Many prisoners were admitted, and by October 1985 DOC's population rose by 500, to approximately 10,800.

CURRENT NONSECURITY STAFFING

In FY 1985 DOC was authorized 8,160 established positions. Of that total, 5,324 were assigned to the 15 major institutions, two reception centers, and 26 field units. Of those, 3,942.5 were security positions and 1,381.5 were nonsecurity positions.

Of the authorized nonsecurity positions, 1,203.5 were filled during FY 1985. Of those, 1,057 or 88 percent were assigned to the major institutions, and 146.5 or 12 percent were assigned to the field units (Table 3). Nonsecurity staff comprise 26 percent of total staff assigned to the major institutions and approximately 17 percent of total staff in field units.

Table 3

FILLED POSITIONS WITHIN MAJOR INSTITUTIONS AND FIELD UNITS FY 1985

<u>Facility Type</u>	<u>Security Positions</u>	<u>Nonsecurity Positions</u>	<u>Total Filled Positions</u>
Major Institutions	2,940	1,057.0	3,997.0
Field Units	<u>711</u>	<u>146.5</u>	<u>857.5</u>
TOTAL	3,651	1,203.5	4,854.5

Source: PMIS Reports FY 1985.

Table 4

NONSECURITY STAFFING WITHIN
MAJOR INSTITUTIONS AND FIELD UNITS
FY 1985

<u>Function</u>	<u>Number of Types of Positions</u>	<u>Average Number of Filled Positions</u>
Maintenance	34	188
Accounting	14	67
Personnel	2	15
Food Services	3	127
Medical Services	20	192.5
Treatment Programs	19	232
Administration	11	130
Support	15	45
Clerical	7	190
Other	3	17
TOTAL	128	1,203.5

Source: PMIS Reports, FY 1985.

Nonsecurity staff in institutions either provide a direct service to inmates, such as counseling and medical services, or they work in any one of a number of administrative or support areas, such as food services, personnel, and accounting. JLARC staff divided all institutional functions into nine general areas for the purposes of this study (Table 4).

The level of services provided in each area and the number of staff assigned to an institution vary depending on a number of factors: the size of the inmate population, the special nature of inmates housed at the facility, and the mission of the institution. Table 4 shows the number of staff assigned to each functional area. Each area is discussed in detail in Chapter II.

Staffing and Programs in Major Institutions

DOC's system of 15 major institutions and two reception and classification centers provide housing for most of the State's adult felons. A typical major institution houses over 500 inmates, employing hundreds of staff that provide custody and services. The largest major institution in the system is the State Penitentiary, which houses over 850 inmates and employs over 500 personnel. Table 5 lists the average daily populations, special missions, and total staffing of the major institutions.

Table 5

**CORRECTIONAL INSTITUTIONS, SPECIAL MISSIONS AND
AVERAGE DAILY POPULATIONS**

<u>Major Institutions</u>	<u>Special Mission</u>	<u>Average Daily Population</u>	<u>Average Daily Staff</u>
Bland	Agribusiness	446	244
Brunswick	Medium Security Institution	677	356
Buckingham	Medium Security Institution	695	305
Deerfield	General Population & Transient	289	178
James River	Agribusiness	314	164
Marion	Mental Health Treatment Center	146	177
Mecklenburg	Maximum Security Institution	260	341
Nottoway	Medium Security Institution	658	348
Penitentiary	Maximum Security Institution	827	462
Powhatan	Maximum Security Institution	686	514
St. Brides	Youth Sentence less than 25 Yrs.	429	176
Staunton	Geriatric/Substance Abuse Unit	522	291
Southampton	Youth - First Offender	473	201
VCCW	Female Inmates	368	149
YOC	Youth Sentenced - Indeterminate	88	87
Subtotal		6,878	3,993
<u>Field Units</u>			
Baskerville	Road Camp Labor	102	34
Botetourt	Road Camp Labor	64	31
Caroline	Road Camp Labor	127	42
Capron	Road Camp Labor	81	31
Chatam	Road Camp Labor	94	29
Culpeper	Road Camp Labor	64	30
Dinwiddie	Road Camp Labor	89	29
Fairfax	Road Camp Labor	120	52
Fluvanna	Road Camp Labor	88	30
Greenville	Road Camp Labor	85	32
Halifax	Road Camp Labor	180	68
Harrisonburg	Youth Determinate Sentences	89	28
Haymarket	Road Camp Labor	88	32
Haynesville	Road Camp Labor	85	29
Nanesmond	Road Camp Labor	90	33
New Kent	Road Camp Labor	94	30
Patrick Henry	Road Camp Labor	96	32
Pocahontas	Road Camp Labor	208	51
Pulaski	Road Camp Labor	48	30
Rustburg	Road Camp Labor	99	30
Smith Mt. Lake	Road Camp Labor	89	29
Stafford	Road Camp Labor	90	33
Tazewell	Road Camp Labor	99	34
Tidewater	Road Camp Labor	99	31
Wise	Road Camp Labor	90	33
White Post	Road Camp Labor	86	30
Subtotal		2,544	893
Grand Total		9,422	4,886

Source: JLARC staff interviews during summer of 1985, population summaries,
and average number of established positions.

Work Opportunities. DOC staff attempt to provide work opportunities for all inmates, and some are engaged in jobs that offer skill training that may prepare them to earn a living when they return to society. Work and educational opportunities originate from three separate sources within the institution: (1) The Department of Correctional Education (DCE); (2) industrial enterprises; and (3) jobs created by the various departments of the institution.

Educational Services. DCE provides educational services. In addition, nine major institutions have industrial enterprises such as the manufacture of shoes, license plates, furniture and printing. About 13 percent of the inmate population is employed in enterprise operations. Inmates are also employed by departments within the institutions in jobs such as food services and maintenance.

In addition to work and educational programs, inmates receive a variety of treatment, support, and medical services. Staffing and programs in major institutions are discussed in Chapter II.

Staffing and Programs in Field Units

The use of field units in Virginia's system of corrections dates back to the beginning of the century when convicts were first used for highway construction. Temporary residences or "stick camps," which could be moved from one work area to another as roads were completed, were established to house the convicts.

Field units of today, while not involved in highway construction, still maintain a commitment to provide inmates to the Department of Highways and Transportation for road maintenance -- clearing bushes and cutting grass along Virginia's network of highways. Some field units support DOC farming and enterprise operations. Field unit inmates are usually near parole, are generally regarded to be lower risk, and often work outside the walls of the facility. Table 5 also lists the average daily population of field units.

Staffing in field units is substantially less than in the major institutions. The superintendent oversees operations of the field unit and assumes direct responsibility for most other facility functions. An assistant superintendent supervises security staff and may also supervise farm and food service personnel. The number of security personnel assigned to a field unit averages about 25 positions. The number of nonsecurity staff averages about six positions. Staffing and programs in field units are discussed in Chapter III.

THE JLARC APPROACH

During the course of its three years of corrections studies, JLARC staff conducted extensive research, including visiting every major correctional

facility and field unit in the State at least once. All major institutions were revisited for this study.

The study approach for this review was to build on a general information base developed in prior studies and to develop specific methodologies for assessing the adequacy of nonsecurity staffing levels.

Methodologies

Several methodologies were used to address the issues of this study. These methods included interviews with staff at the major institutions and field units, a regression analysis on staffing variation, a review of workload standards, a comparison of staffing levels among facilities, a review of overtime usage, and a review of DOC documents on staffing.

Interviews. JLARC staff interviewed all key administrators at the major institutions and all staff who: (1) had responsibility over programs or services; or (2) supervised other staff. At each facility the team conducted approximately nine interviews. Each interview was designed to learn about the different functions performed at the institution, the administrator's job responsibilities, and the adequacy of staffing. The interviews were also designed to learn how overtime is managed, what additional position requests were made over the past five years, and other areas relating to staffing.

Regression Analysis. To make recommended staffing changes at the major institutions, a regression analysis was used as one method for measuring relationships between the levels of nonsecurity staffing at the institutions. Each application of the regression analysis is intended to identify variations in staffing patterns among institutions by associating factors that closely relate to staffing. For example, the regression application used in food services combines three factors -- the number of meals served per month per institution, the number of inmates working in food services, and the number of satellite kitchens per institution.

The team used regression analysis in five of the nine functional areas under review: maintenance, food services, accounting, treatment programs, and clerical. Data analyzed by the team included total overtime hours used, size of the inmate population, and square footage of each institution.

Analysis of Staffing Variation. Data was collected on the number of filled positions at each major institution for each month during FY 1985. The data was further divided into functional areas by classified positions. Data was then averaged for each facility. The purpose was to observe staffing patterns of each institution based on functional responsibilities and compare differences based on facility size, mission, or other factors.

Workload. Where appropriate, JLARC staff reviewed staffing levels based on workload per classified position. In a number of functions workload is

driven by the number of units of work performed. Since work levels vary among facilities, variation in staffing levels was examined.

Field Units. During the course of its corrections series, JLARC staff visited all field units. About one third were revisited for this study. Staff conducted telephone interviews with all 26 field unit superintendents to collect data on staffing uses, patterns, levels, and needs. The interviews were also designed to learn about the use of security staff to perform nonsecurity functions, the use of overtime, and information on other areas. The post audits of each field unit were reviewed to assess post assignments and compare staffing with units of similar design. Analyses of nonsecurity staff similar to those done for major institutions were also performed for field units.

Implementation of Staffing Recommendations

Staffing recommendations were made for over- or understaffing observed by JLARC staff in specific position classifications at institutions during 1985. To implement JLARC's staffing recommendations, DOC should take a balance sheet approach and:

- (1) Use the 1985 funded employment level (FEL) as a basis for adding or subtracting positions;
- (2) Make adjustments only for the specific positions addressed; and
- (3) Reconcile any staffing changes that were authorized for FY 1986 with the JLARC staff recommendations, being sure the position classifications are the same.

For example, to implement a recommendation that two additional counselors be added to an institution, DOC should add these two positions to the total number of counselor positions funded for FY 1985. This number should be compared to the total counselor positions funded for FY 1986. If the 1986 figure is higher or the same, that figure should be used. If the 1986 figure is lower, the 1985 FEL with the JLARC increases should be used. In the cases where JLARC recommended reductions in personnel, a similar approach should be taken.

Other factors, such as increases in inmate population or workload, that may have direct bearing on staffing levels should also be considered by DOC before making any recommended reductions.

Report Overview

This chapter has presented background information about the corrections environment and nonsecurity staffing in adult correctional institutions. Chapter II focuses on the functional areas of nonsecurity staffing

needs in major institutions. Chapter III provides a description and analysis of field units, focusing on both nonsecurity and security staffing needs. Chapter IV focuses on systemwide issues.

II. NONSECURITY STAFFING IN MAJOR INSTITUTIONS

The level of nonsecurity staffing in major institutions is generally adequate. Overall, a net increase of only 31 nonsecurity positions is recommended over 1985 levels. This recommended change is approximately three percent of the 1,057 filled nonsecurity positions assigned to major institutions.

The 1,057 filled nonsecurity positions constitute roughly 26 percent of total staff in these institutions. Many of the current nonsecurity positions came about as a result of DOC's efforts to improve inmate programs and to provide rehabilitation services. Overall, however, DOC has no method for assessing the need for additional nonsecurity personnel. As a result, some variation in levels of nonsecurity staff exists among institutions.

DOC makes monthly adjustments in the funded employment levels (FEL) at institutions by transferring positions among facilities where specific needs have been identified. These frequent monthly adjustments in the FELs make it difficult to assess needs at individual institutions and have also contributed to inconsistencies in staffing.

The JLARC staff analysis of nonsecurity staffing was divided into nine functional areas. These functional areas represent services, programs, and support activities provided by nonsecurity staff. Categorizing activities into separate functional areas provided a means for reviewing staffing patterns across institutions along functional lines. It also identified staffing variation that could be attributed to special missions of institutions, which may dictate the need for specialized staff. The nine functional areas defined in JLARC staff's analysis are:

- | | |
|----------------------|------------------------|
| (1) Maintenance | (6) Treatment Programs |
| (2) Food Services | (7) Administration |
| (3) Accounting | (8) Support Services |
| (4) Personnel | (9) Clerical |
| (5) Medical Services | |

The goal of JLARC's review of nonsecurity staffing was to assess whether current staffing levels were adequate at the 15 major adult institutions. To achieve this goal, JLARC staff developed an analysis plan that systematically examined staffing positions. The approach rests on the convergence of a variety of methods that have bearing on staffing levels.

The review addresses the 15 "major" institutions. The two reception and classification centers are not included in this analysis because of their unique special missions. Field units are also addressed in Chapter Three of this report.

In order to determine appropriate levels for nonsecurity staffing, JLARC staff compared staffing across the system for particular program areas, such as food services. Staffing levels above or below the systemwide level potentially represented over- or understaffing. In addition, the effect of unique programs on staffing levels was examined. In some cases, unique or special missions justify different staffing levels.

Up to nine criteria, hereafter referred to as the "staffing analysis plan," were used to assess the appropriateness of institutional staffing. For particular institutions, some or all of the criteria listed below were applied.

- *Analysis of Staffing Variation.* Examined the comparable staffing patterns in each functional area. Generally compared staffing based on the ratio of staff-to-inmate population.
- *Regression Analysis.* Developed an independent assessment of staffing in functional and subfunctional areas. The purpose was to predict appropriate staffing levels based on current staffing arrangements and relevant independent variables.
- *Use of Overtime.* Used as an expression of need within a functional area as well as a measure of institutional compliance with department policies.
- *Changes in Staffing Levels.* Used as an indicator of institutional need by reviewing the historical record of an institution's staffing changes and requests for positions. Includes cutbacks in staffing levels and requests for additional staff.
- *Extent and Use of Inmate Labor.* Examined the use of inmates to perform institutional duties in each functional area. Examined the potential of inmate labor to substitute for or supplement nonsecurity staff.
- *Workload Measures.* Applied measures, such as ACA standards, that suggest appropriate staffing levels.
- *Changes in Population or Mission.* Applied as an indicator of staffing needs. Isolated changes in inmate populations and examined each facility for special missions.
- *Misclassification or Malutilization of Staff.* Examined where staff worked outside their normally assigned duties. The extent to which this occurred was used as an indicator of staffing need.
- *Interviews with Institutional Managers.* Used to determine the managers' assessment of staffing, explanations of staffing variations, and how staffing levels were decided upon.

Each of the above criteria were applied, where appropriate, to the nine functional areas. Convergence of these factors was used to conclude whether each area was adequately staffed.

Based on this analysis, the recommended changes for each major institution are depicted in Table 6. An increase of 47 nonsecurity positions, less the reclassification of 16 security positions, yields a net need of 31 new positions for the major institutions. A discussion of staffing in each of the nine functional areas follows.

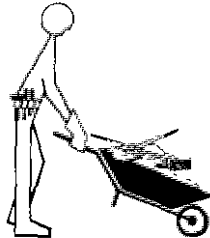
Table 6

TOTAL RECOMMENDED CHANGES IN STAFFING
MAJOR INSTITUTIONS¹

	Maintenance	Food Services	Accounting	Personnel	Medical	Treatment	Administration	Support	Clerical	Nonsecurity Total	Security Total	Net Change
Bland	+2				-5	+3				--	-5	-5
Brunswick						+2	+1		+3	0		+3
Buckingham			+1		+3		+1		+5	0		+5
Deerfield					+3	+1			+4	-1		+3
James River					+2			+1	+3	0		+3
Marion	+2					+1	+2		+5	-1		+4
Mecklenburg	-1				-2				-3	0		-3
Nottoway			+1		+2		+1		+4	0		+4
Penitentiary	+2	+1	+1		+3	-1	+1	-1	+6	0		+6
Powhatan			-1		+1	+1	+1	+1	+3	-1		+2
St. Brides				+2*	+1	+1	+1		+5	-2		+3
Southampton	+5								+5	-5		0
Staunton							+1		+1	0		+1
VCCW			+1	+1	+1		+2	+1	+6	-1		+5
YOC									0	0		0
TOTAL	+10	+1	--	+3	-2	+19	+3	+11	+2	+47	-16	+31

¹Staffing changes should be applied to the Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis.



Functional Areas for Nonsecurity Staff

MAINTENANCE

Because prisons operate 24 hours a day, heavy demands are placed on equipment and staff. Over 15 percent of institutional nonsecurity personnel are in maintenance positions, 34 different classifications including plumbers, electricians, power plant operators, and other skilled and non-skilled personnel.

Because of the multiplicity of maintenance activities, JLARC divided them into three sub-functions: water systems, power plant operations, and facility maintenance. An additional ten positions systemwide are recommended.

WATER SYSTEMS

Most correctional institutions are located in rural areas of the State, miles from municipal water and sewage treatment facilities. Consequently, some institutions have their own water treatment facilities. Eight institutions have either a water or waste treatment facility, or both. The other seven institutions receive their services from local municipal facilities or from other institutions.

The operating capacity and the demands placed on each system determine how many hours per day the plant operates. Generally treatment plants operate eight to 16 hours per day; a few facilities operate 24 hours per day. The longer the plant has to operate, the more staff are required to maintain the facility.

Some institutional staff interviewed by JLARC stated that, because of shift work assignments, they never have enough salaried employees to operate their facilities beyond one shift and also allow for relief due to sickness and leave. Consequently, inmates are a prime source of labor for maintaining continuous operation. Use of inmates in this capacity seems to be a good practice because such work can provide job skills that are useful upon release.

The Department of Commerce and the State Water Control Board (SWCB) have regulatory control over water treatment facilities. The Department of Commerce licenses persons to operate the facilities, and SWCB regulates the facilities. Inmates can receive on-the-job training by enrolling in an apprentice program for water or sewage treatment. After passing an examination, they can be certified to operate a facility. Most institutions use inmates who participate in certification programs to work in water treatment plants.

Current Staffing

Four institutions have water treatment operations; eight have sewage treatment plants (Table 7). James River treats water for four other correctional institutions -- Powhatan, Powhatan Reception and Classification Center, VCCW, and Beaumont Learning Center. As indicated in Table 7, the capacity of water treatment plants ranges from 40,000 gallons per day to 1.5 million gallons per day. The capacity of sewage treatment plants range from 60,000 gallons per day to 470,000 gallons per day.

Staffing of water and sewage treatment facilities generally allows for coverage during each shift the plant is in operation. This is consistent with State requirements for coverage by "licensed" operators.

Among institutions, staffing levels vary from one position at Buckingham, St. Brides, Southampton, and VCCW to four positions at James River # 2 (Powhatan).

Analysis of Staffing Variation

As Table 7 indicates, St. Brides, Buckingham, and Southampton are able to use a combination of employees and inmates to maintain and operate their water and sewage treatment facilities. Staff oversee the plants' operations and supervise the inmates. Inmates, including several that are licensed, perform most of the operational work.

Other institutions that use large numbers of employees and few inmates could reduce their staffing levels by using more inmates to operate their facilities. Bland, James River (all plants), Nottoway, and VCCW appear excessively staffed when compared to institutions that use larger numbers of inmates.

The sewage plant at Southampton has only one water systems employee for its eight-hour operation. Its plant capacity is 350,000 gallons per day. Bland, James River #1, Nottoway, and VCCW also operate eight hours per day and have smaller plant capacities than Southampton. However, each of these institutions has more treatment facility staff than Southampton. Other institutions could achieve the same results as Southampton, St. Brides, and Buckingham by substituting with inmate labor.

Bland Correctional Center has a program administered by the Department of Correctional Education (DCE) that trains inmates to become State-certified operators in both water treatment and wastewater treatment.

Table 7

WATER TREATMENT PLANTS

	<u>No. of¹ Employees</u>	<u>No. of Inmates</u>	<u>Plant Capacity (Millions)</u>	<u>Hours of Operation</u>
James River	4	1	1.5 gals/day	24 hrs/day
Bland	3	4	.18 gals/day	16 hrs/day
St. Brides	0.5*	7	.10 gals/day	16 hrs/day
Mecklenburg	<u>1</u>	<u>0</u>	.04 gals/day	8 hrs/day
TOTAL	8.5	12		

SEWAGE TREATMENT PLANTS

James River #2	4	1	.47 gals/day	16 hrs/day
Southampton	1	5	.35 gals/day	8 hrs/day
Nottoway	2**	1	.18 gals/day	8 hrs/day
VCCW	1.5	0	.10 gals/day	8 hrs/day
Buckingham	1	2	.10 gals/day	8 hrs/day
St. Brides	0.5*	1	.10 gals/day	8 hrs/day
Bland	2	2	.09 gals/day	8 hrs/day
James River #1	<u>2</u>	<u>1</u>	.06 gals/day	8 hrs/day
TOTAL	14	13		

*Time is shared between water and sewage plants.

**Processes sewage from Piedmont Geriatrics Hospital.

¹Based on number of positions filled and assigned during FY 1985.

Source: JLARC staff analysis; PMIS Reports FY 1985.

Once licensed, inmates can then be transferred to other institutions as operators. To some extent this is already occurring at the field units, where inmates are the principal operators of most facility treatment plants. However, not all major institutions are taking advantage of this opportunity to reduce salaried staff and provide meaningful work training and experience to inmates.

An additional benefit of using inmates would be a reduction in the use of overtime. James River and Mecklenburg averaged 190 hours and 30 hours per month, respectively, of overtime during FY 1985 to operate their treatment plants. Using inmates could reduce much of this overtime.

If inmates were substituted for salaried plant operators, each of these institutions would then need one supervisor for each shift. With proper screening and selection, a pool of inmates could be trained to operate most of DOC's treatment facilities, and the facilities would still be in compliance with State regulatory requirements.

The number of water and sewage treatment personnel varied widely among institutions. No relationship appeared to exist between the number of employees assigned and institutional type, population size, treatment capacity, or the hours the facilities operated per day. In fact, a number of facilities with small operating capacities had more staff than facilities with large operating capacities.

Expanded use of inmates in water and wastewater treatment positions can reduce staffing needs. Further, water and wastewater treatment jobs offer opportunities to provide job training for inmates.

Recommendation (1). DOC should expand the training and use of inmates as operators of water treatment systems and substitute inmate labor for salaried positions where possible in the future.

POWER PLANT

To provide heat, steam, and hot water, 12 major institutions have their own power plants (Marion Correctional Treatment Center receives heat, steam, and hot water from Southwestern State Hospital; Deerfield and YOC have individual gas furnaces for each building). Maintaining the power plants is a part of the maintenance department's responsibility. Power plant staff are supervised by the buildings and grounds superintendent.

The ages and types of power plants vary across institutions. The boilers at the older institutions, such as the Penitentiary, Staunton, and James River, are less efficient and require more maintenance than the modern boilers at the newer institutions.

Current Staffing

Staffing patterns at the 12 institutions that have power plants are shown in Table 8. Mecklenburg and Staunton have the largest number of employees with seven and eight, respectively. St. Brides has the fewest staff with one employee. Systemwide, most institutions average approximately six power plant positions.

Analysis of Staffing Variation

While there is some variation in square footage per staff, for the most part nonsecurity staffing levels for power plants appear to be appropriate.

Bland and Southampton use a total of nine security officers to perform the duties of power plant personnel. These officers have been

Table 8

POWER PLANT STAFFING AT MAJOR INSTITUTIONS

<u>Institution</u>	<u>No. of Employees</u>	<u>Square Footage Per Staff</u>	<u>No. of Inmates</u>	<u>Fuel Type</u>
Bland*	6	473	6	Coal
Brunswick	6	407	4	Coal
Buckingham	6	373	2	Coal
James River	4	323	4	Oil
Mecklenburg	7	293	0	Oil
Nottoway	6	382	2	Coal
Penitentiary**	6	801	4	Mixed
Powhatan	6	1,313	13	Coal
Southampton*	6	955	19	Coal
St. Brides	1	1,458	9	Oil
Staunton***	8	1,142	0	Coal
VCCW	6	483	0	Coal
TOTAL	68	700 ¹	63	

*Includes security staffing assigned to power plants.

**Inmates come from Field Unit # 13 each day.

***Includes Va. School for the Deaf and Blind.

¹ Average square footage per institution.

Source: JLARC staff interviews with DOC managers, summer 1985; PMIS Reports FY 1985; DOC Capital Outlay.

historically assigned as power plant operators and do not perform security duties. Therefore they were included in the staffing totals.

Inmates are used by most institutions to supplement for power plant staff. Two of the institutions with large power plants, Powhatan and Southampton, use a significant number of inmates to assist in the operation of their power plants. St. Brides, on the other hand, fully utilizes inmates to substitute for regular staff. Nine inmates operate the power plant.

Two factors help to explain St. Brides' low staffing level. First, the institution is the second smallest in the system among major institutions that have power plant operators. Only James River is smaller. Second, St. Brides uses a large number of inmates to assist in its power plant, which helps to substitute for salaried staff.

James River has only four salaried positions and, like St. Brides, uses inmates to substitute for salaried power plant staff. Other staffing anomalies

are largely explained by additional duties or other special circumstances. As with water plants, however, increased use of inmate labor could produce staffing efficiencies.

Recommendation (2). DOC should increase its use of inmates to supplement and substitute for power plant staff.

Misclassification

The JLARC staff's review of nonsecurity staffing found two areas where institutions were using staff other than power plant operators to maintain their power plants. At Bland Correctional Center four corrections officers were being used as power plant operators, while Southampton uses five. According to an assistant warden at Southampton, security personnel have been used to operate the power plants for a number of years to make adjustments for shortages in staff:

...we had a problem with turnover of some power plant positions. Corrections officers are in a higher pay grade [grade 6] than the "Boiler Firemen." Maintenance personnel would therefore leave their jobs when vacancies in security staff became available. To correct this, we staffed the boiler plants with corrections officers....it's been that way for 15 years.

Utilizing security personnel to perform as power plant operators is inappropriate. Other institutions are able to fill these positions without misclassifying staff.

Recommendation (3). At Southampton and Bland, the nine security positions that are being used as power plant staff should be reclassified to the appropriate nonsecurity power plant positions, and corresponding reductions should be made to the security staff levels.

FACILITY MAINTENANCE

Facility maintenance includes a broad spectrum of classified positions and a variety of maintenance activities, such as plumbers, electricians, carpenters, and groundskeepers. A Buildings and Grounds Superintendent oversees facility maintenance operations.

While routine maintenance is the greater portion of facility maintenance personnel's daily tasks, they also perform other duties, such as constructing small buildings and renovating existing buildings and structures.

Current Staffing

The number of facility maintenance staff at each institution varies throughout the system. As shown in Table 9, the largest number of facility maintenance personnel (13) are at Powhatan Correctional Center, while Marion

Table 9

FACILITY MAINTENANCE STAFFING

<u>Institution</u>	<u>Average Number of Filed Positions</u>	<u>Inmates Assigned to Maintenance</u>
Bland	11	57
Brunswick	7	45
Buckingham	7	48
Deerfield	5	23
James River	7	112
Marion	2	2
Mecklenburg	10	0
Nottoway	8	141
Penitentiary	7	50
Powhatan*	13	86
St. Brides	4	62
Southampton	9	94
Staunton	9	52
VCCW	7	4
YOC	4	24
TOTAL	110	800

*Reception Center is included with Powhatan.

Source: JLARC staff interviews with DOC managers, summer 1985; PMIS Reports FY 1985.

Treatment Center has the lowest number (2). Systemwide, there are 110 facility maintenance personnel. Facility maintenance accounts for 59 percent of all maintenance positions.

Systemwide, the average number of facility maintenance staff assigned to the institutions is 7.3. Eleven of the institutions fall within the systemwide average. Bland Correctional Center has 11 facility maintenance personnel, yet the size of the institution, its population, and the number of buildings are less than some institutions with fewer staff. The Penitentiary, for example, has almost twice the square footage and more buildings to maintain than Bland; however, the Penitentiary has only seven facility maintenance personnel.

Changes in Missions and Programs

During the 1984 session of the General Assembly, DOC was directed to devise a phased program for closing the Penitentiary by 1990. It is not clear

what the short-term impact of this directive will be on the Penitentiary's facility maintenance staff. As sections of the institution are closed, the need for facility maintenance staff should be correspondingly reduced.

At Mecklenburg Correctional Center, the status of the institution as a super-maximum security facility has changed to a lower-level maximum security designation, which is similar to that of the Penitentiary and Powhatan Correctional Center. Lowering the overall security of the facility should allow more inmates to work in maintenance activities at the institution. With more general population inmates housed at Mecklenburg, the strict restrictions on inmate movement can be relaxed and more inmates allowed to work in maintenance. This practice should permit reduction of the staffing levels as inmates begin to perform some of the maintenance functions currently performed by employees.

Regression Analysis

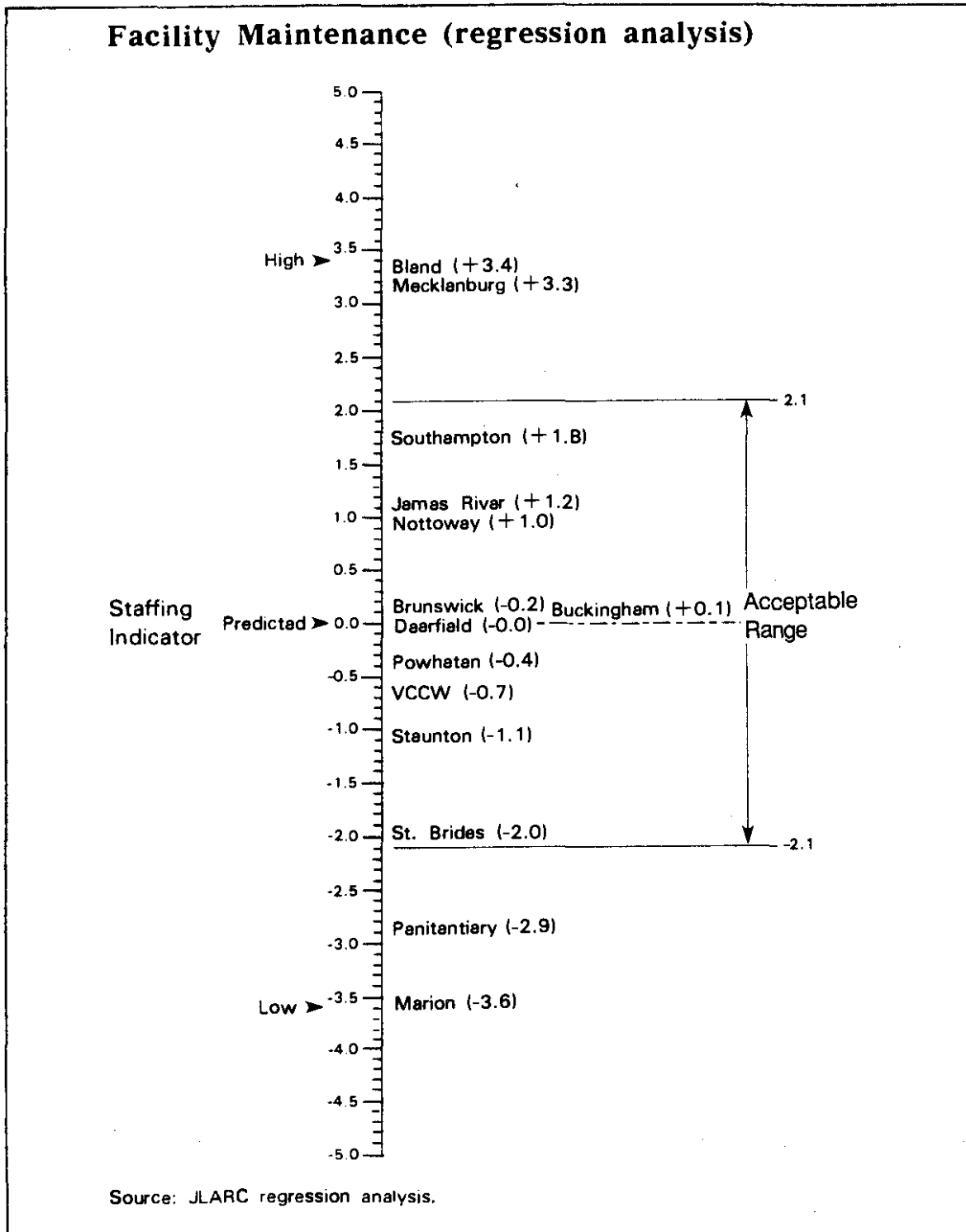
Because there were no standards or workload measures available for use in assessing appropriate staffing levels, JLARC staff's review of facility maintenance positions entailed a comparative review of staffing across institutions. Using the "Federal Staffing Guidelines for Prisons" as a guide, the square footage of each institution was used as a basis for establishing a measure of variation.

On the basis of JLARC staff's analysis, it appears that DOC has not applied a uniform method for assigning maintenance personnel. DOC's current method for assigning facility maintenance staff depends principally on individual judgment. Only at the three MSIs, similarly designed institutions, were staffing levels consistent. While a uniform staffing level is difficult to obtain, DOC should develop a uniform means of making staffing assessments.

Employing a regression model that identified staffing patterns based on the physical size of the institutions, JLARC staff identified four institutions that fell outside of the normal staffing pattern. Figure 1 shows the results of the regression analysis. For each institution the regression analysis indicated an expected level of staffing. This level of staffing was compared with the institution's actual staffing level for FY 1985. When the difference in the indicated and actual levels was greater or less than the range of acceptable levels, the model placed that institution outside the normal staffing pattern. As Figure 1 indicates, the Penitentiary and Marion both are below the acceptable range, and Mecklenburg and Bland are above the acceptable range.

The age and size of the Penitentiary are major factors to consider when assessing its maintenance staffing needs. Because some are over 100 years old, the Penitentiary's buildings and equipment require more upkeep than many of the newer institutions. Also, the Penitentiary has experienced a number of incidents, such as the August 1985 inmate disturbance, when sections of the institution were heavily damaged. In 1985 the Penitentiary lost two maintenance positions when "A" Building was temporarily closed. When "A" Building was subsequently reopened, the positions were not refilled. Therefore, unless increases in staffing levels conflict with the scheduled closing of a major section of the institution, facility maintenance staff at the Penitentiary should

Figure 1



be increased by two positions. These factors, combined with the Penitentiary's comparatively low staffing level based on the regression analysis, support the need for additional facility maintenance positions.

Marion Correctional Treatment Center has fewer facility maintenance positions than any other major institution. Two maintenance positions are authorized for Marion, a grounds supervisor and a building and grounds superintendent. Deerfield Correctional Center, however, which has half the square footage of Marion, has five facility maintenance positions.

In addition, Marion has assigned two security personnel to the maintenance department. These personnel work exclusively to maintain the farm and supervise inmates who work on the farm. Further, the maintenance superintendent and supervisor positions cannot be expected to perform all functions, such as carpentry, plumbing, and electrical work. Thus, Marion's facility maintenance staff appears deficient in several skill areas. Staffing does not appear to be adequate to meet the daily maintenance needs of the institution; therefore, two additional facility maintenance positions should be authorized at Marion.

Mecklenburg, according to the department, held the very worst and most abusive prisoners in the system until 1985. Its mission has since changed from a super-maximum security facility to a maximum security designation, similar to that of Powhatan and the Penitentiary.

Based on JLARC staff's regression analysis, Mecklenburg falls above the acceptable range for facility maintenance staff. While the carryover from Mecklenburg's previous mission may partially explain the high staffing level, the underlying reason appears to be that inmates have not been allowed to work in maintenance areas. Mecklenburg is the only institution that did not use inmates in its maintenance operations. Mecklenburg even employed a custodial worker to do janitorial work, whereas all other institutions used inmates to perform similar duties.

On the basis of the regression analysis and the institution's change in mission, it is reasonable for the department to include inmates in the maintenance operation and reduce the size of facility maintenance staff. The custodial position should be deleted and replaced with an inmate.

Bland Correctional Center also falls outside the acceptable staffing range. The regression analysis shows Bland as having just over three facility maintenance positions too many. (Bland has four more positions than the Women's Center, which has approximately the same square footage.)

However, Bland has two additional responsibilities that help to explain its high staffing level. First, there is a large farming operation that uses over 100 pieces of farm equipment, requiring additional maintenance work to keep the equipment operational. Second, Bland has some responsibility for assisting in the maintenance of all eight field units in the western region. This responsibility appears to be a limited involvement, however, and the facility maintenance personnel generally work at Bland.

While these responsibilities may require some additional staff, there appear to be too many positions at Bland. Reduction of two positions would

bring Bland more in line with other facilities. Table 10 summarizes all of the recommended staffing changes in facility maintenance.

Table 10

RECOMMENDED STAFFING CHANGES IN FACILITY MAINTENANCE¹

<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Proposed Staffing Changes</u>
Bland	11	-2
Marion	2	+2
Mecklenburg	10	-1
Penitentiary	<u>7</u>	<u>+2</u>
TOTAL	30	+1

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC staff interviews with DOC staff, summer 1985.

Recommendation (4). DOC should adjust the staffing levels at four institutions. Bland should reduce its facility maintenance staff by two positions. Mecklenburg should eliminate its custodial worker position and look for ways of incorporating inmates into maintenance operations. DOC should increase maintenance staff at the Penitentiary and Marion by two positions each. Increases in Penitentiary staffing should take into consideration the scheduled closing of that institution.

Inmate Labor

While inmates are used to assist in maintenance operations, they are not always used to substitute for salaried staff. To the extent possible, DOC should expand and improve the use of inmates in the facility maintenance area and substitute inmates for salaried positions.

Misclassification

A number of DOC institutions had security personnel to perform maintenance duties. Of all the functional areas reviewed, facility maintenance had the largest number of misclassified positions, with 25 of the 34 systemwide misclassified positions identified.

The number of misclassified personnel and the types of maintenance functions they perform are listed in Table 11. The types of misclassified functions that security personnel are required to perform vary among

Table 11

SECURITY PERSONNEL PERFORMING FACILITY MAINTENANCE

<u>Institution</u>	<u>Number of Personnel</u>	<u>Functions</u>
Bland	1	1 Paint Foreman
Brunswick	3	1 Motor Pool, 1 Groundsman, 1 Work Crew
Buckingham	2	1 Locksmith, 1 Groundsman
James River	2	2 Carpenters
Marion	2	2 General Maintenance
Mecklenburg	1	1 Locksmith
Powhatan	8	1 Clerk, 2 Groundsman, 1 Fire Safety, 1 Mechanic, 1 Vehicle Maintenance, 1 Painter, 1 Carpenter
St. Brides	3	1 Paint Crew, 1 Grounds Crew, 1 Construction Crew
Southampton	<u>3</u>	1 Groundsman, 2 Creative Maintenance
TOTAL	25	

Source: JLARC staff interviews with DOC managers, summer 1985.

institutions and include carpentry, painting, vehicle maintenance, and groundskeeping. Additionally, corrections officers are used for special functions such as locksmithing, fire safety, construction, and general maintenance.

DOC should discontinue its use of security personnel in facility maintenance activities. All security personnel currently assigned to maintenance functions should be assigned to appropriate security duties.

Recommendation (5). For the positions that are needed in "facility maintenance," DOC should reclassify the security positions to a maintenance classification with corresponding reductions in security staff.

CONCLUSION

The number of water and sewage treatment personnel varied widely among institutions. No relationship appeared to exist between the number of employees assigned and the institutional type, population size, treatment capacity, or hours the facilities operated per day. In fact, a number of facilities with smaller operating capacities had more staff than did facilities with large operating capacities.

Expanded use of inmates in water and wastewater treatment positions can reduce staffing needs. Furthermore, water and wastewater treatment jobs offer opportunities to provide job training for inmates.

Staffing levels in power plants are appropriate at their current levels. Two institutions -- Bland and Southampton -- should reclassify nine security positions as power plant positions. This reclassification will match the work duties of those personnel.

In the operation of power plants, inmates are generally used to supplement power plant staff. Increased use of inmate labor at the major institutions could produce staffing efficiencies.

The facility maintenance area contains the largest number of maintenance positions. In JLARC staff's analysis, four institutions were identified as outside the normal range of staffing. Recommended changes at these four institutions will produce more consistent staffing levels. There were also a large number of misclassified security positions used in facility maintenance positions. DOC should discontinue this practice.

Table 12 summarizes all of the recommended staffing changes in the maintenance area.

Table 12

RECOMMENDED MAINTENANCE STAFFING CHANGES¹
FOR MAJOR INSTITUTIONS

<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Proposed Staffing Changes</u>
Bland	18 ²	+ 2*
Marion	2	+ 2
Mecklenburg	18	- 1
Penitentiary	13	+ 2
Southampton Complex ³	<u>14</u>	<u>+ 5**</u>
TOTAL	65	+10

*Four security positions were recommended for reclassification to power plant staff.

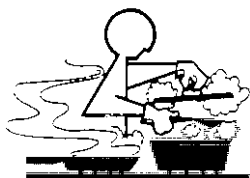
**Five security positions were recommended for reclassification to power plant staff.

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

²Does not include misclassified positions.

³Includes YOC in staffing totals.

Source: JLARC staff analysis, PMIS Reports FY 1985.



Functional Areas for Nonsecurity Staff

FOOD SERVICES

Food service is a primary function that must be carried out three times per day, seven days a week. During FY 1985, DOC's average inmate population of 9,700 was served approximately eight million meals. Preparing large numbers of meals and ensuring that a nutritionally balanced diet is provided to diverse dietary needs are the main responsibilities of food service staff.

DOC has personnel at the central office, the regional offices, and the major institutions who are responsible for ensuring that meals are provided in accordance with DOC guidelines. At the central office, the department's dietician is responsible for preparing systemwide diets, formulating food service policies, and assisting in identifying the training needs of all food services personnel.

Four regional food services managers are responsible for overseeing the food operations at the adult institutions in their respective regions. Regional managers conduct periodic facility inspections and ensure compliance with DOC food services guidelines. Institutional food service managers are responsible for overseeing food operations, such as controlling inventories, maintaining sanitation standards, and preparing meals.

Inmates with medical problems or with certain religious beliefs are served special foods prepared by the food service staff. As many as 500 to 1000 inmates across the system are served special diets.

The adequacy of food services staffing at the major institutions was evaluated based on four of the nine staffing analysis plan criteria. However, only the regression analysis findings led to specific staffing recommendations. Examining misclassified positions, overtime use, and inmate labor suggested other recommendations which did not directly affect the level of food services staffing.

Current Staffing

There are currently 130 food services positions at the major institutions. At most institutions, food services personnel are assigned to one of the two eight-hour shifts, with overlap to ensure coverage for each meal. As Table 13 shows, the number of food services personnel varies across facilities.

Table 13

CURRENT STAFFING IN FOOD SERVICES
FY 1985

<u>Institutions</u>	<u>Average Number of Filled Supervisors</u>	<u>Average Number of Filled Managers</u>	<u>Total</u>
Bland	6	1	7
Brunswick	6	2	8
Buckingham	6	2	8
Deerfield	4	1	5
James River	4	1	5
Marion	2	1	3
Mecklenburg	11	1	12
Nottoway	6	2	8
Penitentiary	12	2	14
Powhatan	17	3	20
St. Brides	6	1	7
Southampton	6	1	7
Staunton	9	2	11
VCCW	11	1	12
YOC	<u>3</u>	<u>1</u>	<u>4</u>
TOTAL	109	22	131

Source: JLARC staff interviews with DOC staff summer, 1985. PMIS Reports FY 1985.

Powhatan has 20 food service positions -- three managers and 17 supervisors. In addition to its regular population, Powhatan prepares meals for the Reception and Classification Center and the Powhatan north housing unit, which add another 237 inmates.

At some institutions, such as Marion, Mecklenburg, and VCCW, staffing levels are significantly different from other institutions. Marion's staffing is low because most of its meals are prepared by Southwestern State Hospital employees and delivered to Marion on steam tables. Conversely, Mecklenburg and VCCW have higher levels of staff because of institutional design factors. Mecklenburg has no central dining hall and feeds its inmates in

their cells. VCCW has a small kitchen and dining hall for each of four housing units, and transports meals on steam tables to two housing units.

Regression Analysis

JLARC staff's analysis of food services staffing involved a review of three workload measures: (1) the number of inmates working in food services; (2) the average number of meals served per month; and (3) special food service design factors.

The outcome of the analysis is shown in Figure 2. Three institutions -- Powhatan, the Penitentiary, and Staunton -- were identified in the analysis as having staffing levels outside of the acceptable staffing range. Powhatan was shown to be 3.1 positions above the acceptable range, while the Penitentiary and Staunton were below the range by 2.0 and 2.4 positions, respectively.

Although Powhatan was shown to be above the acceptable range by the regression analysis, the number of meals delivered to "satellite" locations appears to justify the additional staff. Transporting food to different locations increases the workload and the number of food services personnel needed. Powhatan feeds the largest number of inmates and has the most extensive responsibilities of all the major institutions. Because of Powhatan's special needs, it would appear to be appropriate to retain the current level of food services positions.

JLARC staff's regression analysis found the Penitentiary to be two positions below the acceptable staffing range. The Penitentiary lost two food service positions in FY 1984, in anticipation of closing the "A" building. Although "A" building was never closed, the food services positions were not reestablished. The Penitentiary also satellites meals to five housing units within the institution. Considering the positions deleted in anticipation of closing the "A" building, it is recommended that one food services supervisor position be added at the Penitentiary, unless the scheduled closing of that institution dictates otherwise.

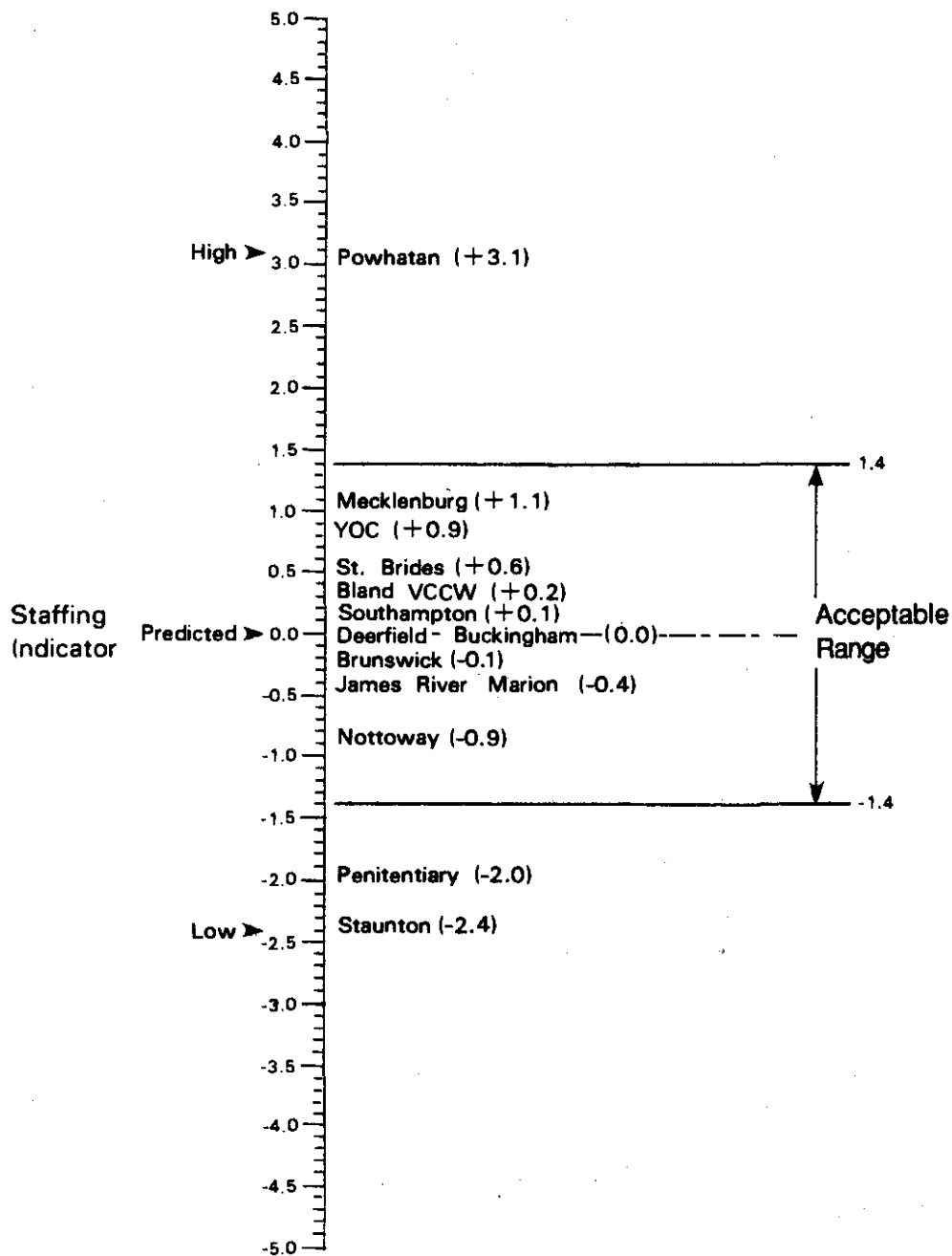
At Staunton the regression analysis indicated a staffing level of 2.4 positions below the predicted level. According to the warden at Staunton, the current food services staffing level is appropriate and no additional staffing is needed. Therefore, no additional positions are recommended.

As noted, a primary finding in the regression analysis was that special design factors in food services may warrant additional staff. This was also the case with Mecklenburg and VCCW, where each had special design factors in their food service areas.

Mecklenburg was designed to provide maximum security segregation for the system's most disruptive inmates. No centralized dining area was constructed. Since inmate movement is limited, inmates are fed in their cells. Delivering meals to inmates in their cells requires more food services staff than does operating a centralized dining hall. Also, due to health and safety concerns, staff rather than inmates are used to deliver meals, so additional food services personnel are required.

Figure 2

Food Services (regression analysis)



Source: JLARC regression analysis.

The food services at the Women's Correctional Center also had a high level of personnel, due primarily to its five separate kitchens and dining halls. VCCW has a small kitchen and dining hall for institutional staff and separate kitchens and dining rooms for each housing unit. If VCCW had one centralized kitchen and dining area, the number of food services personnel could be significantly reduced.

In summary, efficiencies in food services staffing would be possible if a central dining area were used at Mecklenburg, Staunton, and VCCW and if satellite food operations were reduced at the Penitentiary and Powhatan. DOC should review the food services operations at these five institutions to determine whether alternative methods for carrying out the food services operations could be performed with fewer staff.

Recommendation (6). DOC should establish one additional food services position at the Penitentiary, unless the scheduled closing of that institution dictates otherwise.

Recommendation (7). DOC should assess its food services operations at Mecklenburg, the Penitentiary, Powhatan, Staunton, and VCCW to promote more staff-efficient dining arrangements.

Misclassification

At only one institution were security personnel used to perform food services duties. At Bland, two corrections officers were assigned to duties normally performed by food services supervisors. These officers, under the supervision of the food services manager, supervise inmates in preparing and serving meals, ensure that the kitchen area is kept clean, and maintain control over food inventories.

The warden and food services manager at Bland stated that the correctional officers are used because of shortages of food services staff. However, Bland currently has seven food service positions, the same number allocated at comparably-sized St. Brides Correctional Center, where staffing was within the acceptable range. Consistent with previous recommendations discouraging the use of security staff for nonsecurity duties, DOC should discontinue using the two corrections officers within the food services area at Bland.

Recommendation (8). DOC should discontinue the practice of using security personnel for food service supervisors at Bland Correctional Center.

Use of Overtime

In FY 1985 food services personnel at all major institutions worked a total of 14,281 hours of overtime, approximately 34 percent of the total nonsecurity overtime during that period. As Table 14 shows, four institutions (Mecklenburg, Nottoway, the Penitentiary, and Powhatan) accounted for 94 percent of the overtime paid to food services staff. Staff at those institutions indicated that overtime resulted from shortages of staff and emergency situations.

Table 14

TOTAL OVERTIME HOURS WORKED BY FOOD SERVICE EMPLOYEES
FY 1985

<u>Institutions</u>	<u>Overtime Hours</u>
Penitentiary	5,532
Mecklenburg	3,313
Nottoway	2,390
Powhatan	2,210
Brunswick	302
St. Brides	238
Bland	113
Deerfield	44
Southampton	39
YOC	35
Staunton	24
Marion	22
James River	19
Buckingham	0
VCCW	0
TOTAL	14,281

Source: Interviews with wardens, summer 1985.

DOC policy stipulates that overtime for nonsecurity personnel shall not be authorized except during "bona fide" emergencies. The food services managers at Mecklenburg, Nottoway, the Penitentiary, and Powhatan, however, indicated that a shortage of staff was the primary reason for their overtime use. When asked by JLARC staff to provide the documentation they used to justify overtime, they could only provide time sheets that showed total hours worked by employees during a pay period.

Recommendation (9). DOC should require all institutions to comply with its overtime policy. DOC should also require institutions to document all overtime used to provide the central office with data to make more informed staffing and overtime policy decisions.

Inmate Labor

Unlike other areas where inmates are used for limited institutional duties, food services uses inmate labor extensively. Approximately 13 percent of the inmate population work in food services. If inmates were not used in food services, the department would have to hire additional staff.

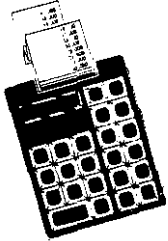
Inmates working in food services perform three primary functions: preparing food, serving food, and cleaning the kitchens and dining halls. Food services supervisors oversee these operations and ensure that they are carried out properly.

The Department of Information Technology (DIT) recently completed a study of food services operations and recommended that DOC consider expanding its use of inmate labor for food services. DIT also recommended that DOC study the use of competitive selection, inmate incentives, and job placement of paroled inmates as means of making employment within food services more attractive. DIT's recommendations appear to be appropriate, considering that inmate labor can reduce the number of food services staff needed as well as provide marketable skills for inmates to use when they complete their prison terms.

CONCLUSION

The level of food services staff at the major institutions was generally appropriate. The analysis indicated a need for one additional position at the Penitentiary. The staffing adjustment should be made to Funded Employment Levels as of June 30, 1985.

However, a primary finding of the analysis was that special design features -- and multiple kitchens -- require additional staffing. If these designs were altered, the number of food services staff could be reduced.



Functional Areas for Nonsecurity Staff

ACCOUNTING

Accounting responsibilities have been decentralized from DOC's central office to the major institutions. The institutions' accounting departments prepare their budget requests, monitor the execution of approved budgets, and project future budgetary needs. Extensive financial records are maintained by each accounting department to track receivables, fund encumbrances, vendor payments, and commissary transactions. Wardens are allowed to authorize purchases of up to \$5,000, with regional administrators approving purchases above that amount. Regional support services managers assist the major institutions with their budgeting and accounting activities and monitor expenditures.

Institutions' accounting departments maintain inmate and club accounts. Individual inmate accounts operate similarly to private bank accounts. Inmates use their funds to purchase canteen tickets that are used to purchase goods from the commissary and for money orders to pay for goods purchased outside the prison. Club accounts are established for organizations, such as the Jaycees and Alcoholics Anonymous, which work with the inmates within the institution.

In addition, accounting departments at the major institutions are also responsible for reconciling assets with State reports such as the Commonwealth Accounting and Reporting System (CARS) and the Fixed Assets Accounting and Control System (FAACS). DOC's central office accounting department supplies the major institutions with summary reports of data derived from institutional CARS reports. These reports are used to track expenditures. While all accounting departments are responsible for the inmate payroll, only Bland's accounting department actually prepares the employee payroll.

To evaluate the adequacy of accounting staffing levels, three of the nine staffing analysis plan criteria were examined. Those indicators included changes in staffing levels, regression analysis results, and misclassification of positions. Of these three indicators, however, the regression analysis was the only indicator used to make staffing recommendations within the accounting

area. Staffing level changes illustrate staffing trends within accounting, while the misclassified positions warrant review but do not affect overall staffing levels within the accounting units.

Changes in Staffing Levels

During JLARC's review there were 72 accounting and 13 clerical positions within 14 accounting units (Table 15). The 13 clerical positions actually performed accounting duties in addition to providing the more traditional types of support assistance such as typing and filing. Accounting staff at Bland were supplemented by two P-14 positions, while St. Brides had an additional contracted position.

Staffing patterns among the accounting units vary significantly. As shown in Table 15, the number of accounting positions ranges from one to 12, and the number of clerical staff ranges from zero to two. Powhatan has supervisory responsibility for the accounting operations at James River and Powhatan Reception and Classification Center. Likewise Southampton has supervisory responsibility for accounting functions at Deerfield and Southampton Reception and Classification Center, and also handles all of the accounting duties for the YOC.

A total of six clerical positions within the accounting units at Buckingham, the Penitentiary, Powhatan, and St. Brides were abolished in the last four years. A clerical position at Powhatan was abolished, according to institutional staff, due to automation efficiencies. However, the business managers at the other three institutions that lost clerical staff indicated that they were not sure why their clerical positions were cut and that their workloads had not decreased. These three managers indicated that they compensated for the loss of the clerical positions in a variety of ways including: increasing the remaining staff's workload, reducing inmate services, having employees work overtime without compensation, having clerks perform accounting functions, and contracting for a typist position.

The accounting department managers at Bland, Buckingham, James River, Mecklenburg, St. Brides, and VCCW indicated a need for seven additional positions. None of these position requests had been approved at the time of JLARC staff interviews.

Regression Analysis

JLARC staff developed a number of regression models to examine the staffing variation within the major institutions' accounting departments. The model which examined the size of the inmate population gave the best correlation with the number of personnel per facility. Table 16 shows the personnel totals and the inmate population figures used in the regression analysis.

The personnel totals were derived from interviews held with the 14 accounting department managers during the summer of 1985. Interview responses, rather than PMIS data, were used because the number of clerical positions assigned to the accounting units could not be determined from the

Table 15

STAFFING OF THE ACCOUNTING
FUNCTION AT THE MAJOR INSTITUTIONS

<u>Institution</u>	<u>Filled Accounting Positions</u>	<u>Filled Clerical Positions</u>	<u>P-14s</u>	<u>Total Filled Positions</u>
Bland	4	1	2	7
Brunswick	6	2		8
Buckingham	5	2		7
Deerfield	1			1
James River	2			2
Marion	4			4
Mecklenburg	5	1		6
Nottoway	5	2		7
Penitentiary	8	2		10
Powhatan	12	1		13
St. Brides	4		1*	5
Southampton	7	2		9
Staunton	6			6
VCCW	3			3
YOC	--	--	--	--
TOTAL	72	13	3	88

*Contracted position.

Source: JLARC staff interviews with DOC staff, summer 1985.

PMIS data. As previously mentioned, clerical staff assigned to the accounting departments perform accounting-related tasks in addition to the clerical types of duties and should therefore be included in any review of staffing consistency. The inmate population figures were based on DOC's Population Summary figures for major institutions during FY 1985.

To present a more accurate picture of workload distribution, JLARC staff's regression analysis included the accounting personnel and inmate population for James River, Powhatan Reception and Classification Center, and Powhatan Correctional Center within the Powhatan Complex figures. Likewise, the accounting staff and inmate population for Deerfield, Southampton Reception and Classification Center, YOC, and Southampton Correctional Center were combined to form the Southampton Complex totals. These changes were made because Powhatan and Southampton Correctional Centers provide support to the accounting departments at the five smaller institutions.

The regression analysis found that inmate population explained 86 percent of the staffing variation among accounting departments at the major

Table 16

STAFFING OF THE ACCOUNTING FUNCTION
COMPARED WITH INMATE POPULATION SERVED
FY 1985

<u>Institution</u>	<u>Filled Accounting Totals*</u>	<u>Inmate Population Served</u>	<u>No. of Inmates Per Staff</u>
Bland	5	446	89
Brunswick	8	677	85
Buckingham	7	695	99
Marion	4	146	37
Mecklenburg	6	260	43
Nottoway	7	658	94
Penitentiary	10	827	83
Powhatan Complex	16	1,237	77
St. Brides	4	429	107
Southampton Complex	11	960	87
Staunton	6	522	87
VCCW	<u>3</u>	<u>368</u>	<u>123</u>
TOTAL	87	7,225	83

*No P-14 or contract positions are included in the staffing totals, although the two accounting positions at the Reception and Classification Centers are included.

Source: JLARC staff interviews with DOC staff, summer 1985 and DOC's Population Summary, FY 1985.

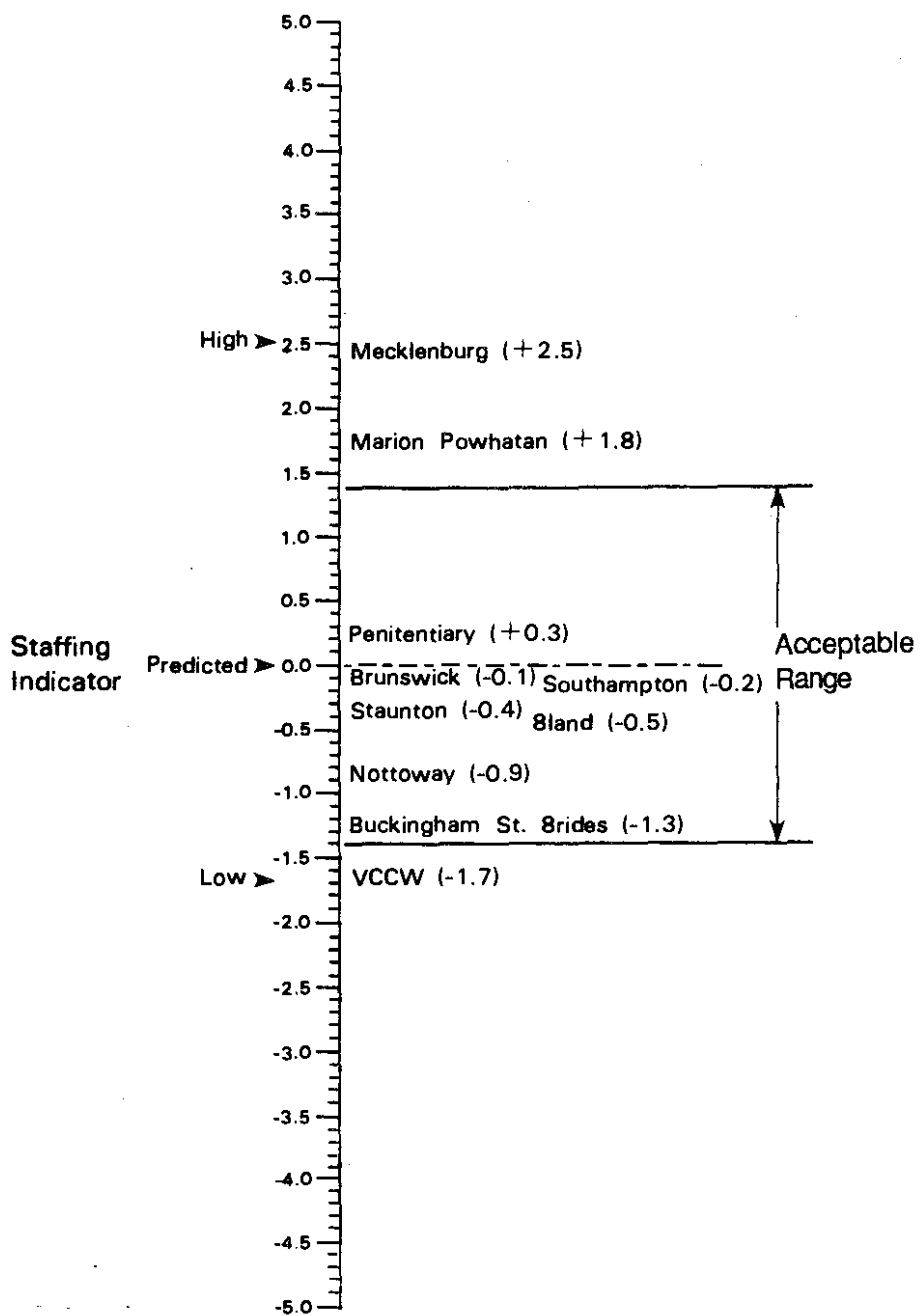
institutions. The analysis further indicated that four institutions were outside the confidence level of one standard error of the estimate (1.4 positions) of the acceptable staffing range. As shown in Figure 3, VCCW appears on the low side of the acceptable range while Marion, Mecklenburg, and Powhatan are on the high side.

Thus, according to the regression analysis, VCCW's accounting department was 1.7 positions below its predicted staffing complement, while Marion and Powhatan were 1.8 positions and Mecklenburg was 2.5 positions above predicted staff. While the regression analysis gave an indication of staffing imbalances, some institutions have special functions or characteristics which may partially explain the regression findings. Special circumstances at both Marion and Mecklenburg require additional consideration.

Compared to most institutions with large accounting departments, Marion's accounting department has only four positions to serve a small inmate

Figure 3

Accounting (regression analysis)



Source: JLARC regression analysis.

population. While the size of the inmate population was a major determinant of accounting workload, there are other activities which are not dependent on the inmate population. For example, budgeting and financial record-keeping, which are accounting activities performed by all accounting departments, are not directly influenced by the size of the inmate population. Economies of scale may be difficult at the smaller institutions, like Marion, which show higher staffing ratios than would normally be expected and appear to be the least staff efficient.

Mecklenburg's accounting department staffing is also above the predicted value by 2.5 positions. Like Marion, however, special circumstances may affect this measure. Mecklenburg's inmate population was reduced by DOC during part of FY 1985 as a result of a number of serious incidents that occurred at the facility. Thus, the average daily population was reduced by about 14 percent and did not reflect Mecklenburg's inmate population capacity.

Another factor that must be considered when analyzing Mecklenburg's accounting staff is the increased demand on the accounting unit due to the restrictions on inmate movement within the compound. Not allowing inmates to visit and purchase items from a canteen, for example, requires additional accounting activity. The business manager at Mecklenburg has requested the assistance of DOC's regional office to determine whether more efficient accounting procedures could be employed.

No special circumstances were identified for Powhatan Complex, which serves a large inmate population and should be able to benefit from some economy of scale advantages. The JLARC staff therefore recommends the abolishment of one accounting department position at Powhatan Complex.

DOC should also consider establishing an additional accounting department position at VCCW, which appeared to be significantly below its predicted staffing complement.

Recommendation (10). DOC should determine whether more efficient procedures could be employed to reduce the number of staff required within the accounting departments at Marion and Mecklenburg.

Recommendation (11). DOC should abolish one position from the accounting department which serves the Powhatan Complex.

Recommendation (12). DOC should consider establishing one additional position for the accounting department at VCCW.

Misclassification

During interviews with business managers at Bland, Brunswick, and Buckingham, a total of four employees were noted as performing duties typically assigned to positions within a higher classification.

A clerical position at Bland performed the same duties that a fiscal technician would typically be responsible for. The business manager has requested the clerical position be regraded to reflect actual duties.

At Brunswick, according to the business manager, one accounting position was incorrectly misclassified following a department-wide personnel review by the Department of Personnel and Training. The study, requested by the State Comptroller, recommended both job title and pay grade changes. As a result of the DPT review, accountants "A" became fiscal technicians (grade 6). However, one of Brunswick's accountant "A" positions was inappropriately downgraded to a fiscal assistant (grade 5). When the business manager questioned the action, DPT supplied him with the job description on which the decision was based. The job description that DOC's central personnel unit had provided to DPT was outdated and no longer accurately described the position responsibilities. DPT was made aware of the job description error, but no action had been taken at the time of JLARC staff's interview.

According to the accounting manager at Buckingham, both of the unit's clerk typists "C" do routine accounting functions that include: inmate accounts, commissary ticket issuance, the maintenance and operations budget, and inmate trust accounts. The manager indicates that they have to utilize clerks to assist with the accounting duties because Buckingham's accounting unit now serves over 700 inmates rather than the 500 it was originally staffed to handle.

Recommendation (13). DOC should review the four accounting positions, which have been identified as possible misclassifications at Bland, Brunswick, and Buckingham, to determine whether these positions are misclassified and need to be regraded.

CONCLUSION

Based on JLARC staff's analysis, overall staffing levels in the accounting area appear to be appropriate. The regression analysis, the indicator which best determined staffing consistency within the institutions' accounting departments, found that four institutions were inconsistently staffed.

Marion, Mecklenburg, and Powhatan Complex appeared to be overstaffed when compared with the other institutions. No staffing reductions were recommended by JLARC staff at Marion and Mecklenburg due to special circumstances which help to explain the regression findings. DOC should determine whether procedural changes could be instituted at these two institutions to reduce the number of staff required. No special considerations were identified for Powhatan Complex, however. DOC should reduce the accounting staff at Powhatan Complex by one position.

VCCW was the only institution which appeared to be understaffed when compared with the other institutions. JLARC staff therefore recommends an additional position for the accounting department at VCCW.

Table 17 shows the recommended staffing changes for the accounting departments at Powhatan Complex and VCCW.

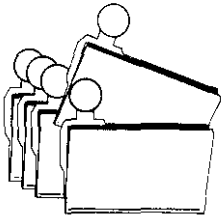
Table 17

RECOMMENDED STAFFING CHANGES FOR ACCOUNTING DEPARTMENTS¹

<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Proposed Staffing Changes</u>
Powhatan Complex	16	-1
VCCW	<u>3</u>	<u>+1</u>
TOTAL	19	0

¹Staffing Adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis.



Functional Areas for Nonsecurity Staff

PERSONNEL

Complete responsibility for all personnel transactions was originally borne by DOC's central personnel unit. This responsibility was partially decentralized to the major institutions beginning in 1981 with a pilot project at Southampton Correctional Center. Most of the major institutions now process their personnel transactions and maintain their employee files. The central office personnel unit continues to determine employee classifications and pay grades, EEO guidelines, and department-wide personnel policy and training requirements. Central office personnel periodically audit the activities of the major institutions to ensure compliance with established guidelines.

Generally each institution's personnel department is responsible for any activity that affects its employees from recruitment through retirement. This involves advertising for open positions, processing applications, setting interview panels, making criminal and employment checks, notifying applicants of hiring decisions, and orienting new employees. Each institution is allowed to independently hire employees up to grade 10. Regional administrators hire staff at grade 11 and above with the review of the director. Once an individual is hired, the institution's personnel unit is responsible for overseeing all benefit programs such as health care, worker's compensation, and retirement; for processing employee grievances and EEO complaints; and for maintaining an up-to-date personnel file on each employee.

The staffing adequacy of the major institutions' personnel departments was evaluated based on four of the nine staffing analysis plan criteria: staffing level changes, analysis of variation results, misclassification of positions, and overtime use. The analysis of variation was the only criterion used to make staffing recommendations. The analysis of staffing level changes illustrated trends within the personnel departments at the major institutions. While both position misclassification and overtime use led to recommendations, the recommendations did not directly affect the level of staffing in the personnel area.

Changes in Staffing Levels

Table 18 illustrates the staffing levels of the institutions' personnel departments during JLARC staff visits. There were 20 classified, 19 clerical, and three P-14 positions within 14 personnel units. The clerical positions carried out personnel-related duties in addition to providing support in the form of typing, greeting applicants, and other tasks. The three P-14 positions worked full-time on an on-going basis.

Table 18

STAFFING OF THE PERSONNEL FUNCTION
AT THE MAJOR INSTITUTIONS

<u>Institution</u>	<u>Filled Personnel</u>	<u>Filled Clerical</u>	<u>P-14s</u>	<u>Total</u>	<u>Misclassified</u>
Bland*	1	1		2	
Brunswick	1	2		3	
Buckingham	1	1	1	3	(1)
Deerfield	1	1	1	3	(2)
James River*	1	1		2	
Marion	1	1		2	
Mecklenburg	1	2		3	
Nottoway	1	1		2	
Penitentiary	1	2		3	
Powhatan	5	4		9	
St. Brides	2			2	
Southampton	2	1		3	
Staunton	1	1	1	3	(1)
VCCW	1	1		2	
YOC	--	--	--	--	--
TOTAL	20	19	3	(4)	42

*Personnel department was not responsible for the employee payroll.

Source: JLARC staff interviews with DOC staff, summer 1985.

YOC shows no personnel employees because Southampton handled all of YOC's personnel matters in addition to the personnel activities of the Southampton Reception and Classification Center. Similarly, Powhatan served Powhatan Reception and Classification Center and processed the payroll for James River.

The personnel units at Nottoway, the Penitentiary, Powhatan, and Staunton lost a total of six clerical positions in the past four years. Only Powhatan's personnel manager noted that the loss resulted from a reduction in

workload (the closing of Deep Meadow and the west housing unit). The managers at the other three institutions indicated that losing the positions had adversely affected their units' ability to complete their work.

Seven institutions requested additional positions for their personnel departments. Of these seven, Buckingham, Deerfield, and Staunton use a full-time P-14 position to compensate for their need for additional clerical assistance, while a corrections officer assists with the clerical duties at Nottoway. (Deerfield's P-14 provides clerical assistance in accounting as well as in personnel matters.) None of the institutions' requests had been approved at the time of the JLARC staff visits. Thus, six clerical positions had been abolished, while no requests for additional staff had been approved.

Analysis of Staffing Variation

There was little variation in the staffing levels of the personnel departments at the 14 institutions (Table 19). Each institution had either two or three permanent full-time employees, except Powhatan Complex which had nine. Powhatan Complex served both Powhatan and Powhatan Reception and Classification in addition to processing the payroll for James River, while Southampton Complex served Southampton, Southampton Reception and Classification, and YOC. Staffing totals for the personnel departments were determined during JLARC staff interviews in the summer of 1985. PMIS data could not be used, since the number of clerical positions assigned to each personnel department could not be determined from the data.

The workload of each personnel unit was primarily determined by the number of employees served by that unit. Thus, the workload depended on the total number of employees at the institution, except in the cases of Powhatan and Southampton, which assisted other institutions with personnel matters. This workload measure was expressed as the number of employees per personnel staff member. Using this workload measure produced a range of 72 to 174 employees per personnel staff member across the 14 institutions.

JLARC staff examined the three institutions which were above or below the statewide mean of 107 employees per personnel staff member. One standard deviation was calculated to equal 35 employees per staff, rendering an acceptable staffing level range of from 72 to 142 employees per staff.

The workloads of the personnel departments at Buckingham, Nottoway, and the Penitentiary were over the 142 employees per staff range, indicating understaffing at those three institutions. The use of overtime at Nottoway and the Penitentiary also point to the need for additional staffing at these institutions. Adding one position at each of these institutions would bring their workload closer to the systemwide average.

While none of the institutions had workload measures under 72 employees per staff, the workload at the Powhatan Complex was 72 employees per personnel staff. This measure, combined with the fact that Powhatan Complex has three times the staffing of other institutions with half (rather than a third) the number of employees, calls into question the need for nine

Table 19

STAFFING OF THE PERSONNEL FUNCTION
COMPARED WITH AVERAGE NUMBER OF EMPLOYEES
FY 1985

<u>Institution</u>	<u>Filled Staffing Totals*</u>	<u>Average Number of Employees</u>	<u>Employees Per Staff</u>
Nottoway	2	348	174
Buckingham	2	337	169
Penitentiary	3	442	147
Staunton	2	282	141
Bland	2	239	120
Brunswick	3	361	120
Southampton Complex	3	349	116
Mecklenburg	3	327	109
Deerfield	2	178	89
Marion	2	173	87
St. Brides	2	169	85
James River	2	158	79
VCCW	2	145	73
Powhatan Complex	<u>9</u>	<u>648</u>	<u>72</u>
TOTAL	39	4,156	107

*No P-14 positions are included in the staffing totals.

Source: JLARC staff interviews, summer 1985, DOC Employee Relations Unit.

personnel positions at Powhatan. DOC should review the personnel department at Powhatan to determine whether staffing reductions can be made.

Recommendation (14). DOC should authorize an additional position for each of the personnel departments at Buckingham, Nottoway, and the Penitentiary.

Recommendation (15). DOC should review the staffing of Powhatan's personnel department to determine whether staffing reductions can be made.

Misclassification

The personnel managers at Buckingham, Deerfield, and Staunton reported having employees who work in job classifications that may be inappropriate given their assigned duties.

Buckingham's employee relations representative has requested the reallocation of the clerk typist "C" position to that of personnel assistant. The clerk typist "C" is the main contact for employee questions, assists in employee orientations, completes the employee leave report, and functions as the unit manager in the manager's absence. It should be noted, however, that these responsibilities are not unlike the duties performed by many of the clerk typists "C" in the other personnel units.

Deerfield has two positions which may be misclassified. First, the unit manager is a personnel assistant (grade 7) rather than an employee relations representative (grade 10). James River is the only other personnel unit supervised by a personnel assistant. James River, however, is assisted in its personnel and payroll transactions by Powhatan personnel. The Powhatan employee relations representative also has signatory approval over James River's personnel activities. Unlike James River, Deerfield has sole responsibility for its personnel activities.

The other position at Deerfield that may be misclassified is that of the clerk typist "C." This typist is learning to partially process the employee payroll with the assistance of the unit manager. The manager considers processing the payroll to be too much responsibility to place on a clerk typist "C" and has requested a fiscal technician position. Clerk typists rather than fiscal technicians process the payrolls at Brunswick, Buckingham, Marion, Mecklenburg, Nottoway, Penitentiary, Staunton, and VCCW. The personnel managers at those seven institutions did not indicate any problems with this arrangement.

The fourth example of misclassification occurred at Staunton's personnel unit. Staunton's employee relations representative is assisted by one clerk typist "B." This typist is performing the same duties as many of the clerk typists "C" in personnel units at the other institutions. Staunton's employee relations representative has requested that the position be reallocated to a "C." DOC's central office personnel unit has recently agreed to review the position.

Recommendation (16). DOC should review the four personnel positions, which have been identified as possible misclassifications at Buckingham, Deerfield, and Staunton to determine whether these positions are misclassified and should be regraded.

CONCLUSION

Table 20 summarizes the JLARC staff recommendations for staffing changes within the personnel departments at the major institutions. A staffing increase of one position at Buckingham, Nottoway, and the Penitentiary was recommended for a net increase of three positions.

The primary bases for the JLARC staff recommendations are structured interviews with each of the personnel unit managers and the analysis of variation which examined the number of employees served by each personnel unit. A task analysis of required personnel activities was not conducted in formulating workload standards. DOC should include such an analysis to assist

Table 20

RECOMMENDED STAFFING CHANGES FOR PERSONNEL DEPARTMENTS²

<u>Institution</u>	<u>Filled Staffing Totals</u>	<u>Proposed Staffing Changes</u>
Buckingham	2	+1
Nottoway	2	+1
Penitentiary	<u>3</u>	<u>+1</u>
TOTAL	7	+3

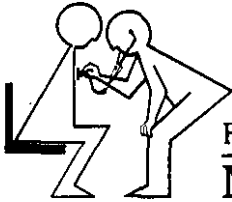
¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis, and PMIS Reports FY 1985.

in developing sensitive workload measures for use in the comprehensive staffing plan recommended in the JLARC study Central and Regional Office Staffing in the Department of Corrections.

DOC should pay particular attention to the personnel departments which serve the smaller institutions to determine their minimum staffing needs and the associated cost efficiency of their operations. In fact, three of the personnel managers at the smaller institutions indicated that additional staff are still needed. Deerfield has requested a fiscal technician and a clerk, both of whom would provide assistance to the accountant, who has no separate support staff. Marion and St. Brides have requested clerical help, stating the workload is too great for their two-person offices.

Recommendation (17). DOC should perform a detailed task analysis of the personnel departments within the major institutions to assist in developing sensitive workload measures. Particular attention should be paid to the departments which serve the smaller institutions to determine their minimum staffing requirements and the associated cost efficiency of their operations.



Functional Areas for Nonsecurity Staff

MEDICAL SERVICES

Providing adequate medical services to inmates housed in the prisons accounts for a large segment of DOC's nonsecurity personnel. Medical positions constitute approximately 16 percent of all institutional nonsecurity positions.

Each institution has a medical unit that is equipped to accommodate basic medical needs, including performing minor surgical procedures. The department over the past several years, through its central office personnel, has developed a medical services network. The administrator of health services, chief physician, and head nurse all oversee the operation of the health delivery system and assist in the development of DOC's health care policies. These central office personnel have no direct line authority over the operations of institutional medical units or over medical personnel at the institutions.

As a part of its health delivery system, DOC also established regional medical centers at selected institutions that provide services such as minor surgery, orthopedics, and other specialized needs. For health care needs that go beyond the department's capabilities, service arrangements with the Medical College of Virginia or hospitals near each institution are made available to inmates.

Types of Medical Units

Listed in Table 21 are the types of medical units at each institution, the hours of coverage provided daily, and the number of staff assigned to each institution. As indicated, all institutions except four have 24-hour medical coverage. Of the four institutions that provide less than 24-hour coverage, Southampton and Deerfield utilize the medical staff at the YOC for third shift coverage, James River uses the medical facilities at Powhatan Correctional Center, and St. Bride's Correctional Center maintains an on-call level of service for the midnight shift.

Table 21

MEDICAL COVERAGE AND TREATMENT LEVEL
AT THE MAJOR INSTITUTIONS

<u>Type of Medical Unit & Hours of Coverage</u>	<u>Institution</u>	<u>Average Number of Filled Medical Personnel*</u>
Major Infirmary/ 24-Hour Coverage	Penitentiary	32
	Powhatan	35.5
Small Infirmary/ 24-Hour Coverage	Bland	17
	Brunswick	10.5
	Buckingham	11
	Marion	7
	Mecklenburg	12.25
	Nottoway	10
	Staunton	10
	VCCW	8
No Infirmary/ 24-Hour Coverage	YOC	6
No Infirmary/ Less Than 24-Hour Coverage	Deerfield	6.5
	James River	7
	St. Brides	5.5
	Southampton	8
TOTAL		186.25

*These positions include filled positions and contracted positions.

Source: DOC Office of Health Services, PMIS Reports FY 1985.

The Penitentiary and Powhatan house the two regional infirmaries. Inmates transferred to these two medical units normally require more medical care than can be provided at their own institutions.

Types of Positions

DOC employs 186.25 full-time and part-time medical personnel at the major institutions. The types of medical positions include physicians, dentists, nurses, laboratory technicians, and a number of other specialized medical personnel.

Certain medical services are not needed on a regular basis. And, in regions of the State where it is difficult to recruit medical personnel, DOC

usually contracts for those services. JLARC found that physicians, dentists, and nurses are routinely contracted to provide medical coverage at a number of institutions. Table 22 lists the type of medical services that were contracted for during FY 1985 and the number of hours of service provided per month.

Table 22
TOTAL CONTRACTED HOURS FOR MEDICAL SERVICES
FY 1985

<u>Type of Service</u>	<u>Monthly Hours</u>
Nursing Services	720
Physician Services	238
Optometry	101
Orthopedic	34
X-Ray Technician	32
Gynecology	30
Dental	30
Radiology	18
Dermatology	9
Urology	7
TOTAL HOURS PER MONTH	1,219

Source: Contracts, DOC Office of Health Services 1985.

DOC contracted for approximately 1,219 hours of medical services per month during FY 1985. Nurse and physician services accounted for almost 80 percent of the monthly contracted services. The number of hours of contracted services for nurses and physicians can be attributed to DOC's dependence on the use of contractual agreements to assist regular staff for special needs. Specialized services such as gynecology and dermatology consumed fewer monthly hours and reflect contracts that were entered into on an as-needed basis.

Analysis of Medical Services

The review of the appropriateness of medical services positions incorporated several of the criteria outlined in the staffing analysis plan. The criteria that most appropriately measured consistency of medical personnel staffing levels among institutions were: (1) an analysis of staffing variation; (2) the use of overtime; (3) misclassification of personnel; (4) changes in program or mission; and (5) changes in staffing levels. An additional measure of consistency that was used but was not a part of the analysis plan is a comparison of contracted services costs versus personnel services costs.

Medical services were assessed in three separate sub-areas: nursing services, physician services, and dental services. JLARC's review of medical services indicated that dental services staffing at the major institutions appears to be appropriate. Because no changes are recommended in the dental area, only a review of nursing and physician services will be covered in this section.

NURSING SERVICES

Each correctional institution's medical unit has a team of nurses who assist in the operation of the unit by issuing medication to inmates, screening inmates during sick call, and assisting the physicians during examinations and surgery. Typically a nursing team consists of four to eight nurses depending on the size of the medical unit, the amount of coverage, and the size of the inmate population.

In addition to performing the traditional medical functions, most head nurses also act as administrators of the medical units and perform a number of administrative tasks, such as hiring employees, ordering medical supplies, and supervising other medical personnel.

Changes in Staffing Levels

Nursing positions account for over 70 percent of all full-time and part-time medical positions in the major institutions. Table 23 lists those positions and shows the distribution of nursing personnel among institutions. Four institutions, Bland, Mecklenburg, Powhatan, and the Penitentiary, have more nursing positions than the systemwide average of nine positions. The role of the Penitentiary and Powhatan as regional service units accounts for their deviation above the systemwide average.

Bland Correctional Center, located in the southwestern part of the State, has 11 nurse positions. To justify their level of nursing positions, Bland's medical staff stated that they have to provide medical services to inmates at other institutions in that section of the State. Most institutions in that section of the State, however, have their own medical staff, or contract for medical services from private vendors.

Bland's medical files for FY 1985 were reviewed to determine the number of patients served outside of its own general population. The data indicated that few inmates housed outside of Bland received medical services from Bland's medical unit. The frequency of services provided to inmates from other institutions was only incidental and never on a recurring and consistent basis.

The eight field unit superintendents and Marion Correctional Center's warden, all located in the western region, were contacted to determine how frequently they used Bland's medical services. Of the eight field unit superintendents, five indicated they did not use Bland's medical services. Another superintendent stated that a physician from Bland visited his facility two days a week for an hour each day. The other two superintendents stated that they used Bland's medical services on an infrequent basis. Marion has its

Table 23

NUMBER OF NURSING POSITIONS
MAJOR INSTITUTIONS FY 1985

<u>Institutions</u>	<u>Average Number of Filled Positions</u>
Bland	11
Brunswick	8
Buckingham	7
Deerfield	5
James River	6
Marion	6
Mecklenburg	10
Nottoway	7
Penitentiary	20
Powhatan	25
St. Brides	4
Southampton	6
Staunton	8
VCCW	6
YOC	5
TOTAL	134

Source: JLARC interviews with DOC staff, summer 1985 and PMIS Reports.

own medical unit and supplements its medical needs with the medical staff at Southwestern State Hospital.

Analysis of Staffing Variation

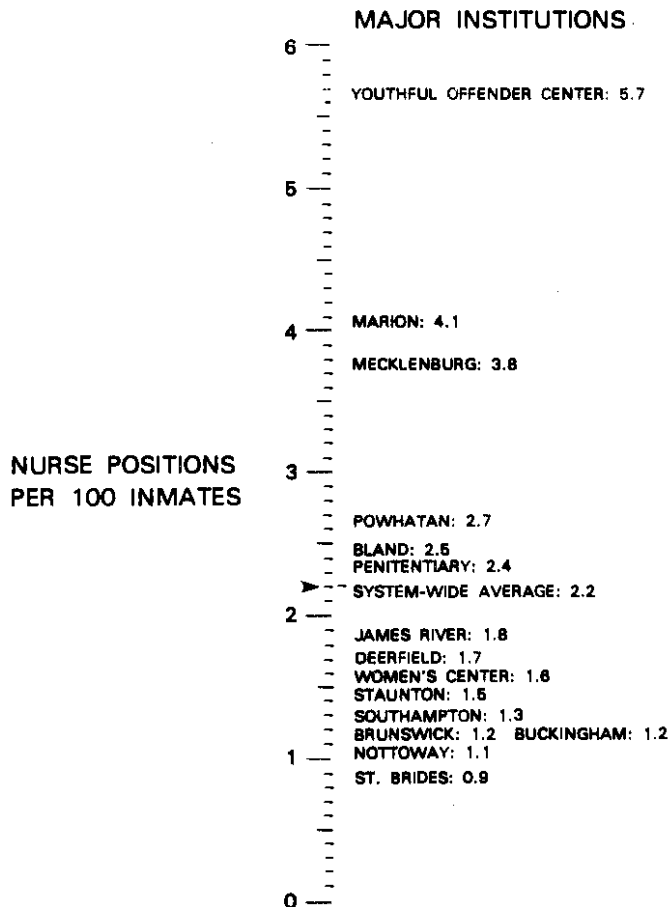
Because inmates are the direct recipients of medical services, the size of an institution's inmate population should have a direct relationship to the workload of its medical unit. Therefore, population levels were used to compare variations in the levels of nursing positions among institutions. The results of these comparisons are shown in Figure 4.

Systemwide there are 2.3 nurse positions for every 100 inmates. Institutions with special missions, such as the YOC, Marion, Mecklenburg, and Powhatan, have in some instances twice as many nurses as the systemwide average; the remaining institutions fall below the systemwide average. The YOC, which has five nurses for less than 100 inmates, is well above the systemwide average.

An additional measure of variation in staffing levels as used by JLARC is shown in Table 24. By comparing three variables -- type of medical

Figure 4

Nurse Positions per 100 Inmates



Source: JLARC analysis of DOC data.

units, size of the population, and number of nurse positions -- consistency in staffing levels could be further analyzed.

As shown in Table 24, the Penitentiary and Powhatan serve the largest populations. Their medical units provide medical services to inmates throughout the system, and they operate 24 hours per day. Powhatan has five more nurse positions than the Penitentiary because it also provides some of the daily medical coverage to the Women's Correctional Center. Powhatan also provides initial physical examinations of all inmates once they enter the Powhatan Reception and Classification Center.

The second category of institutions in Table 24 includes those institutions that provide 24-hour medical coverage. Bland and Mecklenburg Correctional Centers, with 11 and ten nursing positions, respectively, have the most nursing positions of the eight institutions in this category. As discussed in the previous section of this chapter, Bland's large number of nursing positions cannot be justified based on having regional responsibilities.

Table 24

**MEDICAL COVERAGE AND TREATMENT LEVEL
AT THE MAJOR INSTITUTIONS**

<u>Type of Medical Unit & Hours of Coverage</u>	<u>Institution</u>	<u>Average Daily Population</u>	<u>Average Number of Filled Positions</u>
Major Infirmary/ 24-Hour Coverage	Penitentiary	827	20
	Powhatan	923*	25
Infirmary/ 24-Hour Coverage	Bland	446	11
	Brunswick	677	8
	Buckingham	695	7***
	Marion	146	6
	Mecklenburg	260	10
	Nottoway	658	7**
	Staunton	522	8
	VCCW	368	6
No Infirmary/ 24-Hour Coverage	YOC	88	5
No Infirmary/ Less Than 24-Hour Coverage	Deerfield	289	5
	James River	314	6
	St. Brides	429	4
	Southampton	473	6

*Includes Powhatan R & C's average daily population.

**Authorized 8 nurse positions.

***Authorized 9 nurse positions.

Source: DOC Office of Health Administration -- Head Nurse; PMIS Reports
FY 1985.

Bland has almost 40 percent more nurses than the three MSIs, whose potential client populations are almost twice its size. Brunswick's, Nottoway's, and Buckingham's populations are all approaching over 700 inmates.

Staunton Correctional Center, which has 80 more inmates than Bland, has only eight nurse positions. Staunton's inmate population consists of geriatrics and other inmates who require more special medical attention than would be expected from a younger general population of inmates at Bland.

While VCCW receives some support from Powhatan, VCCW's medical unit, as shown in Table 24, provides 24-hour nursing coverage to its inmate population. However, compared with other institutions in that category, VCCW has fewer nursing positions, with six positions for a population of almost 400

inmates. In addition, female inmates have special medical needs, such as gynecological and obstetrical care. There are 17 infirmary beds at VCCW, which is the third largest number in the adult system.

VCCW also uses two P-14 positions to supplement nursing staff. A nursing position was eliminated in 1984, even though the population level at the Women's Center was steadily increasing. Based on the above factors, it seems appropriate to increase VCCW's nursing staff by one position in order to accommodate current work requirements and the increasing population.

Institutions included in the last category of medical service units do not have infirmaries, but provide only general medical coverage. When compared with the other three institutions in this category, St. Brides appears to be the most inconsistently staffed institution. St. Brides' population is the second highest among institutions with no infirmary; however, it has the lowest number of nurses assigned to its medical unit. James River has almost 100 fewer inmates than St. Brides, but has two more nurse positions. James River supplements its staffing by using Powhatan's medical unit when necessary. JLARC also found that St. Brides uses temporary positions, or P-14s, as a substitute for a full-time nurse position.

St. Brides, due to a number of factors that indicate a need for improved medical coverage, should be authorized additional nurse positions. Factors which justify those positions are: (1) the facility is not located close to other DOC medical units; (2) it has a relatively large inmate population compared to other institutions; (3) it has had to use a P-14 position to supplement a full-time nurse position; and (4) it has the fewest number of nursing positions of all institutions. To bring St. Brides to a staffing level consistent with other facilities which have no infirmary and less than 24-hour coverage, two additional nurse positions should be authorized, and the P-14 position in medical services should be discontinued.

Indicated in Table 25 are the recommended systemwide staffing changes for nursing positions. Bland Correctional Center's total nursing positions should be reduced by four positions, from 11 to seven. St. Brides Correctional Center's total nursing positions should be increased from four to six positions. VCCW's total nursing positions should be increased by one position, from six to seven. The net effect of the recommended staffing changes for nursing personnel is the reduction of one position systemwide.

Recommendation (18). DOC should authorize two additional nursing positions at St. Brides and one nurse position at VCCW. DOC should reduce nursing positions at Bland Correctional Center by four and eliminate the P-14 nursing position at St. Brides.

Use of Morbidity Reports

DOC's medical units use morbidity reports to record data on several aspects of medical transactions. These reports summarize the amount of work each medical unit handles in a month, the number of patient visits, and other patient treatment information. The data contained in these reports could offer DOC good measures for determining workload of nursing personnel. By

Table 25

RECOMMENDED CHANGES TO NURSING STAFF LEVELS¹

<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Recommended Staffing Changes</u>
Bland	11	-4
St. Brides	4	+2
VCCW	<u>6</u>	<u>+1</u>
TOTAL	21	-1

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC interviews with DOC staff, summer 1985.

comparing the number of nursing positions with the number of patient visits, DOC could develop standards to measure workload systemwide.

However, the morbidity reports showed numerous deficiencies in the data. There were no standard definitions of what constituted a patient visit, and there was inconsistency in submission of reports by institutional personnel. Medical personnel did not use these reports for management purposes. Indeed, medical personnel at one institution had not even submitted morbidity reports for FY 1985. DOC's Administrator of Health Services indicated that the morbidity reports contained measurement errors and that the data in the reports could not be used as accurate measures of workload.

While the morbidity reports in their present state could not be used to establish workload measures because of the data errors, these reports could be useful data sources if DOC established uniform reporting procedures. DOC should standardize reporting procedures and establish uniform definitions for patient care and treatment data included in the reports.

Recommendation (19). DOC should establish procedures to improve its medical information reporting system by standardizing the methods by which data are recorded in the morbidity reports.

PHYSICIAN SERVICES

As part of DOC's medical system, each institution has physician services available to its inmates. After being screened initially by a nurse, inmates are then referred to a physician for immediate care.

Generally, the type of physicians working in DOC facilities are non-specialists such as general or family practitioners. Systemwide, more specialized levels of medical care are often needed, and the department has assigned specialists to some of the medical units. For example, the Women's Center contracts for a gynecologist; the Penitentiary and Powhatan make arrangements for orthopedic specialists; and the Penitentiary, Powhatan, and Bland have surgeons who perform minor surgery on inmates.

The surgeons at the Penitentiary and Powhatan perform minor surgery for inmates from other institutions. The Penitentiary also has set up a series of special clinics in orthopedics, dermatology, and urology that provide coverage for the entire DOC system. Referrals and appointments are made from each institution, and the inmates are transported to the Penitentiary for treatment. If temporary convalescence is required, the Penitentiary has a ward to accommodate that need, and the inmate can stay until well enough to return to his own facility.

Current Staffing

The practice of employing physicians is carried out in two ways, either direct hiring as a DOC employee or contracting for services. Contracted physicians come to the institutions according to agreed-upon terms.

JLARC found that most of the physicians are employed by DOC as classified employees. Of the 2,883 total physician hours paid each month (this is equivalent to approximately 18 full-time physicians), 2,560 hours are attributable to classified DOC employees. The remaining 10 percent (323 hours) are attributable to private contractors.

Institutions that contract for physicians use fewer physician hours per month than those that use regular employees. The seven institutions that employ physicians average 200 hours per month. The five institutions that contract for physician services average 55 hours per month, a difference of 145 hours per month. Three institutions use a combination of both types of physician services.

Comparing the three MSIs (Buckingham, Brunswick, and Nottoway) only Buckingham employs a full-time physician -- equal to 160 hours per month. Brunswick and Nottoway each contract for physician services, Nottoway for 85 hours and Brunswick for 40 hours. Since each institution serves very similar populations in terms of number and type of inmates, the cost of services at Brunswick and Nottoway suggests a more efficient method for providing services. In all cases reviewed, contracting results in fewer hours than employing a full-time physician.

Analysis of Staffing Variations

Physician staffing differs across the major institutions. Allocated physician hours range from 30 per month at VCCW to 720 at Powhatan. The institutions with the largest number of hours are Powhatan (720) and the Penitentiary (526). Having infirmaries, both institutions have special medical missions that distinguish them from the other institutions.

Bland has the next largest number of allocated physician hours, with 480 per month. Bland has three full-time physicians to staff its medical infirmary. However, its mission as a statewide or regional medical facility has not materialized. Bland's location, in the southwest corner of Virginia, separates it from most of the State's correctional institutions. Marion is the only major institution nearby and is able to handle most of its own medical needs. Most of the remaining facilities in the western part of the state -- eight field units -- are inconvenient to Bland and are not a regular part of Bland's workload. Thus, Bland's infirmary amounts to a well developed institutional infirmary without a strong regional or statewide medical mission.

By adjusting physician hours to reflect the primary service populations of each institution's medical staff, further variation in the staffing patterns can be seen. Figure 5 illustrates the monthly number of physician hours per 100 inmates. Bland is the most heavily staffed institution, allocating about 108 physician hours per 100 inmates. This is 38 percent more than Powhatan, at 78 physician hours per 100 inmates. Powhatan and the Penitentiary's available physician hours do not reflect the true populations they serve, because many institutions send them inmates for medical treatment who are not included in this workload measure.

At the other end of the range are Brunswick with six hours per 100 inmates and St. Brides with 10 hours. Both of these institutions contract for physician services which as shown above generally results in fewer hours than the use of full-time salaried positions.

Based on the number of physician hours available to inmates and accounting for differences in the population levels of each institution, JLARC staff found that Bland Correctional Center is the most heavily staffed institution in the system. Its level of staffing is 38 percent higher than the next highest institution. This level is even greater than the two institutions with statewide medical missions, the Penitentiary and Powhatan.

Costs of Physician Services

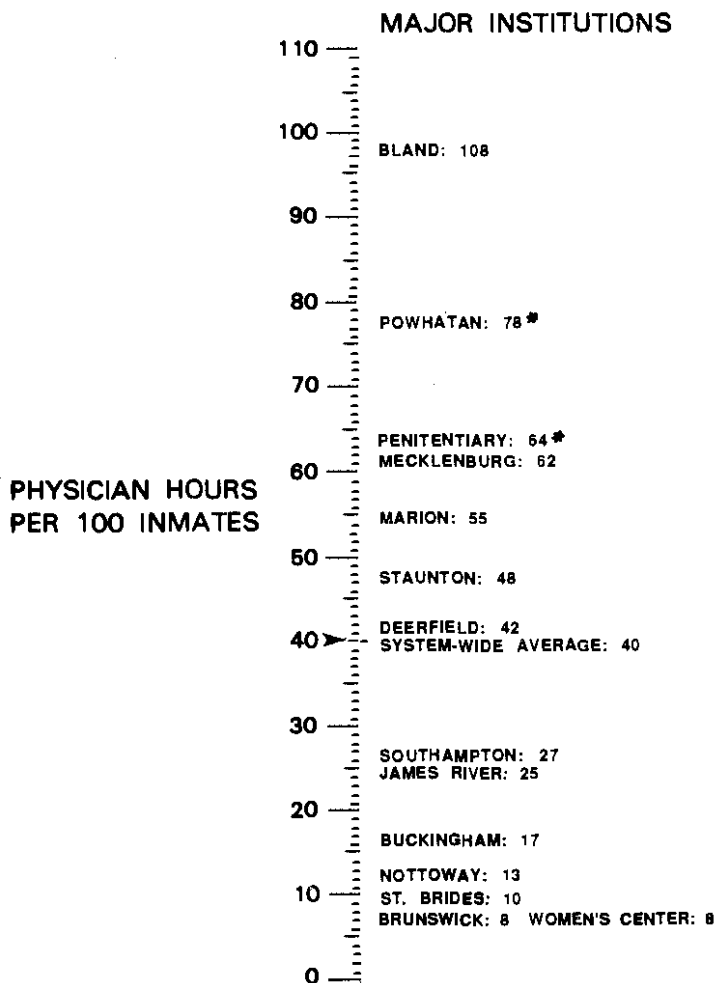
The amount of the contracts and the number of physician hours are arranged and negotiated separately by each institution. Because of this variation, physician resources available at each institution are difficult to judge without first examining the financial commitment each institution makes. Information was collected on amounts paid to all physicians, employed or contracted. The data were analyzed to compare actual costs.

The monthly averages are listed in Table 26. The figures include salaries of physicians and the costs for contracted services. The data does not include other related costs, such as costs for emergency room treatment for inmates when physicians are not available or the transportation costs of taking inmates to other medical facilities.

The largest expenditures were at the Penitentiary and Powhatan, which spent approximately \$22,000 and \$27,000 per month, respectively, for physician coverage during FY 1985. St. Brides spent the least, at \$1,470 per month.

Figure 5

Physician Hours per 100 Inmates



*Also serve other populations

Source: DOC Office of Health Administration.

Figure 6 compares, by institution, the average monthly costs for physicians on a per-inmate basis. On this basis, Bland spends the largest amount on physicians, approximately 33 percent more than Powhatan. Bland, with approximately the same population size as Staunton, has twice the number of physicians and more than twice the average monthly expenditures per inmate.

Five of the six institutions with the lowest expenditures per inmate -- Brunswick, James River, Nottoway, St. Brides, and VCCW -- contract for physician services. As shown in Table 26, none of the institutions that contracted were among the highest in costs per inmate. The lowest expenditures were paid by St. Brides -- approximately \$3 per inmate each month. Furthermore, the average contract expense was \$2600 per month, while the average monthly cost for a physician employee was \$7300. Based on the data used in this analysis, institutions using contracted services spent less than

Table 26

MONTHLY COSTS FOR PHYSICIANS
MAJOR INSTITUTIONS

<u>Institutions</u>	<u>Contract or/ DOC Employee</u>	<u>Monthly Cost</u>
Bland	DOC Employee	\$17,952
Powhatan*	Both	\$27,230
Penitentiary	Both	\$21,651
Marion	DOC Employee	\$ 3,356
Staunton	DOC Employee	\$ 8,669
Mecklenburg	DOC Employee	\$ 3,998
Deerfield**	DOC Employee	\$ 5,060
Southampton***	DOC Employee	\$ 5,984
Buckingham	DOC Employee	\$ 5,984
James River	Contract	\$ 2,314
VCCW	Contract	\$ 2,065
Nottoway	Contract	\$ 3,825
Brunswick	Contract	\$ 3,200
St. Brides	Contract	\$ 1,470
AVERAGE		\$10,167

*Includes Powhatan R & C.

**Includes YOC.

***Includes Southampton R & C.

Source: DOC Office of Health Administration; DOC Employee Relations Unit;
Major Institutions.

institutions that employed physicians. One explanation for this result may be that many of the physicians employed by DOC are not working the number of hours they are paid to work.

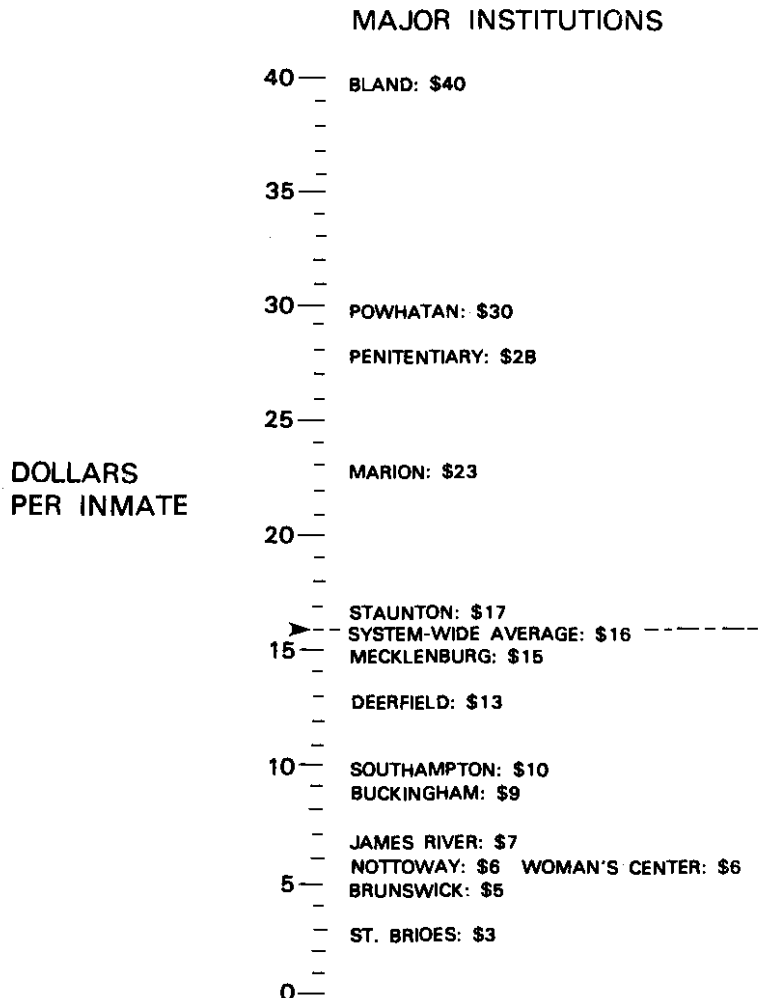
Medical Staff's Working Hours

In FY 1985, DOC employed 15 full-time physicians and seven full-time dentists at the major institutions. Seven part-time physicians and nine part-time dentists were also employed. In addition, DOC contracted with nine physicians and two dentists to provide medical services at the major institutions.

During FY 1985, DOC spent over \$1,780,000 to employ full- and part-time physicians and dentists at the major institutions. Also during FY 1985, DOC spent \$244,000 contracting physicians and dentists at the major

Figure 6

Average Monthly Physician Cost per Inmate



Source: JLARC analysis of DOC data.

institutions. Field units also contracted for services with local physicians and dentists.

DOC personnel indicated that they had difficulties employing physicians, primarily because of the remoteness of the adult facilities and the salaries paid by other local medical facilities. Even in the urban areas, where there were a large number of physicians, institutional staff indicated that they had to compete with other local medical facilities that offered better salaries and working conditions.

Institutional personnel have allowed doctors and dentists to work fewer hours as an incentive for employment. At most institutions, full- and part-time physicians and dentists did not always work the 40 required hours

each week. In some cases full-time physicians and dentists were paid for 40 hours of work, but only worked the equivalent of a half-time employee. Part-time physicians and dentists, paid to work 20 hours per week, also typically worked fewer hours. A partial explanation for this, given by DOC, was that physicians have been allowed to work 30 hours (full time) and 15 hours (half time) as an incentive to employment.

Several wardens indicated that if they could not continue to offer such incentives, some physicians would terminate their employment. However, the State Department of Personnel and Training's Rule 9, on hours of work and employee attendance, defines the work hours for full-time employees. The Policy requires all full-time employees to work at least 40 hours per week. Section 9.5 of Rule 9 also states that no employee shall engage in any other employment outside of State services in any private business, or profession during the hours of State employment.

As Table 27 indicates, for example, Bland Correctional Center employed three full-time physicians and a full-time dentist. Full-time employees are paid for a 40-hour work week. Based on 1,960 available hours per year (adjusted) for a FTE, the four physicians should have had combined hours for FY 1985 of 7,840 hours. Collectively, however, the four staffed members worked only 5,720 hours, or the equivalent of a three-quarter-time FTE each. Had these four employees been paid salaries based on their actual hours worked, DOC would have paid approximately \$198,896; instead DOC paid \$266,842.

Based on an analysis of actual work schedules for all physicians and dentists employed at nine institutions by DOC during FY 1985, the value of the hours not worked was \$505,990. Some institutions were not able to provide accurate data on actual work schedules for physicians and dentists, and those figures therefore were not included in the analysis.

Comparison with DMHMR

Like DOC, the Department of Mental Health and Mental Retardation uses physicians at all of its treatment facilities. Likewise, the number of physicians at DMHMR facilities varies according to the mission and the size of the facility. Some DMHMR facilities have two physicians, while one facility has as many as 21 physicians. DMHMR personnel indicated that they also experience difficulties when recruiting physicians and other highly skilled medical personnel. However, all staff, including medical personnel, are said to be required to work the number of hours they were hired to work each week.

To assist in its recruitment of professional staff, DMHMR requested increases in the pay grades for all classified physician positions, which were subsequently approved. As shown in Table 28, DMHMR physicians are now predominantly in the higher Mental Health Physician B and C classifications which receive higher compensation.

Table 27

AVAILABLE VERSUS WORKED HOURS
FOR PHYSICIANS AND DENTISTS
FY 1985

<u>Institution</u>	<u>Number of Filled Positions</u>	<u>Hours Available</u>	<u>Hours Worked</u>	<u>Net Difference</u>	<u>Value of Hours Not Worked</u>
Bland	4	7,840	5,720	2,120	\$67,946
Deerfield	2	2,940	1,848	1,092	25,596
Mecklenburg	2	2,450	1,349	1,101	30,291
Nottoway	1	1,470	1,080	390	9,633
Penitentiary	6	9,800	5,850	3,950	114,708
Powhatan	9	12,740	7,987	4,753	154,870
St. Brides	1	980	854	126	2,293
Southampton	2	3,920	1,362.5	2,557.5	74,122
YOC	<u>1</u>	<u>1,960</u>	<u>743</u>	<u>1,217</u>	<u>26,531</u>
TOTAL	28	44,100	26,794	17,307	\$505,990

Source: Wardens' Response to JLARC Request; DOC Employee Relations Unit, 1985; Consultation with DOC Staff, June-July 1986.

Table 28

COMPARISON OF PHYSICIAN POSITIONS IN DOC AND DMHMR

	<u>DOC</u>	<u>DMHMR</u>	<u>Pay Grade</u>	<u>Pay Range</u>	<u>No. Positions</u>	
					<u>DOC</u>	<u>DMHMR</u>
Physician	x		20	\$46,679-\$63,760	16	0
Mnt.Hlth.Phy. A	x	x	21	\$51,024-\$69,698	1	6
Mnt.Hlth.Phy. B	x	x	22	\$55,788-\$76,198	0	62
Mnt.Hlth.Phy. C	x	x	23	\$60,981-\$83,296	<u>2</u>	<u>77</u>
TOTAL					19	145

Source: DOC PMIS Reports and DMHMR Interview.

Assessing Actual Medical Staff Needs

The current practice of allowing some medical personnel to work fewer hours than required is against DOC and State personnel policies. Institutional personnel have permitted physicians to establish work schedules that allow them to maintain private practices.

During JLARC staff's interviews with wardens and medical unit supervisors, each was asked whether medical staffing was adequate. None of the respondents indicated a need for additional physicians or dentists. The lack of identified need for additional physicians and the fact that these staff were available less than the required time raises concerns of whether the current staffing levels of physicians and dentists are necessary.

A number of serious problems are evident in DOC's management of physician services. Across the board, use of full-time and part-time physicians appears to be more expensive and less efficient. Further, DOC managers appear to feel that they can retain physician services only by paying for time that is not actually worked. Prompt attention to these problems is necessary.

Recommendation (20). The Department of Corrections should comply with State personnel policies and should develop systemwide standards for work hours. The Department of Corrections and the Department of Personnel and Training should investigate the practice of paying physicians and dentists for hours not worked and develop procedures to prevent reoccurrence of the practice in the future.

Recommendation (21). The Department of Corrections and the Department of Personnel and Training should move towards the privatization (contracting) of physician and dental services where it is feasible and economical.

Recommendation (22). The number of full-time physicians at Bland should be reduced from three to two.

CONCLUSION

Nursing services are generally provided by full-time, salaried personnel. The number of nursing positions is directly related to the types of services provided at each institution. Institutions with more extensive medical coverage have the largest nursing staffs. Staffing adjustments were recommended at four institutions to provide for more consistent staffing among facilities. The net effect of these staffing changes for nursing personnel is the reduction of one position systemwide.

As part of DOC's medical system, each institution has physicians available to inmates. Physicians are either full-time employees or they are contracted. Contracting for physician services appears to offer a more cost-efficient method for providing physician services.

DOC has experienced some difficulties in recruiting physicians. To attract physicians, DOC has often allowed them to establish flexible working

arrangements. However, a number of physicians did not work all the hours they were paid to work. This raises questions about the need for the current staffing levels.

At Bland the number of physicians is not appropriate and should be reduced from three to two.

The effects of all the staffing recommendations in the medical area are shown in Table 29.

Table 29

RECOMMENDED CHANGES IN MEDICAL STAFF*¹

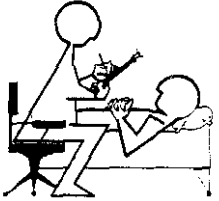
<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Recommended Staffing Changes</u>
Bland	17.0	-5
St. Brides	5.5 ²	+2
VCCW	8.0 ²	+1
TOTAL	30.5	-2

*Contracted services are not included in this table.

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

²Includes P-14 positions.

Source: JLARC staff.



Functional Areas for Nonsecurity Staff

TREATMENT PROGRAMS

Treatment services for inmates in adult facilities began as early as the mid 1950s, when the Department of Corrections employed one psychologist at the Penitentiary to provide psychological services to all inmates in the adult system. During the 1970s, when DOC began to place greater emphasis on inmate rehabilitation programs, additional psychologist positions at other institutions were established. By FY 1985, the number of psychologists had increased to 25 positions.

Rehabilitation counselors, who provide counseling services to inmates, were first assigned to adult institutions in the 1960s. Assigning counselors to Virginia's adult facilities paralleled a nationwide trend of rehabilitating inmates as a means of reducing the recidivism rate. In subsequent years, additional counselor positions were established. By FY 1985, 105 rehabilitation positions existed throughout the system. In 1975 DOC established the lay counselor position, which was funded through a federal grant aimed at increasing inmate rehabilitation services. Lay counselor positions were intended to supplement the services provided by rehabilitation counselors and were filled primarily by former security personnel. DOC decided to phase out the lay counselor positions during FY 1984.

While all adult institutions have some form of treatment program, the types and levels of services they provide vary among facilities. The types of treatment services provided by DOC personnel can be organized into three categories:

- (1) a unified treatment program incorporating case management, counseling, and group activities;
- (2) psychological testing, evaluation, and therapy; and
- (3) recreational activities and programs.

The JLARC staff's analysis of the appropriateness of the staffing level of treatment program personnel included six of the nine criteria in the staffing analysis plan. The six criteria used were:

- (1) Change in population or mission
- (2) Changes in staffing levels
- (4) Analysis of staffing variation
- (4) Regression analysis
- (5) Misclassification
- (6) Interviews with institutional managers

Treatment services personnel are addressed in the following three sections: (1) general counseling, (2) mental health services, and (3) recreation programs.

GENERAL COUNSELING SERVICES

The amount of staff dedicated to general counseling is adequate for about half of DOC's institutions. The number of counselors at several institutions should be increased. Counseling personnel are responsible for treatment plan development and for on-going case management. Counseling personnel also monitor inmates' progress on work assignments and educational programs, sponsor inmate group programs, and counsel inmates on an individual basis. DOC policy requires counselors to have a formal counseling session with each inmate at least once a month. There may be more frequent contact by counselors on an informal basis.

Current Staffing

At most institutions a Treatment Program Supervisor (TPS) oversees the counseling program, with rehabilitation counselors providing counseling services to inmates. One institution has a rehabilitation supervisor who performs the duties of a TPS. The supervisor also provides administrative as well as clinical supervision to the counselors.

Table 30 shows the distribution of the 136 counseling positions throughout the adult system and the number of staff for each type of classified position. The number of rehabilitation counselors per institution ranges from three at YOC to 12 counselors at Staunton. All institutions except VCCW have a TPS. Nine institutions have counselor supervisors. Three institutions still have lay counselor positions, which are most often used to perform institutional duties not directly related to counseling.

Treatment Program Supervisor. Persons in this position are responsible for overseeing treatment programs and counseling services, coordinating the classification process, and working with other institutional staff on developing vocational programs for inmates.

Rehabilitation Supervisor. The responsibilities of this position include: coordinating counseling services, supervising counseling staff, counseling difficult inmate cases, training new staff, advising counselors on case management, and some counseling of inmates.

Table 30

AVERAGE NUMBER OF FILLED
GENERAL COUNSELING STAFF IN THE MAJOR INSTITUTIONS
Fiscal Year 1985

<u>Facility</u>	<u>TPS</u>	<u>Rehabilitation Supervisor</u>	<u>Rehabilitation Counselor</u>	<u>Lay Counselor</u>	<u>Total</u>
Bland	1	0	6	0	7
Brunswick	1	1	9	1	12
Buckingham	1	1	9	0	11
Deerfield	1	0	4	0	5
James River	1	0	5	0	6
Marion	1	0	5*	0	6
Mecklenburg	1	0	6	2	9
Nottoway	1	1	9	0	11
Penitentiary	1	1	11	0	13
Powhatan	1	1	10	2	14
St. Brides	1	1	7	0	9
Southampton	1	1	8	0	10
Staunton	1	1	12	0	14
VCCW	0	1	7	0	8
YOC	<u>1</u>	<u>0</u>	<u>3</u>	<u>0</u>	<u>4</u>
TOTAL	14	9	111	5	139

*Includes four new counselor positions established during FY 1985.

Source: PMIS Reports, FY 1985 and JLARC staff interviews with Treatment Program Supervisors, 1985.

Rehabilitation Counselors. Counselors coordinate the development of inmate treatment plans; help inmates select specific vocational, educational, and work activities; provide individual and group counseling; and represent inmates in custody classification and parole hearings.

Lay Counselors. Three institutions still have lay counselor positions. These personnel most often perform administrative duties rather than counseling services. For example, the TPS at Brunswick stated that the lay counselor assisted in program development, and the TPS at Mecklenburg reported that one of the two lay counselors there was the ICC coordinator while the other lay counselor carried out the duties of a rehabilitation counselor. At Powhatan Correctional Center one of the two lay counselors at the institution is the operations officer, while the other is a grievance coordinator. Since DOC has systematically eliminated lay counselor positions at all other facilities and the existing positions are not being used as originally intended, it appears to be inappropriate to continue funding these positions.

Recommendation (23). DOC should abolish the lay counselor positions at Brunswick, Mecklenburg, and Powhatan and reassign their duties to more appropriate personnel.

Changes in Mission and Programs

During the past year DOC made some changes in the missions and programs of several institutions. These changes had an impact on counseling services. DOC's plans to revamp its mental health services system have had the most impact on counseling staff. As a part of an overall effort to identify and treat emotionally disturbed and mentally ill inmates, DOC developed a Mental Health Services Plan. As designed, the plan attempts to meet the mental health needs of the service population by:

- (1) developing several levels of services at different institutions,
- (2) centralizing in-patient services at Marion Correctional Treatment Center,
- (3) offering transitional services at selected satellite institutions, and
- (4) designating Powhatan Correctional Center's medical facility for short-term hospitalization.

At some institutions, DOC increased the number of counselor positions. At Marion and Staunton, for example, new counseling positions have been established. Inmates are assigned to particular counselors according to their needs, and those counselors are used to supplement therapeutic services provided by psychologists and social workers. The counselors are thereby included in a coordinated treatment plan for each inmate.

Increases in the inmate population have resulted in increased counseling and case management workload for counselors. Because of the workload increases, some counseling staff indicate that they have reduced or eliminated group programs. Most counseling personnel indicated that current staffing levels were inadequate and that they were unable to provide anything more than case management services.

Changes in Staffing Levels

During the past five years, wardens have requested 41 additional counseling positions. During that same period, DOC deleted a number of counseling positions as a result of systemwide staffing reductions.

Table 31 shows the changes that have occurred in counseling staff between FY 1981 and FY 1985. Ten counseling positions were added during the five-year period, most of them at Staunton Correctional Center. During that same period, 47 counseling positions were deleted. All institutions except James River and YOC lost counseling positions.

The abolished positions consisted primarily of lay counselors, rehabilitation counselors, and rehabilitation supervisors. Institutional staff

Table 31

COUNSELING STAFF CHANGES
Fiscal Years 1981-1985

<u>Facility</u>	<u>Wardens' Requests</u>	<u>Positions Deleted</u>	<u>Positions Added</u>	<u>Net Change</u>
Bland	3	2	0	-2
Brunswick	5	3	0	-3
Buckingham	2	2	0	-2
Deerfield	0	2	0	-2
James River	0	0	0	0
Marion	4	1	0	-1
Mecklenburg	3	2	0	-2
Nottoway	0	3	1	-2
Penitentiary	5	10	2	-8
Powhatan	2	13	0	-13
St. Brides	8	1	0	-1
Southampton	1	5	1	-4
Staunton	8	2	6	+4
VCCW	0	1	0	-1
YOC	0	0	0	0
TOTAL	41	47	10	-37

Source: DOC central office and JLARC data request to Wardens.

indicated that these reductions increased counselors' workloads. The result of these staffing changes was a net loss of 37 counseling positions.

Analysis of Staffing Variation

To determine an appropriate level of general counseling staff, JLARC staff utilized a number of factors that measured system-wide staffing variations. These factors included inmate-to-counselor ratios and requests by wardens for additional staff.

Counseling Ratios. Considerable variation exists in the number of counseling positions assigned to each facility. As Table 32 indicates, the systemwide ratio of inmates to counselors is 58:1. This ratio ranges from a low of 29 inmates per counselor at YOC and Marion to a high of 74 inmates per counselor at Bland. The American Correctional Association suggests a counseling ratio of approximately 50:1, depending on the size and type of institution.

Table 32

GENERAL COUNSELING STAFF AND
INMATE POPULATION IN THE MAJOR INSTITUTIONS
FY 1985

<u>Facility</u>	<u>Average Daily Inmate Population</u>	<u>Average Filled Counseling Positions¹</u>	<u>Inmates per Counselor</u>
Bland	446	6	74
Brunswick	677	10	68
Buckingham	695	10	70
Deerfield	289	4	72
James River	314	5	63
Marion	146	5*	29
Mecklenburg	301**	6	50
Nottoway	658	10	66
Penitentiary	827	12	69
Powhatan	686	11	62
St. Brides	429	8	54
Southampton	473	9	53
Staunton	522	13	40
VCCW	368	8	46
YOC	88	3	29
TOTAL	6,919	120	58

¹Includes only rehabilitation supervisors and rehabilitation counselors.

*Includes 4 new counselor positions established during FY 1986.

**June 1985 population.

Source: PMIS Reports, JLARC staff interviews with TPS, and Population Summaries FY 1985.

Requests for Additional Positions. During interviews, most treatment program supervisors indicated that they needed additional counselors. They also indicated a need to increase the amount of time spent counseling inmates. Conversely, they wanted to spend less time on case management.

Treatment program supervisors also indicated that counselors spend a significant amount of time on case management. Consequently, inmate counseling is either not done or counselors fit it into their schedules when possible. The following case example is illustrative of this problem:

The assistant warden for programs at Southampton indicated that 60 to 70 percent of the counselors' time is spent doing case management. Forty inmates participated in group counseling programs for sex offenders, yet approximately 200 inmates were incarcerated at Southampton for sex offenses. The assistant warden indicated that all sex offenders should be in the sex offender program, but they simply do not have the staff to manage a larger program.

While institutional staff almost universally indicated a need for more counseling positions, most were not able to document how they measured this need. In fact, treatment supervisors generally could not cite any caseload standards that they apply, nor were they aware of any formal workload measures that are currently being utilized in counseling services.

The American Correctional Association (ACA) identifies staffing guidelines for case managers and counselors in its 1983 publication, Design Guide For Secure Adult Correctional Facilities. These guidelines were developed by the Federal Bureau of Prisons for its facilities and are considered by the ACA to be a generally applicable reference for staffing levels in most correctional systems. The ACA standards suggest two counselors and one case manager for general population units of 100 inmates, or three counselors and two case managers for general population units of 200 inmates. Standards for specialized facilities, such as those with a mental health mission, call for slightly more personnel.

The extent of inmate counseling needs relates to the personal characteristics of the inmates. For example, inmates with special emotional or behavioral problems may require more intensive counseling. These types of needs are difficult to identify and more difficult to quantify. In terms of inmate needs, DOC has attempted to systematically identify some characteristics of the inmate population and to assign them to particular institutions on that basis. DOC should further develop its methods for identifying the mental health demographics of the prison population, however.

DOC's inmate treatment planning process has the capability to measure and assess special inmate populations. The Department should make use of its inmate records and treatment plans that already outline inmate and counselor activities in order to build a quantifiable database for statistical purposes. DOC could then present needs assessment summaries or other data that could be used to determine counseling staffing needs.

Recommendation (24). DOC should evaluate and standardize data collected on the Basic Treatment Plan and the Inmate Treatment Plan forms in order to assess what portion of the population have identifiable counseling and therapeutic program needs.

Regression Analysis

The JLARC staff's regression analysis of staffing in the general counseling functional area employed a number of variables. Of these variables, average daily population was the strongest predictor of staffing size.

As shown in Figure 7, Staunton was above the accepted staffing range and Marion was below the range. Marion's staffing level, however, was recently adjusted when four counselor positions were added for FY 1986 as part of the department's mental health system plan. Therefore, no additional positions are recommended for Marion.

Staunton's staffing level partially results from the Department's decision to staff the institution's counseling services to accommodate its unique inmate population. According to the acting warden and the rehabilitation supervisor, Staunton's inmate population, which includes inmates with developmental disabilities, mental illness, advanced age, and histories of substance abuse, have counseling or case management needs that are more intensive than at other institutions.

Despite the relative consistency in staffing among most institutions, as revealed by the regression analysis, it was evident to JLARC staff through interviews that counselors did have to contend with heavy case management responsibilities that prevented them from offering well developed counseling services. In some institutions additional positions would reduce caseload size to a manageable number that could also build in additional counseling time. Increasing the number of counselors in some facilities seems warranted based on the ACA standards for general population units and on the equitable distribution of counseling workloads at general population facilities.

The ACA guidelines distinguish between standards for case management services and counseling services. DOC counselors are expected to provide both case management and counseling services to inmates as part of their caseloads. Even if the Department does not intend for counselors to provide therapy for every inmate, and there is no indication that they should, the ACA standards still provide helpful guidelines for staffing levels that should allow more counseling time than is currently provided in Virginia's prisons.

DOC has increased counseling staff at its special purpose facilities, which include Marion, Staunton, and YOC. Counseling levels should also be increased at the general population facilities in order to increase counseling, as opposed to case management services. Strict adherence to the ACA standards does not appear appropriate, since the department has not sought to provide differentiated case management or counseling services or even promulgated caseload standards of its own. The department should, however, decrease caseload size to a range of 45-55 inmates per counselor and, as recommended earlier, immediately begin to assess the counseling needs of its inmate population.

Table 33 shows the recommended additional counselor positions at eight institutions which exceeded the recommended staffing range.

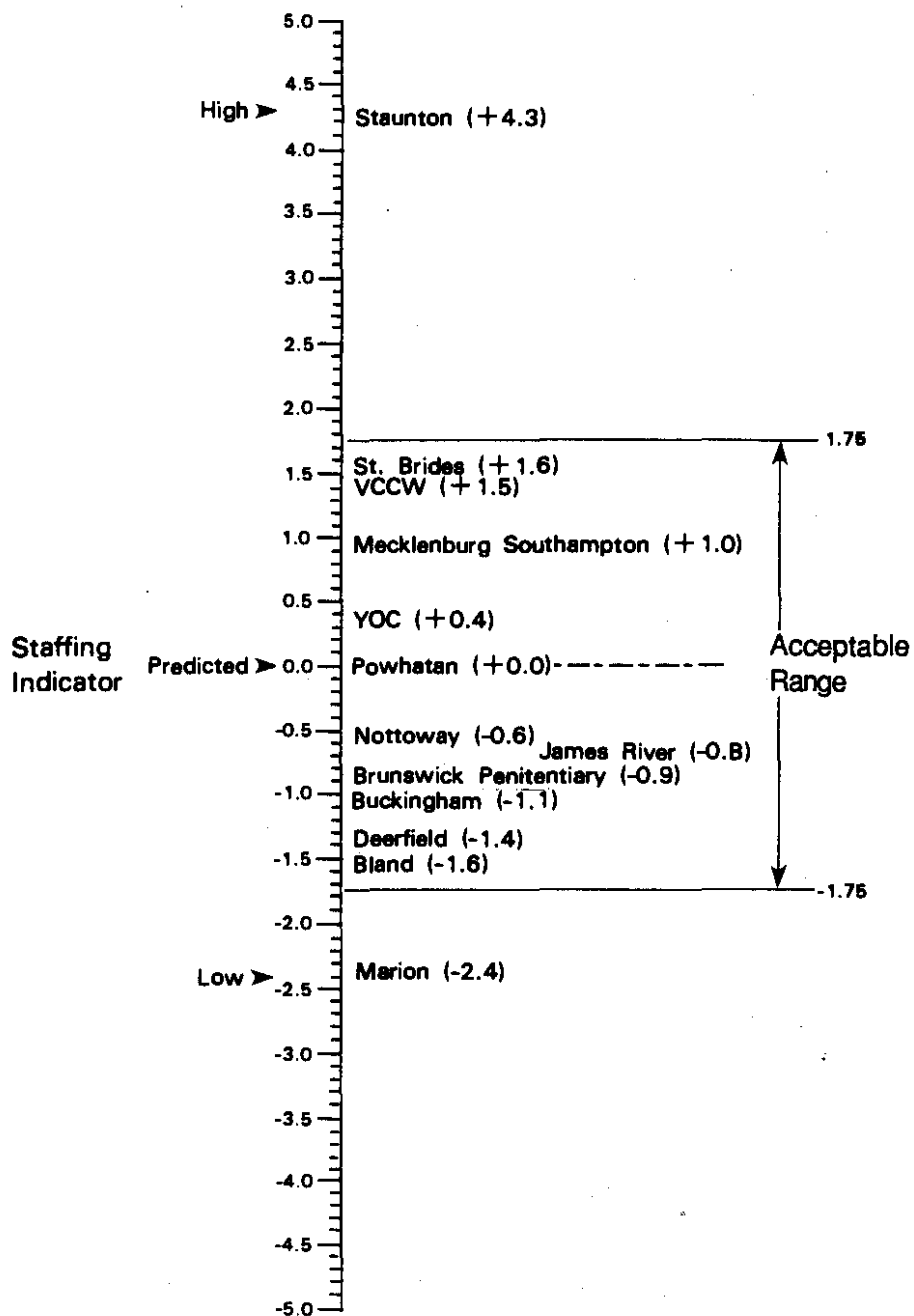
Recommendation (25). DOC should establish a total of 18 additional counseling positions in eight institutions.

Misclassification

JLARC staff found two instances -- at Bland and St. Brides -- of corrections officers being used to perform the duties of counseling staff. At

Figure 7

General Counseling (regression analysis)



Source: JLARC regression analysis.

Table 33

RECOMMENDED CHANGES IN COUNSELING POSITIONS
DOC MAJOR INSTITUTIONS¹

<u>Facility</u>	<u>Average Number of Filled Positions*</u>	<u>Recommended Number of Counselors*</u>	<u>Recommended Counseling Ratio</u>	<u>Recommended Increases</u>
Bland	6	8	55:1	2
Brunswick	10	13	52:1	3
Buckingham	10	13	53:1	3
Deerfield	4	6	48:1	2
James River	5	6	52:1	1
Nottoway	10	12	55:1	2
Penitentiary	12	15	55:1	3
Powhatan	11	13	52:1	<u>2</u>
TOTAL INCREASE				18

*Includes supervisors.

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis.

the time of the review, Bland had an officer who had been assigned as a counselor for over six months. St. Brides had a corrections officer counseling inmates housed in segregation and isolation units. The officer at St. Brides was also required to perform security duties one day per week.

In each of these cases, allowing corrections officers to perform counseling duties is an inappropriate use of staff resources. Counselors, according to DOC's job description, are required to have knowledge and experience in individual and group therapy and at least a bachelor of science degree. These qualifications exceed those required of corrections officers and raise questions about the quality of counseling services being provided by those officers. Using security staff to perform nonsecurity duties is generally inappropriate and should be discontinued.

Recommendation (26). DOC should discontinue the practice of using corrections officers as counselors at Bland and St. Brides correctional centers.

MENTAL HEALTH SERVICES

Providing mental health services to inmates housed in DOC's correctional institutions has been an ongoing issue for several years. A number of legislative and departmental studies found the need to improve mental health services to mentally ill inmates in the major institutions.

Most recently, in 1984, a DOC/DMHMR task force identified critical mental health needs of DOC's prison population. The task force recommended improving mental health services and recommended additional mental health staff. The General Assembly approved approximately 40 new mental health positions during the 1985 session.

At the end of FY 1985, DOC began implementing its mental health delivery system at five major institutions. As a part of this plan, DOC is also seeking licensure of Marion Correctional Treatment Center as a psychiatric hospital. DOC has been increasing Marion's treatment staff in order to meet the licensing requirements of the State Department of Mental Health and Mental Retardation.

The other four institutions are also in the process of receiving, or have already received, additional staff to carry out their expanded programs. DOC has designated Powhatan Correctional Center to provide hospitalization for inmates with acute psychiatric conditions. Staunton's mental health unit has been designated for chronic mentally ill "A" and "B" custody inmates or for inmates transferring either to or from Marion. Mecklenburg has a small intermediate unit, and the Penitentiary will have a larger intermediate unit once building renovations are completed.

Current Staffing

Most institutions have one to two psychologists as the primary mental health services staff. Psychologists test and evaluate inmates and provide individual and group therapy. Most facilities also contract with psychiatrists to supplement institutional mental health services by providing part-time consultation for clinical diagnosis of inmate cases, prescribing medications, and monitoring cases where drug therapy is indicated.

Altogether, there were 44 mental health staff positions in the major institutions in FY 1985: 25 psychologists, six social workers, four mental health physicians, and nine others such as psychiatric nurses and aides. Marion has the largest number of mental health positions because of its special mission as a correctional treatment center. The Penitentiary, Powhatan, and Staunton also had their roles expanded and received additional mental health positions.

Changes in Staffing Levels

Overall, before FY 1985, there were few changes in mental health staffing levels. During the 1985 session of the General Assembly, however, significant mental health staffing changes occurred. The establishment of 57 new positions, including 13 security positions, for DOC's proposed mental health

system were approved. As of November 1985, 43 positions had been filled under this plan in five institutions: Marion, Mecklenburg, the Penitentiary, Powhatan, and Staunton.

Recommendation (27). DOC should carefully monitor the expansion of its mental health services and the extent to which their new services address the needs of the inmate population.

RECREATION PROGRAMS

Recreation staff are responsible for developing and implementing recreational programs for inmates. Organized recreation programs generally consist of activities such as arts and crafts, boxing, intramural team sports, inter-institutional team sports, and games such as pool, table tennis, and chess.

The availability of recreational programs varies significantly among adult facilities. Older institutions, such as the Penitentiary, Powhatan, and James River, offer limited recreational programs. In fact, because these facilities lack gymnasiums, indoor facilities must be used. This means that even fewer recreation programs are available during winter months and inclement weather. Most wardens at institutions without gymnasiums indicated that recreation facilities at their institutions were not sufficient for their needs. Six major institutions have gymnasiums and can offer more recreational programs throughout the year.

Current Staffing

DOC has established two types of recreation positions: recreation supervisor and recreation supervisor B. The recreation supervisor is the higher grade position and, where both positions exist, the supervisor oversees the supervisor B. Except for the administrative role of the supervisor, both positions are responsible for recreational programs at their facilities. Very little staffing variation was found among the facilities.

Recent DOC staffing reductions cut heavily into recreational staff, with seven institutions losing positions over the last four fiscal years. Six institutions lost one position each, and Mecklenburg lost three positions. Of the institutions that lost positions, four were reduced to three recreation positions each. Mecklenburg was reduced to two positions, and Deerfield was reduced to one position. The wardens at Deerfield as well as those at Bland, James River, St. Brides, and VCCW indicated that one recreation position was inadequate to meet the needs of their inmate populations.

Misclassification

During JLARC staff interviews, institutional staff indicated that a major concern was not being able to offer enough recreation programs to keep inmates busy after work hours. They indicated recreational programs are often the main alternatives to inmate idleness. Most staff stated that they had requested additional recreation positions because current levels were

inadequate. To compensate for their lack of recreation staff, most wardens assigned corrections personnel to perform recreation functions.

Six such cases of misclassification were observed in recreation services at the major institutions. In each case, corrections officers were assigned to recreation services primarily as supervisors, not to perform security functions. Wardens who assigned officers to recreation positions typically reported that they lacked adequate recreation personnel.

Three of the six cases of misclassification occurred in facilities where only one recreation position was assigned to the institution: Bland, Deerfield, and St. Brides. The other three cases of misclassification occurred at the Penitentiary, Powhatan, and Southampton. Such misclassification is not an appropriate use of security personnel and should be discontinued.

A minimum of two recreational positions are needed at each major institution. Bland, Deerfield, James River, St. Brides, and VCCW are understaffed with only one recreation position each. Powhatan also seems to be understaffed, as it is the only institution which houses over 650 inmates but has two rather than three recreation positions. Recommended staffing changes in recreation are listed in Table 34.

Table 34

RECOMMENDED RECREATION STAFFING CHANGES¹
DOC MAJOR INSTITUTIONS

<u>Facility</u>	<u>Average Number of Filled Recreation Positions</u>	<u>Recommended Recreation Staff Increase</u>
Bland	1	1
Deerfield	1	1
James River	1	1
Powhatan	2	1
St. Brides	1	1
VCCW	1	<u>1</u>
TOTAL INCREASE		6

¹Staffing adjustments should be made to the Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis, PMIS Reports FY 1985.

Recommendation (28). DOC should regrade one corrections officer position to a recreation supervisor position at Bland, Deerfield, Powhatan, and St. Brides. Corrections officers should not be used as recreation supervisors at

the Penitentiary and Southampton. In addition, DOC should establish one recreation supervisor position at James River and VCCW.

CONCLUSION

Despite relative consistency in staffing among most institutions, treatment program staffing changes are recommended for some treatment areas. In some institutions additional counselors positions would reduce caseload size to a manageable number. Increasing the number of counselors in some facilities would bring them closer to staffing levels suggested by ACA standards.

DOC has received a number of new mental health positions. In view of these developments, the General Assembly in 1985 approved 57 new positions. Also, because the department is in the process of developing a systemwide mental health services system, no staffing recommendations are made regarding mental health positions in this area.

Recreational staffing levels vary significantly among institutions. Older institutions offer limited recreational programs because of limited staff and recreational facilities.

Recent DOC staffing reductions cut heavily into recreational staff -- ten positions were cut in the past four years. To maintain the function, security personnel are frequently being used by institutional staff to substitute for positions that were previously cut.

Overall, JLARC staff's analysis found treatment programs to be understaffed. As shown in Table 35, a net increase of 19 positions is recommended.

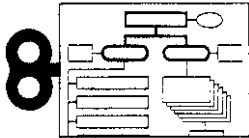
Table 35

RECOMMENDED CHANGES IN TREATMENT STAFF¹

<u>Institutions</u>	<u>Average Number of Filled Positions</u>	<u>Recommended Staffing Changes</u>
Bland	9	+3
Brunswick	17	+2
Buckingham	16	+3
Deerfield	7	+3
James River	8	+2
Mecklenburg	13	-2
Nottoway	16	+2
Penitentiary	19	+3
Powhatan	26	+1
St. Brides	11	+1
VCCW	<u>11</u>	<u>+1</u>
TOTAL	153	19

¹Staffing adjustments should be made to the Funded Employment Levels as of June 30, 1985.

Source: PMIS Reports, FY 1985; JLARC staff analysis.



Functional Areas for Nonsecurity Staff

ADMINISTRATION

The major institutions, because of the number of employees, the size of their annual budgets, and the multiplicity of services they provide, have become complex organizations that require a number of administrators to oversee daily operations. The warden is the key actor in the administrative framework of the institution, while other administrative positions carry out specific functional responsibilities.

For the most part, wardens in the past were required to be experts on security as a primary qualification for their jobs. Today, however, with the complexity of operations in a correctional institution, wardens must also be able to perform a number of administrative tasks, such as analyzing budgets, resolving personnel matters, and acting as public relations liaisons. Assisting the warden in the operation of an institution are several administrative personnel whose responsibilities range from security administration to maintaining inmate records.

There are six classified positions included in the administrative functional area: warden, assistant warden, operations officer, human resources developer, security chief, and inmate records custodian. These six administrative positions provide support to all departments of the institution.

During the JLARC staff review, there were 87 filled administrative positions at the major institutions. As Table 36 shows, the number of administrative positions ranged from four at Deerfield and Marion to eight at the Penitentiary, Powhatan, and Southampton. Variation was generally related to the size of the institution's inmate population -- institutions that had the largest populations also had the largest number of administrative staff.

JLARC staff analyzed the variation in staffing levels of each position classification in the administrative functional area. A systemwide review of each position was included as part of the analysis. A second focus of the analysis was the consideration of misclassified positions. Eight administrative positions -- an operations officer, a human resources developer, and a security chief -- were considered to be misclassified by JLARC staff and will be discussed later in this section.

Table 36

AVERAGE NUMBER OF FILLED
ADMINISTRATIVE STAFF IN MAJOR INSTITUTIONS

<u>Institution</u>	<u>Wardens</u>	<u>Asst. Wardens</u>	<u>Operations Officers</u>	<u>Human Resources Developers</u>	<u>Security Chiefs</u>	<u>Inmate Records Custodians</u>	<u>TOTAL</u>
Bland	1	2	0	1	1	1	6
Brunswick	1	2	1	0	1	1	6
Buckingham	1	2	1	0	1	1	6
Deerfield	1	1	0	0	1***	1	4
James River	1	2	0	0	1	1	5
Marion	1	1	0	0	1***	1	4
Mecklenburg	1	2	1	0	1	1	6
Nottoway	1	2	1	0	1	1	6
Penitentiary	1	2	2	1	1	1	8
Powhatan	1	3*	2**	0	1	1	8
St. Brides	1	2	1**	0	1	1	6
Southampton	1	3*	1	0	1	1	7
Staunton	1	2	0	1	1	1	6
VCCW	1	2	0	1	1***	1	6
YOC	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>1***</u>	<u>1</u>	<u>3</u>
TOTAL	14	29	10	4	15	15	87

*Includes the assistant warden at each of the reception and classification centers

**Includes Lay counselor at Powhatan and sergeant at St. Brides who perform as operations officers.

***Includes classified corrections captains who act as security chief for their institutions.

Source: PMIS report, fiscal year 1985.

WARDEN

Each major institution has a warden who oversees the operation of the institution. YOC has an assistant warden overseeing daily operations who reports to the warden at Southampton. Wardens are responsible for all operations within their institutions.

All wardens supervise the assistant wardens, the accounting and personnel department supervisors, a secretary, and, when present, an operations officer or a human resources developer. Nevertheless, varying configurations exist on how an institution may be organized. The span of control, or the number of staff supervised, for wardens ranges from four to 13, with a system-wide average of eight positions. The primary reason for this disparity in the span of control seems to be the decision of some wardens to directly supervise clinical or medical personnel.

According to some institutional staff, the practice of wardens supervising clinical and medical personnel is based on an unwritten DOC policy that medical and mental health personnel above nurses should not be supervised by anyone other than the warden. For example, at Marion Correctional Center, five clinical personnel report to the warden: a part-time physician, one full and one part-time psychiatrist, and two psychologists. Eight wardens supervise from one to five clinical personnel. Taking into consideration the daily demands placed on the warden, this policy does not seem to provide the best use of the warden's time, nor does it ensure continuity of programs.

A more reasonable approach is the structure that currently exists at six institutions, where clinical and medical staff report to the assistant warden for programs. This latter configuration would place more emphasis on inmate treatment and provide for more individual supervision of staff. Also, assistant wardens for programs are responsible for all inmate-related services and would, therefore, be more capable of supervising personnel who provide those services. Placing all inmate-related program personnel under the supervision of one assistant warden provides for more continuity and also frees the warden to take care of other matters.

Recommendation (29). The wardens at Bland, Buckingham, Deerfield, Marion, the Penitentiary, Powhatan, St. Brides, and Staunton should reassign the responsibility for supervising clinical personnel to the assistant wardens for programs.

ASSISTANT WARDEN

Generally, each institution is assigned two assistant wardens, one for programs and the other for operations. The smaller facilities, however, were originally authorized only one assistant warden position. James River, St. Brides, and VCCW were recently authorized a second assistant warden's position. A second assistant warden's position would have been established at Deerfield and Marion; however, these two institutions had already reached their funded employment levels.

Two institutions have more than two assistant warden positions. Powhatan has three assistant wardens, with the additional position overseeing the operations of the Powhatan Reception and Classification Center. Southampton also has one additional assistant warden position for the Southampton Reception and Classification Center.

Analysis of Staffing Variation

There were 30 assistant warden positions during the JLARC staff review. Eleven institutions had two assistant wardens; Deerfield and Marion had one each; Powhatan and Southampton had three. The assistant warden positions are assigned specific areas of responsibility by the warden. Treatment programs and recreation are assigned to all assistant wardens for programs, while medical is assigned to all but two, and inmate records to all but five.

A variety of other areas may also be assigned to the assistant wardens for programs, including canteen operations, the DCE liaison, enterprises coordination, farming operations, food services, religious service oversight, and volunteer coordination. These assistant wardens act as the institutional coordinators rather than supervisors for DCE, enterprises, religious services, and volunteers.

The assistant warden for operations is universally responsible for security, maintenance, and food services. Other assigned duties may include adjustment committee operations, enterprises coordination, farming operations, internal affairs investigations, mailroom activities, inmate property responsibilities, training oversight, warehouse operations, and work release programs.

Deerfield and Marion, having only one assistant warden each, must distribute some assistant warden's duties among the warden, and other administrative staff. The assistant wardens at both Deerfield and Marion are responsible for security and treatment-related activities. Each is responsible for security, maintenance, food operations, treatment services, and recreation. Deerfield's assistant warden also supervises medical services and the commissary, while the assistant warden at Marion oversees inmate records.

The assistant wardens at Deerfield and Marion should not be responsible for both security and treatment functions. Considering the demands of both the security and treatment functions, direct responsibility for these disparate functions should be consistently separated. Only the warden at the major institutions and the assistant wardens at the two reception and classification centers and YOC, who have responsibility for all institutional activities, should supervise both security and treatment functions.

Treatment activities need an advocate whose attention and loyalties are undivided. This single-minded focus cannot be accomplished under the current arrangement at Deerfield and Marion. DOC should establish an additional assistant warden position for both Deerfield and Marion Correctional Centers as soon as possible.

Recommendation (30). An additional assistant warden position should be established for Deerfield and Marion Correctional Centers.

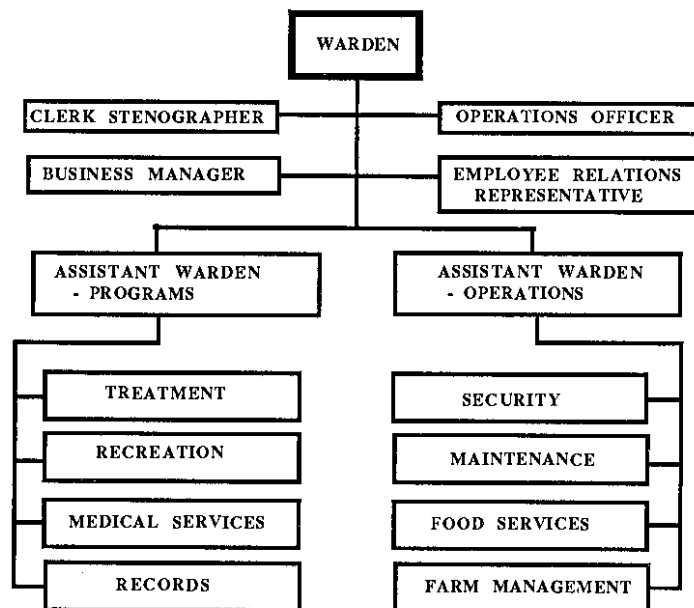
Proposed Structural Realignment

Assigning two assistant wardens to each facility (thereby decreasing the warden's span of control) and dividing their responsibilities along security and treatment lines would create a more manageable organization. The structure, as illustrated in Figure 8, would give the wardens a span of control of six personnel to supervise, except for the wardens at Powhatan and Southampton, who have additional facilities to supervise. The proposed structure would allow the wardens more time to accomplish daily administrative duties.

As proposed, each of the assistant wardens would have a manageable span of control. The assistant warden for programs would supervise all program-related areas plus the records department. The assistant warden for operations would supervise security plus the areas of maintenance, food services, and farm management, which employ a number of inmate "workers" and, therefore, involve special security considerations. Adopting this organizational structure would not require additional staff and would involve only minor adjustments in reporting relationships at most institutions.

Recommendation (31). DOC should organize major institutions to balance the spans of control, and separate security and nonsecurity related functions.

Figure 8
**Proposed Functional Organization
for Major Institutions**



Source: JLARC analysis of DOC information..

SECURITY CHIEF

The security chief is the key security position at an institution. Specific duties of the security chief include coordinating all security operations; advising on the type, use, and assignment of weapons; reviewing the conduct and performance of security personnel; interpreting and revising security regulations and procedures; determining the adequacy of equipment and the physical plant needed to maintain custody of the inmates; and providing long-range planning related to security needs.

Each major institution has either a classified security chief position (grade 11) or a captain position (grade 10) who performs the duties of a security chief. Generally the smaller institutions employ only one captain, who as highest-ranking correctional officer, acts as the security chief. The employment of one designated security chief at each institution seems appropriate.

OTHER ADMINISTRATIVE POSITIONS

In addition to the positions discussed above, JLARC staff also assessed the positions of operations officer, human resource developer, and inmate records custodian.

Operations Officer

Operations officers typically assume some of the routine administrative duties of wardens at larger institutions. Eight such classified positions were established during FY 1985. Also, a lay counselor and a sergeant acted as operations officers and were therefore included in the analysis.

JLARC staff found that functional and supervisory responsibilities were not uniformly assigned to operations officers. According to the job description, operations officers' duties include:

- Supervising activities related to the operation of the warden's office;
- Representing the warden and offering advice to the warden;
- Assisting in budget preparation;
- Chairing committees and answering correspondence regarding institutional policies;
- Conducting special studies and preparing reports;
- Reviewing personnel actions;
- Supervising departments such as inmate records, the mailroom, accounting operations or other areas as assigned by the warden.

However, JLARC staff found that in practice the roles assumed by operations officers varied significantly. These roles ranged from an administrative assistant with no supervisory responsibility to a medical administrator responsible for the operation of an infirmary and the supervision of 11 employees.

Because of the variability of functions performed by persons holding these positions, DOC should revise the job description to reflect a more specific and uniform job assignment. Clarification of position responsibilities could also reduce misclassification. For example, the operations officer positions at the Penitentiary and Powhatan supervise the medical infirmaries.

Recommendation (32). DOC should reclassify the operations officer positions responsible for supervising the medical infirmaries at the Penitentiary and Powhatan to reflect the job duties performed.

Recommendation (33). DOC should establish an operations officer position for Powhatan and reclassify one sergeant's position to operations officer at St. Brides.

Human Resources Developer

Human resources developer is a general job classification. Individuals assigned to this position, like operations officers, tend to serve as administrative assistants to the wardens. Four institutions -- Bland, the Penitentiary, Staunton, and VCCW -- had human resources developer positions in FY 1985. Generally DOC had assigned a human resources developer position to smaller institutions which did not have operations officers. Only the Penitentiary had both a human resources developer and an operations officer. Considering the similarity of the duties assigned to these two positions and the lack of a demonstrated need for having both positions, DOC should abolish the human resources developer position at the Penitentiary.

Recommendation (34). DOC should abolish the human resources developer position at the Penitentiary. The duties of this position should be redistributed among existing staff, with the majority going to the operations officer.

Records Custodian

Inmate records custodians are responsible for maintaining an up-to-date record on each inmate housed within an institution. Each record contains descriptive information about the inmate, the assigned classification, the time computation information, and housing information. The custodian is also responsible for maintaining and reporting the inmate population counts which are taken at least three times per day. The assignment of one inmate records custodian at each institution was considered to be appropriate.

Conclusion

In general, staffing levels in the administrative function appear to be appropriate. The establishment of two assistant warden positions (one each for Deerfield and Marion) and two operations officer positions (one each at St. Brides and Powhatan) are recommended. The addition of an operations officer position at St. Brides would be offset by abolishing the sergeant's position currently used in an operations officer capacity. DOC should also abolish the human resources developer position at the Penitentiary. These staffing recommendations, shown in Table 37, result in a net increase of three administrative positions for the major institutions.

Table 37

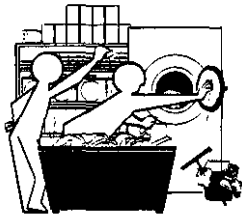
RECOMMENDED ADMINISTRATIVE STAFFING
CHANGES AT THE MAJOR INSTITUTIONS¹

<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Proposed Staffing Changes</u>
Deerfield	4	+1
Marion	4	+1
Penitentiary	8	-1
Powhatan	8	+1*
St. Brides	<u>6</u>	<u>+1*</u>
TOTAL	30	+3

*Actually involves the reclassification of established positions within other functions.

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis.



Functional Areas for Nonsecurity Staff

SUPPORT SERVICES

Each correctional institution has personnel who are responsible for performing a variety of support duties. While these duties are broad in scope, they are essential to the overall operation of the institution. Some support functions provide direct services for inmates, while other functions are operational in nature and have no service orientation.

The four sub-functions included in the support functional area analyzed by JLARC staff were laundry services, commissary operation, warehouse receiving and storage, and switchboard operation. Housekeeping and purchasing are two additional support functions performed at institutions, but were not included in this analysis because there was only one position in each area.

Staffing within the support function has traditionally been minimal. In fact, James River and Marion correctional centers have no classified positions established in any of the support areas. Most institutions use security officers and inmate labor as supplementary staff in support areas. During the summer of 1985, support staff were supplemented by 26 corrections officers and 133 inmates working in the laundry, commissary, warehouse, or at the switchboard.

The assessment of the appropriateness of support services staffing included four of the nine criteria in the staffing analysis plan. Variation analysis, the use of misclassified positions, and inmate labor were the primary indicators used for evaluating staffing adequacy. The fourth criteria, staffing level changes, was used primarily to assess staffing trends in the support area.

Trends in Support Services Staffing Levels

As shown in Table 38, during FY 1985 there were 43 classified support positions in the major institutions. Support staffing levels varied significantly among facilities, with two institutions -- James River and Marion -- having no classified support positions. The Penitentiary and Powhatan each had seven support positions. Only two institutions had laundry personnel, and

three institutions had switchboard operators. Commissary and warehouse personnel (19 and 18 positions, respectively) account for 87 percent of the positions in the support area.

However, in reviewing assignment of positions among institutions, considerable variation was found within each sub-functional area. The Penitentiary and Powhatan, for example, accounted for over one third of the commissary and warehouse positions; however, neither of these institutions had laundry or switchboard operator positions.

Table 38
AVERAGE NUMBER OF
SUPPORT STAFF IN MAJOR INSTITUTIONS
FY 1985

<u>INSTITUTION</u>	<u>Laundry</u>	<u>Commissary</u>	<u>Warehouse</u>	<u>Switchboard</u>	<u>TOTAL</u>
Bland	1	1	2	1	5
Brunswick	0	1	1	0	2
Buckingham	0	2	1	0	3
Deerfield	0	1	0	0	1
James River	0	0	0	0	0
Marion	0	0	0	0	0
Mecklenburg	0	1	1	2	4
Nottoway	0	2	1	0	3
Penitentiary	0	4	3	0	7
Powhatan*	0	3	4	0	7
St. Brides	0	1	1	0	2
Southampton*	0	0	2	1	3
Staunton	1	1	2	0	4
VCCW	0	1	0	0	1
YOC	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>1</u>
TOTAL	2	19	18	4	43

*Reception Centers are included.

Source: PMIS report, fiscal year 1985.

A number of changes in support staff have occurred within the past five fiscal years. During that period, six support positions were abolished; however, eight institutions requested a total of 17 additional support positions during FY 1985. Eleven of the requests were for commissary positions, three for warehouse positions, two for laundry managers, and one for a switchboard operator. None of the positions requested had been approved at the time of the JLARC staff's review.

Factors Complicating Analysis

Assessing staffing levels is complicated by the fact that corrections officers and inmates are frequently used to work within many of the support areas. As previously noted, institutions routinely compensate for inadequate staffing by using security officers and inmates to perform a number of duties. Several business managers noted that they had requested additional staff to replace corrections officers and inmates working in the commissaries. Those officers working in the commissaries are being used to perform nonsecurity duties they were not employed to perform and often are not qualified to perform. DOC's Comptroller specifically prohibited using inmates in commissaries in a memo dated June 14, 1985. In that memo he stated: "No inmate help should be used in the commissary operation or the inventory-taking process."

The level of staffing, particularly in the commissary, cannot be measured by examining changes in classified support staff employment alone without including at least the number of security personnel used.

Each of the four sub-functions will be evaluated based on staffing variation, misclassified positions, and inmate labor as appropriate.

LAUNDRY SERVICES

Providing the inmate population with clean clothes, bed linens, and work uniforms is a major task, as health standards require frequent changes of clothing and bed sheets. Not all institutions have the equipment to do all of their laundry needs; therefore, they must depend on other facilities or State agencies to do their laundry. Eleven institutions contract for their laundry services and therefore have no employees devoted to this sub-function. DOC's Industrial Enterprises operates laundries at Powhatan, Southampton, and VCCW which serve those institutions plus Brunswick, Buckingham, Deerfield, James River, Mecklenburg, Nottoway, and YOC. Marion's laundry service is provided by Southwestern State Hospital, a facility under the Department of Mental Health and Mental Retardation.

Analysis of Staffing Variation

Bland, the Penitentiary, St. Brides, and Staunton are the four institutions which process their own laundry. Only Bland and Staunton have a laundry manager. Eighty-six inmates work at the four laundries, and corrections officers also work at three institutions.

The laundry workload is primarily a function of the number of inmates at the institution plus any laundry services provided to other institutions. (Bland does the laundry for Appalachian Learning Center.) The Penitentiary, St. Brides, and Staunton do not provide laundry services for other institutions.

Misclassification

Four corrections officers are being used systemwide to provide laundry services at Bland, the Penitentiary, and St. Brides. The Penitentiary and St. Brides depend entirely on corrections officers to manage their laundry operations. The use of corrections officers (pay grade 6) to perform duties that are clearly nonsecurity in nature rather than the appropriate classified nonsecurity personnel, such as laundry manager "A" or "B" (pay grades 7 and 9 respectively), constitutes a misclassification or misuse of security personnel.

Several wardens indicated that DOC's central administration has historically denied approval of most new nonsecurity position requests, especially in areas where existing institutional staff were already performing those duties. Consequently, they continue to use security personnel to operate the laundries. DOC should either establish laundry positions at Bland, St. Brides, and the Penitentiary or require these institutions to contract for laundry services with Industrial Enterprises.

Recommendation (35). DOC should determine whether it is more cost effective for Bland, the Penitentiary, St. Brides and Staunton to process their laundry or to contract for laundry services with Industrial Enterprises. Based on this determination, appropriate staffing changes should be made.

Use of Inmate Labor

As noted previously, a total of 86 inmates work in the laundries at four institutions. Bland and the Penitentiary employ the largest number (27 and 30, respectively) and appear to have the largest workloads. St. Brides and Staunton have only one laundry employee and have fewer inmates working (17 and 12). Using inmates to work in the laundries provides work opportunities for inmates and offers some skills training.

COMMISSARY

Each major institution has at least one commissary where inmates can purchase sundry items that range from cigarettes to clothes. Employees who work at the commissary are responsible for ordering, receiving, and stocking merchandise, and recording sales transactions. The commissaries are typically set up like a store, with a window or counter where inmates can place their orders.

At Mecklenburg, however, because inmates are confined to their cells, each housing unit is assigned one day a week to allow inmates to place commissary orders. Inmates write out the items they want, and the orders are filled and delivered to the housing units. This process requires more staff than the other institutions' operations but is considered to be necessary by Mecklenburg's administration. Powhatan, which has two commissary operations, also requires additional staff.

During FY 1986, 20 employees were assigned systemwide to work in DOC's institutional commissaries, assisted by 13 corrections officers. The number of nonsecurity staff assigned among facilities varied from none to four. The two larger facilities, the Penitentiary and Powhatan, had four and three staff assigned, respectively. The hours a commissary operated varied significantly among facilities, ranging from five to 56 hours per week.

Misclassification

As indicated, 12 corrections officers worked full-time in commissaries at nine major institutions. Brunswick, Deerfield, James River, Marion, Mecklenburg, St. Brides, and Staunton each employed one full-time officer; while Southampton and Powhatan employed two and three, respectively. Using security personnel to perform nonsecurity duties constitutes an inappropriate use of security personnel. These 12 positions should either be reassigned to security-related duties or reclassified as commissary positions based on DOC's assessment of need in both areas.

Recommendation (36). DOC should either reassign the 12 correctional officers currently working within nine commissaries to security-related duties or reclassify the positions to accurately reflect the nonsecurity duties being performed.

Use of Inmate Labor

A total of seven inmates were employed at three commissaries (two at Bland, three at Brunswick, and two at St. Brides). These inmates were primarily responsible for cleaning and stocking. Using inmates to work in commissaries is in violation of guidelines established by the DOC Comptroller earlier this year.

WAREHOUSE

All major institutions operate as separately funded agencies and therefore purchase most of their supplies, equipment, and clothing individually rather than at a central supply center. They therefore have a number of storage areas within the facilities.

The warehouses at the major institutions typically receive all goods coming into the facility. Goods such as inmate and officer clothing, clerical and housekeeping supplies, and furniture are usually stored in the general warehouse, while food services products, farming equipment, medical supplies, and maintenance equipment are stored at different locations.

Analysis of Staffing Variation

Twelve institutions operate and staff warehouses. Deerfield and YOC use Southampton's warehouse, and James River uses Powhatan's

warehouse. Most of the warehouses employ either one storekeeper supervisor or one corrections officer. The exceptions to this staffing pattern are the Penitentiary, Powhatan, St. Brides, Southampton, and Staunton.

The Penitentiary has three storekeeper supervisor positions; one is responsible for the general warehouse, one works in food services, and the third works at the infirmary warehouse. At other institutions, the storage of food and medical supplies is carried out by food services and medical services personnel rather than by storekeeper supervisors.

Powhatan's warehouse operation employs four storekeeper supervisors and uses five inmates to store and inventory supplies. Powhatan also provides storage for James River and the Powhatan Reception Center, which accounts for its large number of assigned personnel.

St. Brides' storekeeper supervisor is assisted by a corrections officer who works in the warehouse three to four days each week. While two inmates also work in the warehouse, the business manager at St. Brides, who supervises the warehouse operation, indicated that inmates create more problems than they solve. The manager does not feel that the corrections officers should be released from working at the warehouse because inmates are assigned to do the work.

Southampton, like Powhatan, employs more than one storekeeper supervisor, primarily because Southampton provides warehouse services for Deerfield, the Southampton Reception Center, and YOC. Two storekeeper supervisors, five inmates, and a corrections officer on loan part-time from Deerfield three days a week operate the Southampton warehouse.

Staunton employs two storekeeper supervisors and three inmate workers. There is limited storage space for food items in Staunton's two kitchens; therefore, according to staff, food is stored in the general warehouse and delivered to the kitchens three times a week. A storekeeper supervisor is responsible for storage of food, a task that is typically performed at the other institutions by food services personnel.

Misclassification

Marion, St. Brides, Southampton, and VCCW currently employ three corrections officers in their warehouses. Corrections officers should not be employed as warehouse personnel as this involves the use of security positions for nonsecurity tasks.

Use of Inmate Labor

There are twice as many inmate workers (40) as employees (18) working in the warehouses. During JLARC staff interviews, several institutional staff noted that inmates are used to work in the warehouses and that the department experiences few problems with this arrangement.

Employing inmates to work in the warehouses can be an effective means of supplementing the need for salaried warehouse staff. Eight of the 12 institutional warehouse operations employ one staff member assisted by inmate workers. This staffing pattern should be adopted by all institutions except Powhatan, Southampton, and Staunton. Powhatan and Southampton have larger operations that serve three and four institutions, respectively, while Staunton is required to store all food items in the general warehouse.

Recommendation (37). DOC should authorize an additional warehouse position for Southampton and discontinue using a correctional officer from Deerfield to assist in the warehouse.

Recommendation (38). DOC should reclassify a corrections officer position at Marion and VCCW to a warehouse position to reflect the duties being performed.

Recommendation (39). St. Brides should discontinue the practice of assigning a corrections officer to perform nonsecurity duties in its warehouse operation.

SWITCHBOARD OPERATION

All but three institutions have switchboards to receive and transfer calls. The switchboard is usually located at the central control center of the facility.

Staffing the switchboards at the major institutions is a 24-hour, seven-day-a week duty. During the day the flow of calls through the switchboard is such that staffing the switchboard is a full-time responsibility. During the evening and at night when most of the administrative offices are closed, however, the number of calls decreases significantly. Only three institutions have classified switchboard operator positions: the other facilities that have switchboards utilize other institutional staff to operate the system. During the evening and at night at most institutions, a corrections officer typically operates the switchboard as part of staffing the control center.

Misclassification

JLARC staff, when assessing the institutions' switchboard staffing needs, took into account both day and night needs. Maintaining the switchboard is an important activity, and it should be operable 24 hours a day. However, during the day a corrections officer should not be responsible for operating the switchboard, as this responsibility would impede other security duties. Maintaining the switchboard with security personnel at night, however, seems appropriate given the decreased number of calls being made at that time. Brunswick, Buckingham, Nottoway, Powhatan, St. Brides, and VCCW should be authorized a switchboard operator position to cover the switchboard during the day.

Using clerical staff to operate the switchboard constitutes another example of misclassification involving nonsecurity personnel performing duties which are inappropriate to their job classifications. At both Marion and the Penitentiary, clerical staff operate the switchboard during the day. A P-14 has been assigned the daytime switchboard at Staunton. This should not continue as a permanent assignment, however, as using a P-14 position for longer than one year on a full-time basis violates State personnel requirements governing that type of position.

Recommendation (40). DOC should establish switchboard operator positions for Brunswick, Buckingham, Nottoway, Powhatan, St. Brides, and VCCW to replace the corrections officers who are currently staffing the daytime switchboards.

Recommendation (41). DOC should establish a switchboard operator position at Marion to relieve clerical staff of the duties.

Recommendation (42). DOC should establish a switchboard operator position at Staunton to replace the P-14 position currently operating the switchboard.

Recommendation (43). DOC should reclassify the clerk "C" position that is responsible for operating the Penitentiary's switchboard to a switchboard operator "B" to reflect the duties actually being performed.

CONCLUSION

Staffing of the four support sub-functions of laundry, commissary operation, warehouse receiving and storage, and switchboard coverage shows significant variation among the major institutions. Security staff and inmate workers are also frequently used to supplement what is sometimes inadequate unit staffing. JLARC staff was unable to determine the adequacy of commissary staffing. A total of 11 additional positions were recommended in warehouse receiving and storage and switchboard coverage. DOC may also need to make staffing changes in the laundry areas after determining the cost effectiveness of contracting for laundry services at Bland, the Penitentiary, St. Brides and Staunton. As illustrated in Table 39, 11 staffing additions were recommended for nine institutions.

Table 39

RECOMMENDED SUPPORT STAFFING CHANGES
AT THE MAJOR INSTITUTIONS¹

<u>Institution</u>	<u>Average Number of Filled Positions</u>	<u>Proposed Staffing Changes</u>
Brunswick	2	+1
Buckingham	3	+1
Marion	0	+2
Nottoway	3	+1
Penitentiary	7	+1
Powhatan	8	+1
St. Brides	2	+1
Staunton	4	+1
VCCW	<u>1</u>	<u>+2</u>
TOTAL	30	11

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: JLARC staff analysis.

CLERICAL



Functional Areas for Nonsecurity Staff

CLERICAL

The work that clerical staff perform at the major institutions seems to fall into two categories. The first includes the traditional support types of services such as typing, dictation, filing, opening mail, answering the telephone, and greeting visitors. The second involves performing activities which are directly related to the unit's mission. For example, clerical staff in the personnel departments answer questions about personnel policies and fringe benefits, complete employee leave reports and payroll submissions, and verify paycheck amounts.

The JLARC staff review of clerical staffing included four of the nine criteria in the staffing analysis plan. The criteria are: staffing level changes, workload analysis, misclassification of personnel, and overtime use. Of these, workload analysis and personnel misclassification were the primary criteria used to measure the need for clerical staff.

Changes in Staffing Levels

An average of 162 classified clerical positions were identified at the major institutions during FY 1985. As shown in Table 40, at the major institutions 67 clerks (41 percent) work within the administrative function, 29 clerks (18 percent) work in treatment, and 22 clerks (14 percent) work in medical services. The remaining clerks work in accounting, farming, food services, maintenance, and personnel. There were no clerical staff assigned to the support function.

A total of ten P-14s and one contracted clerk worked full-time at seven major institutions during FY 1985. Buckingham used the largest number of P-14 positions with three, one each in personnel, treatment, and administration. Deerfield employed a P-14 in personnel and another in treatment. St. Brides contracted for a clerical position in accounting and a P-14 in treatment. Bland, Mecklenburg, and Staunton each used one full-time P-14 position in accounting, medical services, and personnel, respectively. One P-14's time was divided between the medical and administration functions at VCCW.

Table 40

CLERICAL STAFFING IN MAJOR INSTITUTIONS¹

INSTITUTION	Maintenance	Food Services	Accounting	Personnel	Medical	Treatment	Administration	Support	Other	Total
Bland	1	0	1	1	1	1	5	0	1	11
Brunswick	1	0	2	2	1	2	4	0	0	12
Buckingham	1	0	2	1	1	2	5	0	0	12
Deerfield	0	0	0	1	0	1	2	0	0	4
James River	0	0	0	1	1	1	1	0	1	5
Marion	0	0	0	1	0	4	2	0	0	7
Mecklenburg	1	0	1	2	1	1	6	0	0	12
Nottoway	0.5	0.5	2	1	1	3	4	0	0	12
Penitentiary	0	1	2	2	6	4	11	0	0	26
Powhatan	1	1	1	4	7	3	8	0	0	25
St. Brides	0	0	0	0	0	1	3	0	0	4
Southampton	1	0	2	1	1	3	4	0	0	12
Staunton	1	0	0	1	1	2	6	0	0	11
VCCW	0	0	0	1	0	0	4	0	0	5
YOC	0	0	*	*	1	1	2	0	0	4
TOTAL	7.5	2.5	13	19	22	29	67	0	2	162

¹Number of filled positions during JLARC staff visits.

*Services provided by Southampton.

Source: DOC interviews, summer 1985.

A total of 23 clerical positions have been abolished during the past five years; administration lost the most positions (7). Although 27 positions were requested during FY 1985, only two positions were approved.

Regression Analysis

As shown in Table 41, clerical staffing levels vary significantly both in the total number assigned to the institutions and in the functional area assignments. Total clerical staffing ranges from four at Deerfield, St. Brides, and YOC to 26 at the Penitentiary. The number of positions within the functional areas at each major institution ranges from zero to 11.

Table 41

**EFFECT OF CLERICAL STAFFING ADJUSTMENT
FOR REGRESSION ANALYSIS**

<u>Institution</u>	<u>Clerical - Staff¹</u>	<u>Clerical Staff within Accounting = and Personnel</u>	<u>Adjusted Clerical Staff</u>	<u>Total Nonsecurity Staff</u>
Bland	11	2	9	81
Brunswick	12	4	8	75
Buckingham	12	3	9	73
Deerfield	4	1	3	34
James River	5	1	4	59
Marion	7	1	6	40
Mecklenburg	12	3	9	80
Nottoway	12	3	9	70
Penitentiary	26	4	22	120
Powhatan	25	5	20	147
St. Brides	4	0	4	44
Southampton	12	3	9	62
Staunton	11	1	10	85
VCCW	5	1	4	57
YOC	4	0	4	37
TOTAL	162	32	130	1,064

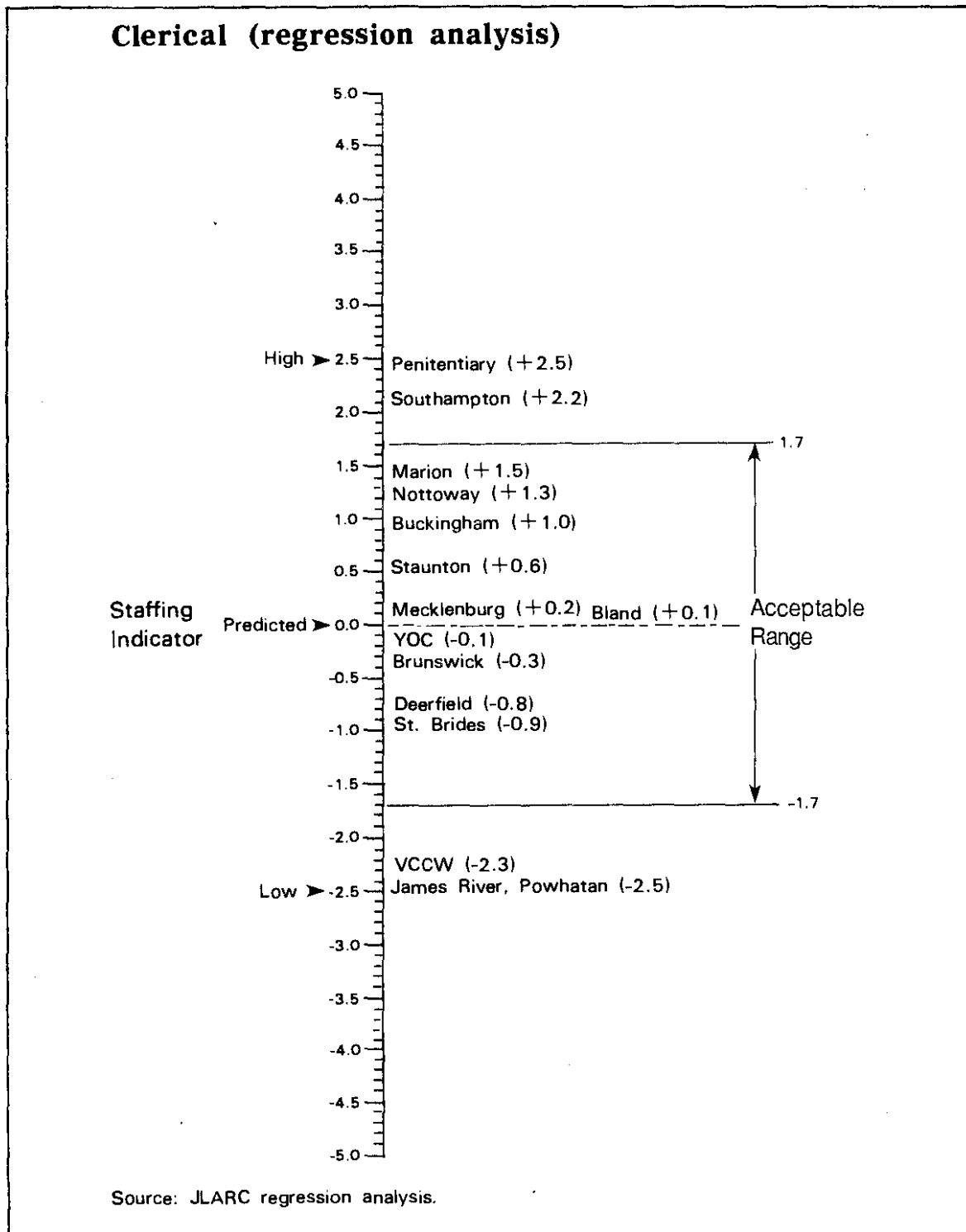
¹Filled positions during JLARC staff visits.

Source: JLARC staff and PMIS turnover reports, FY 1985.

The regression model which best explained the variation in clerical staffing compared clerical staffing with the number of nonsecurity employees within the institution. Two adjustments were made in this regression model. First, the increased clerical demands made by the infirmaries at the Penitentiary and Powhatan were factored into the analysis. Second, the clerical positions in accounting and personnel were subtracted from the total number of clerical positions before conducting the regression. This adjustment was made because clerical positions in the accounting and personnel functions were evaluated as part of the overall staffing for those functions. Including those positions with the other clerical staffing analysis would have resulted in double counting those clerical positions.

The regression model comparing the adjusted clerical staff with the number of nonsecurity employees in the institution explained 92 percent of clerical staffing variation. The model indicated that five institutions were outside the acceptable range of their predicted staffing levels. Figure 9

Figure 9



illustrates these findings, showing James River, Powhatan, and VCCW on the low side of the acceptable range, while the Penitentiary and Southampton are on the high side.

The regression analysis indicated that VCCW was below its predicted staffing levels by 2.3 positions, and both James River and Powhatan were under by 2.5 positions. Conversely, the Penitentiary and Southampton were above their predicted staffing by 2.5 and 2.2 positions, respectively. While these indications of staffing imbalances are important starting points, consideration must be given to institutions' special missions or population characteristics which may affect the regression findings. Both the Penitentiary and Southampton perform special functions.

The Penitentiary's mental health unit has recently been enhanced to provide satellite services for the entire system. Mental health services, much like medical treatment, generate significant amounts of paperwork and therefore require increased clerical assistance. The Penitentiary and Marion both have four clerical positions in the treatment area, which is higher than in any other institution. Considering the Penitentiary's mission to provide statewide mental health services and the previous recommendation to reclassify one clerk to a switchboard operator, a clerical staffing level of 25 seems appropriate.

Southampton provides a number of regionalized services for Capron field unit, Deerfield, Southampton Reception and Classification Center (SRCC), and YOC. For example, mental health services are provided for inmates at Capron, while maintenance is provided for SRCC and YOC. Southampton's clerical staffing in both of these areas is higher than average. Since these regionalized services were not accounted for in the regression analysis, Southampton's clerical staffing appears to be high.

To address the clerical understaffing as indicated for James River, Powhatan, and VCCW, one additional clerical position for each institution is recommended.

Recommendation (44). DOC should establish an additional clerical position at James River, Powhatan, and VCCW.

Misclassification

The equivalent of four and a half FTE correctional officer positions provide clerical assistance at three institutions. A correctional officer provides clerical assistance to the assistant warden at Deerfield on a part-time basis. Full-time clerical assistance is provided by a corrections officer to the maintenance department at Powhatan. St. Brides uses three corrections officers to provide full-time clerical assistance: two in administration and one in maintenance.

Using security personnel to perform the nonsecurity duties of clerical assistance is inappropriate and should be discontinued at these three institutions.

Recommendation (45). DOC should discontinue the practice of using security personnel to perform nonsecurity clerical duties.

Conclusion

Clerical staff working within the accounting and personnel departments are responsible for providing direct as well as support services. These staff were therefore included within the evaluation of the two functions and were not examined within this general clerical analysis. This clerical analysis focused on the adequacy of the provision of the more traditional support services.

Generally the major institutions were comparably staffed, although additional staff are recommended for four institutions. As shown in Table 38, one additional position is recommended for James River, Powhatan, and VCCW. When the clerical position recommended for reclassification to a switchboard operator at the Penitentiary is subtracted, the net change equals two additional clerical positions at the major institutions.

The effects of JLARC staff's adjustments in clerical staffing, as well as the number of nonsecurity staff within each institution, are shown in Table 42.

Table 42

RECOMMENDED CLERICAL STAFFING CHANGES
AT MAJOR INSTITUTIONS¹

<u>Institution</u>	<u>Current Staffing Totals²</u>	<u>Proposed Staffing Changes</u>
James River	5	+1
Penitentiary	26	-1*
Powhatan	25	+1
VCCW	<u>5</u>	<u>+1</u>
TOTAL	61	+2

*One clerical position was recommended for reclassification to a switchboard operator within the support function.

¹Staffing adjustments should be made to the FEL as of June 30, 1985.

²Filled positions during JLARC staff visits.

Source: JLARC staff analysis.

III. NONSECURITY AND SECURITY STAFFING IN CORRECTIONAL FIELD UNITS

Security staffing in correctional field units was not addressed in JLARC's 1985 study of security staffing in major institutions. Consequently, this chapter focuses on both nonsecurity and security staffing. The purpose of JLARC staff's analysis was to determine whether correctional field units are appropriately staffed. To accomplish this task, a multivariate approach for a systematic review of all nonsecurity and security personnel was used.

Additional staffing and services are needed in the field units. Both security and nonsecurity staffing are comparatively leaner than major institutions. Moreover, there is some evidence that inmate population characteristics in the field units may be changing. More staff are needed in field units to provide adequate security and treatment.

BACKGROUND

Three prison road camps established in 1906 to provide mobile labor for State highway construction were Virginia's first field units. By 1949 there were 32 camps housing over 2000 inmates. When highway construction began to taper off, the need for a mobile construction force began to dwindle, and the emphasis on inmate road labor shifted to maintenance of State roads. Consequently, the Department of Corrections (DOC) began to make the camps more permanent facilities.

Today, in addition to meeting the road maintenance requirements of the Department of Highways and Transportation (DHT), some field units have farming operations and enterprises which also use inmate labor. For all practical purposes, field units are permanent correctional facilities, housing a portion of the State's incarcerated population.

During FY 1985 the number of inmates housed in the 26 field units was 2,544, approximately 25 percent of the adult inmate population in Virginia's prison system. This population level was increased during early FY 1986, when field units received an additional 340 inmates as part of the Governor's initiative to reduce overcrowding in local jails.

Most field units allocate between four and 11 inmate road crews, ranging in size from one to ten inmates. There are two types of road crews, the "gun gang" and the "trustee gang." Each crew is supervised by a DHT maintenance engineer. Gun gangs consist primarily of "B" custody inmates and therefore are always accompanied by an armed officer. Despite these precautions, escapes are still more likely from road gangs. Over the years, more escapes have occurred from field units than from major institutions. During FY 1985, 30 out of 54 escapes in the State occurred from field units. One field unit, Harrisonburg, has no inmate work crews because of its educational mission.

In the past, most inmates in the field units were within two or three years of parole. However, according to DOC and field unit superintendents, many facilities are now receiving more inmates with longer sentences and convictions for more serious crimes. With these facts in mind, JLARC staff decided to pay particular attention to both security and counseling needs in the field units.

Types of Field Units

There are common characteristics among most field units: located in rural areas of the State, a single housing unit with two wings of barracks-style living quarters, and a control cage between the wings that is staffed by an officer 24 hours a day. Perimeter security at field units is most often provided by a single row of fencing, a mobile patrol officer, and gun towers. An illustration of a field unit design is shown in Figure 10, which also indicates the types of facilities, their capacities, and the number of facilities of each type.

The four basic field unit types -- stick camps, large permanent, small permanent, and unique design -- are distinguished by physical design and facility size.

Stick Camps. The eight "stick camps," had inmate capacities during FY 1985 that ranged from 48 to 95 inmates. All stick camps are constructed of wood frame buildings set on cinder block foundations. The typical stick camp has four major buildings including the housing unit, the dining hall, the medical/treatment building, and the administration building.

Large Permanent Units. The six large permanent field units had inmate capacities ranging from 75 to 130 during FY 1985. Large permanent facilities are two-story brick buildings and have all activities confined within the one structure.

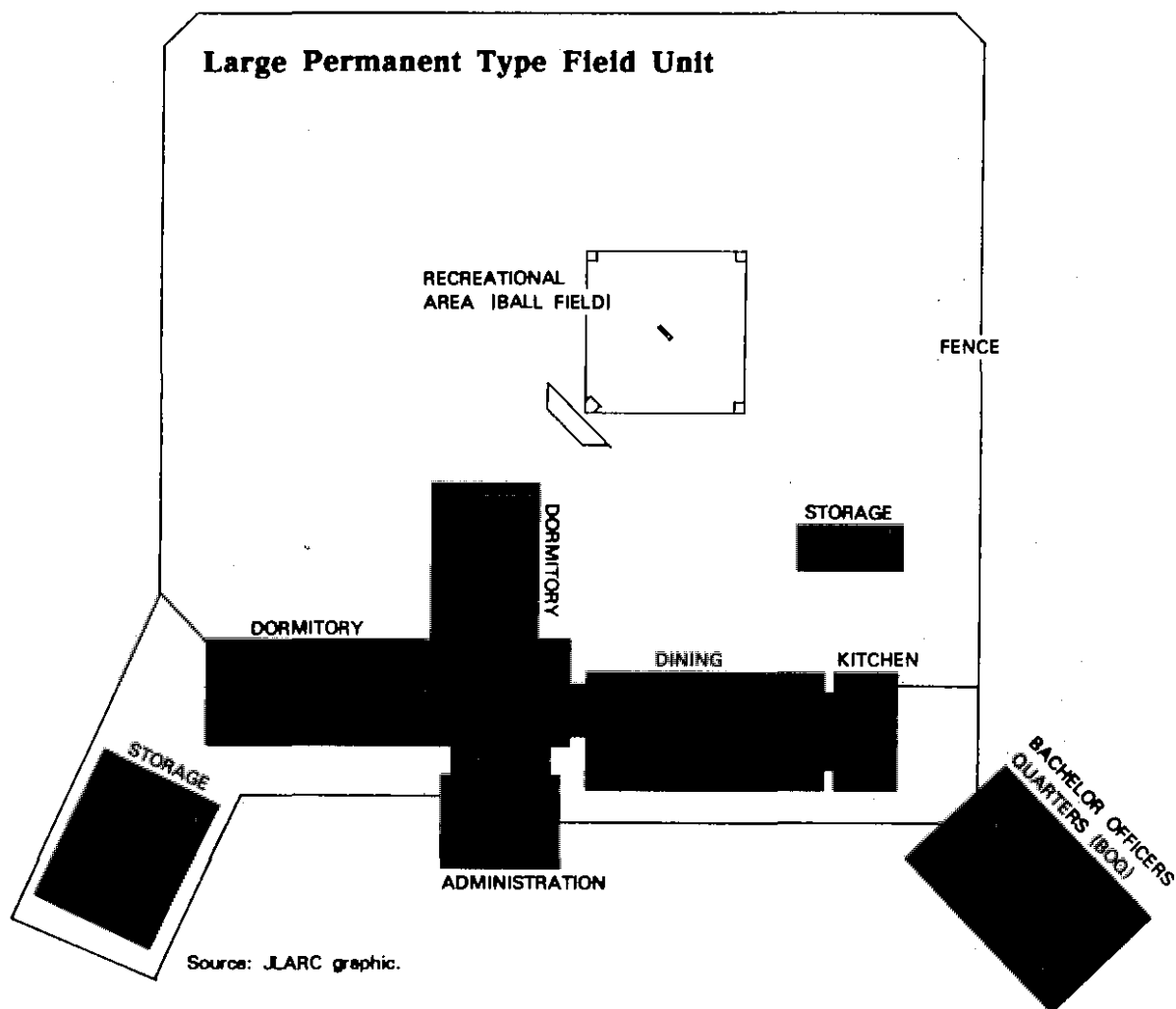
Small Permanent Units. The eight field units classified as small permanent facilities had inmate capacities ranging from 75 to 95 during FY 1985. These facilities are constructed of brick and have one main structure that houses most functions: living quarters, kitchen, dining hall, day room, library, and storage areas. Some units have the administrative offices, visitation area, and armory under the same roof, while others have a separate building for these functions.

Unique Design. The final category of field units includes four facilities having individual physical designs that make them different from the units within the three categories described above. Each of these units are also constructed of brick. During FY 1985, these units ranged in capacity from 65 to 210 inmates.

Populations Housed in Field Units

In response to the Governor's August 1985 initiative to relieve overcrowded conditions in local jails, DOC increased inmate populations in all

Figure 10



Field Units By Type and Design

8 STICK CAMPS

inmate capacity
50 to 95

Botetourt (64)*
Capron (81)
Fluvanna (88)
Haymarket (88)
Nansemond (90)
New Kent (94)
Pulaski (48)
Smith Mt. Lake (89)

6 LARGE PERMANENT

inmate capacity
75 to 130

Caroline (127)
Baskerville (104)
Harrisonburg (89)
Rustburg (99)
Patrick Henry (96)
Tazewell (99)

8 SMALL PERMANENT

inmate capacity
75 to 95

Chatham (94)
Dinwiddie (89)
Greenville (85)
Haynesville (85)
Stafford (90)
Tidewater (99)
White Post (86)
Wise (90)

4 UNIQUE

inmate capacity
65 to 210

Culpeper (64)
Fairfax (120)
Halifax (180)
Pocahontas (208)

*Numbers in parenthesis are average daily population for FY 1985.

Source: Memorandum from Director of Corrections, June 1984,
and DOC monthly population summaries, FY 1985.

field units. As Table 43 shows, field unit populations have increased by up to 52 percent. Overall, the population in the field units increased by a total of 340 inmates, or 13 percent over FY 1985 levels.

Field Unit Staffing

On the basis of on-site visits to most field units, analysis of data, and numerous interviews with DOC personnel, field units appear to be understaffed in many nonsecurity functions and in security personnel in general. The focus of the JLARC staff analysis, therefore, is a comparative review of staffing patterns.

Each field unit is directed and supervised by a superintendent. An assistant superintendent serves as the security chief and also assists the superintendent in other administrative duties as required. Field units are staffed with a hierarchy of personnel similar to that of major institutions, but the level of staff is considerably lower. Seventeen percent of all staff positions at the field units are nonsecurity, while 26 percent of the total staff at major institutions are nonsecurity. This difference is also reflected in a lower level of program opportunities at the field units.

Comparing the staffing patterns of major institutions with those of field units, field units have a much leaner staff-per-inmate ratio than the major institutions. During FY 1985, for example, the ratio of inmates to security staff at the major institutions averaged 2.51 to 1, compared with an average of 3.58 to 1 at the field units. Also, the ratio of inmates to nonsecurity staff at the major institutions averaged 6.51 to 1, while at the field units the ratio was 17.55 to 1.

In the past, staffing differences may have been due to differences in security classifications between inmates in the field units and those in the major institutions. However, the fact that more inmates with longer sentences are now housed in the field units highlights the need both for adequate security and supervision of inmates and for more extensive treatment and rehabilitative services in the field units.

NONSECURITY STAFF

Whether or not field units are appropriately staffed was the key question addressed in this review. During interviews, all superintendents indicated a need for additional nonsecurity staff. A total of 51 positions above the FY 1985 level of 146.5 nonsecurity positions were said to be needed. In the following sections, JLARC staff's analysis and discussion of nonsecurity staffing centers on the key functional areas, including clerical, food services, counseling, and nursing.

Table 43

FIELD UNIT POPULATION INCREASES
FY 1985

<u>Facility</u>	<u>Population*</u> <u>FY 1985</u>	<u>Revised Population</u> <u>October 1, 1985</u>	<u>Percent Change</u>
Pulaski	48	73	52
Botetourt	64	95	48
Fairfax	120	160	33
Harrisonburg	89	110	24
Baskerville	102	124	22
Greenville	85	100	18
Haynesville	85	100	18
Patrick Henry	96	113	18
Capron	81	95	17
Tazewell	99	115	16
White Post	86	100	16
Rustburg	99	110	11
Wise	90	100	11
Stafford	90	100	11
Caroline	127	135	9
Culpeper	64	70	9
Fluvanna	88	95	8
Haymarket	88	95	8
Tidewater	99	106	7
Halifax	180	193	7
Smith Mtn. Lake	89	95	7
Dinwiddie	89	95	7
Chatham	94	100	6
Nansemond	90	95	5
Pocahontas	208	215	3
New Kent	<u>94</u>	<u>95</u>	<u>1</u>
TOTALS	2544	2884	13

*Average Daily Population for FY 1985.

Source: DOC Monthly Population Report and Chief of Operations, 1985.

Nonsecurity Staffing Patterns

Typically a field unit has one clerk typist C, a rehabilitation counselor, and a registered nurse or nurse technician. Some units have

half-time nurse technicians or registered nurses. In some cases, there may be additional nonsecurity personnel assigned to selected field units, such as farm managers, water systems plant operators, or recreation supervisors.

All nonsecurity staff are generally supervised by the superintendent. As Table 44 indicates, during FY 1985 there were 146.5 nonsecurity positions in the 26 field units. (Educational staff provided by the Department of Correctional Education are not included in these figures but are addressed in another JLARC study which specifically focuses on correctional educational programs.) Some facilities have more staff than others of similar size. For example, Tazewell field unit has seven nonsecurity positions, compared with only five positions at other field units of similar population size.

Nonsecurity Staffing and Facility Type. There was little variation in the level of nonsecurity staff when analyzed on the basis of facility type. For example, most field units, regardless of type or population size, had between four and six nonsecurity staff. However, field units with larger inmate populations did tend to have higher nonsecurity staffing levels. Population accounted for the greatest amount of variation and therefore seemed to have more impact than unit type on the level of nonsecurity positions. As expected, the largest facilities required the highest levels of nonsecurity staffing. Five of these units, including two large permanent units and three unique design units, had from seven to ten nonsecurity positions.

Nonsecurity Staffing and Facility Population. Analysis of the number of nonsecurity positions by inmate population demonstrated how the two levels varied consistently. This is illustrated in Figure 11. During FY 1985, the average daily population in most field units was between 80 and 110 inmates. The majority of field units had either 4.5 or 5 nonsecurity positions.

Nonsecurity Staffing Analysis. The nonsecurity staffing review included a number of variables that attempted to explain the need for staff. How nonsecurity personnel were utilized was compared among facilities, and the frequency distribution of nonsecurity positions among facilities was analyzed.

Providing adequate nonsecurity services has been complicated by recent additions to inmate populations. Facility administrators have had to choose between assigning other staff, usually corrections officers, to perform these services in the case of food services and clerical duties, or reducing the level of services, as they indicated they have done in the case of counseling services.

JLARC staff visited all field units during the course of the corrections study series. Both telephone and personal interviews were conducted with key personnel at the field units. The interviews were designed to determine opinions on the adequacy of nonsecurity staffing, how staff were utilized, and what types of inmate programs were available.

Systemwide Staffing Variations. Field units have fewer staff than major institutions, yet they must provide many of the same services. Field units

Table 44

NONSECURITY STAFFING IN THE FIELD UNITS¹

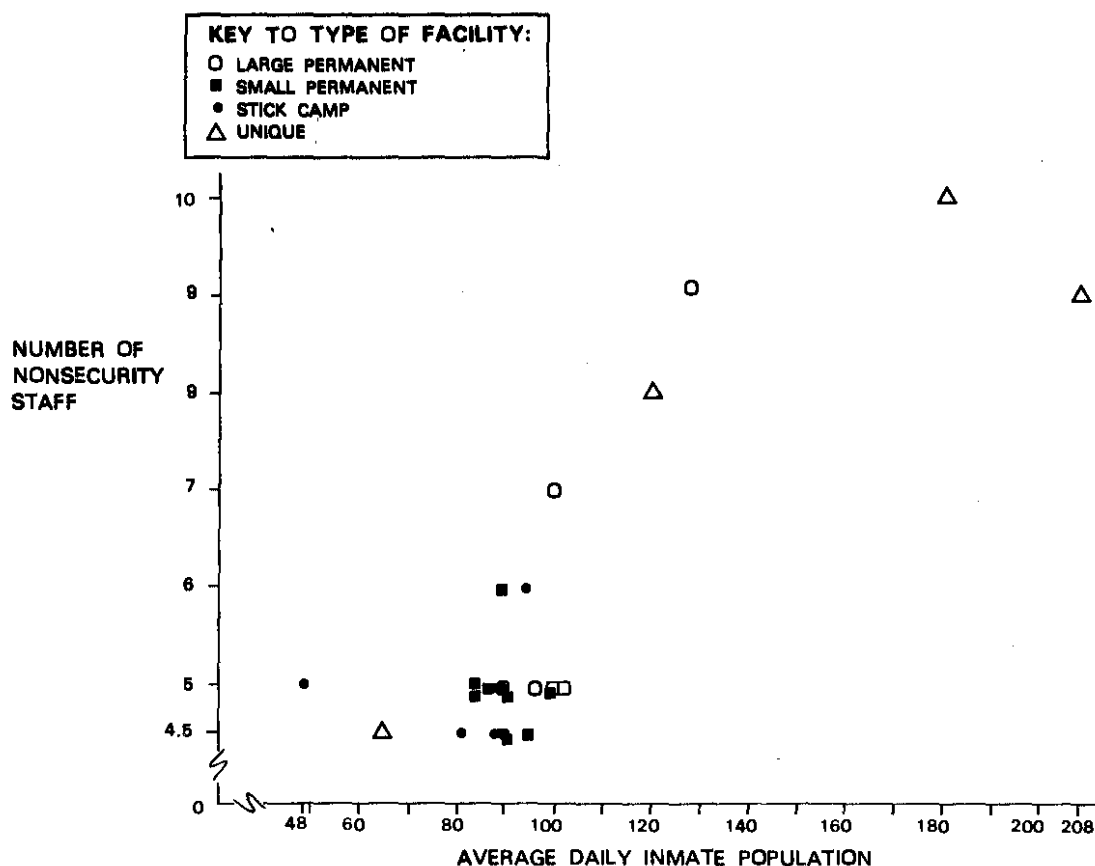
<u>Institution</u>	<u>Superintendent</u>	<u>Asst. Superint.</u>	<u>Clerical Staff</u>	<u>Reg. Nurse</u>	<u>Nurse Tech.</u>	<u>Counselors</u>	<u>Food Services</u>	<u>Other</u>	<u>Total</u>
Baskerville	1	1	1	0	1	1	0	0	5
Botetourt	1	1	1	0	1	1	0	0	5
Capron	1	1	1	0	.5	1	0	0	4.5
Caroline	1	1	2	0	1	2	1	1	9
Chatham	1	1	1	0	.5	1	0	0	4.5
Culpeper	1	1	1	.5	0	1	0	0	4.5
Dinwiddie	1	1	1	1	0	1	1	0	6
Fairfax	1	1	2	1	0	2	1	0	8
Fluvanna	1	1	1	0	.5	1	0	0	4.5
Greenville	1	1	1	0	1	1	0	0	5
Halifax	1	2	2	1	0	2	1	1	10
Harrisonburg	1	1	1	0	1	1	0	0	5
Haymarket	1	1	1	1	0	1	0	0	5
Haynesville	1	1	1	1	0	1	0	0	5
Nansemond	1	1	1	0	.5	1	0	0	4.5
New Kent	1	1	1	1	0	1	1	0	6
Patrick Henry	1	1	1	0	1	1	0	0	5
Pocahontas	1	1	2	1	0	2	1	1	9
Pulaski	1	1	1	1	0	1	0	0	5
Rustburg	1	1	1	1	0	1	0	0	5
Smith Mtn.	1	1	1	.5	0	1	0	0	4.5
Stafford	1	1	1	0	.5	1	0	0	4.5
Tazewell	1	1	2	0	1	2	0	0	7
Tidewater	1	1	1	0	1	1	0	0	5
White Post	1	1	0	1	0	1	0	0	5
Wise	<u>1</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>4</u>
TOTAL	26	27	31	11	11.5	31	6	3	146.5

¹Based on average number of filled positions.

Source: PMIS Reports, 1985.

Figure 11

Comparison of Nonsecurity Staffing & Inmate Population in Field Units



Source: JLARC analysis of DOC data.

have less variation than the major institutions in the type of nonsecurity positions, and proportionally fewer staff per 100 inmates (Table 45).

Counseling Services

There were a total of 31 counselors assigned to field units during FY 1985. The four larger field units and one medium unit had two counselors each. All of the other field units had one counselor (Table 46). Counselors are generally responsible for maintaining case files on each inmate, writing and updating treatment plans, and preparing inmate files for Institutional Classification Committee (ICC) hearings. They also attend Adjustment Committee hearings, coordinate volunteer and inmate programs, and conduct individual and group counseling. Four times each year counselors must prepare at least one quarter of the inmate files for parole board hearings. In addition, at one field unit the counselor also supervises the work release program by finding jobs in the community and transporting inmates to work.

Counseling Ratios. The number of inmates per counselor in the field units (93:1) is considerably higher than in the major institutions (58:1). Table 47

Table 45

FIELD UNIT NONSECURITY STAFF PER 100 INMATES

	<u>Counseling</u>	<u>Clerical</u>	<u>Food Service</u>	<u>Medical</u>
Major Institutions	2.79	2.31	1.71	2.35
Field Units	1.22	1.22	0.23	0.89

Source: 1985 PMIS Reports and JLARC analysis.

Table 46

NUMBER OF COUNSELORS BY FIELD UNIT POPULATION

<u>Average Daily Population</u>	<u>Number of Field Units With One Counselor</u>	<u>Number of Field Units With Two Counselors</u>
45 - 79	3	0
80 - 89	9	0
90 - 109	9	1
110 - 130	0	2
180 - 210	<u>0</u>	<u>2</u>
TOTAL	21	5

Source: PMIS and DOC Population Summary, 1985.

shows the counseling ratios for each field unit during FY 1985 and the new ratios after the population increases in September and October 1985. Even before these increases, field unit superintendents indicated that the counselors spent most of their time on case management or procedural functions. When inmate populations were increased, even less time was available for rehabilitative counseling.

Superintendents indicated that the inmates assigned to field units are in need of services similar to those received by inmates in major institutions. However, inmates in field units often receive less counseling services, job training, and therapeutic counseling. Some superintendents indicated that the need for counseling may be greater in the field units because many inmates in the field units are relatively close to parole eligibility. One superintendent argued that important counseling services are not being offered to inmates as they prepare to re-enter society:

Table 47

FIELD UNIT COUNSELOR-TO-INMATE RATIOS

<u>Unit</u>	<u>Average Number of Positions</u>	<u>FY 1985 Inmates Per Counselor</u>	<u>October 1985 Inmates Per Counselor</u>
Baskerville	1	102	124
Botetourt	1	64	95
Capron	1	81	95
Caroline	2	64	68
Chatham	1	94	100
Culpeper	1	64	70
Dinwiddie	1	89	95
Fairfax	2	60	80
Fluvanna	1	88	95
Greenville	1	85	100
Halifax	2	90	97
Harrisonburg	1	89	110
Haymarket	1	88	95
Haynesville	1	85	100
Nansemond	1	90	95
New Kent	1	94	95
Patrick Henry	1	96	113
Pocahontas	2	104	108
Pulaski	1	48	73
Rustburg	1	99	110
Smith Mtn. Lake	1	89	95
Stafford	1	90	100
Tazewell	2	50	58
Tidewater	1	99	106
White Post	1	86	100
Wise	<u>1</u>	<u>90</u>	<u>100</u>
TOTAL	31	82	93

Source: PMIS, DOC Population Summary 1985, and JLARC staff analysis.

NOTE: The ratio of counselors to inmates in the major institutions is 1:58.

The superintendent at Pocahontas indicated that inmates close to parole have a great need for counseling and training in at least three areas: family skills - released inmates may be returning to family situations where, due to their absence, they now have to earn status and the respect of their wives and children before they are reaccepted into the family; social skills - released inmates need to learn socially accepted norms for settling conflicts and other forms of interaction; and daily living skills - released inmates often need to learn simple skills, such as writing checks and paying bills, budgeting, and finding and keeping employment. Helping inmates to learn these skills should be part of rehabilitative counseling, according to this superintendent. But such services cannot currently be offered, because caseload size and a large volume of hearings keep counselors constantly preparing paperwork.

Counselors that were interviewed by JLARC staff consistently indicated that the greatest proportion of their time is ordinarily spent in case management functions, such as processing grievances, scheduling and participating in ICC meetings and adjustment committee meetings, and keeping up with the paperwork that these functions require. In addition, these counselors also indicated that for two weeks, four times each year, almost all of their effort is required to prepare documents and other paperwork on the 25 percent of the inmates that are heard each quarter by the Parole Board.

Such procedural duties, combined with their normal work requirements, usually require field unit counselors to work between five and ten extra hours most weeks, leaving them little time for one-to-one or group counseling. Most counselors that were interviewed indicated that only 10 - 20 percent of their time is actually spent counseling inmates, although the demand and the need are both greater. Counselors estimated that from 20 - 50 percent of the inmates in their field units want additional counseling services, and that these percentages would be greater if such services were actually available.

Several counselors also indicated that there is a need for specific types of group-oriented counseling with inmates convicted of sex offenses, or those with histories of alcohol or substance abuse, as demonstrated in the following case example:

The counselor at Haynesville stated that 60 percent of the inmates at that unit are substance abusers and that there are 15 inmates who were convicted of sex offenses. This counselor does not have time for group counseling, nor do counselors at other units visited by JLARC staff.

It seems clear that DOC needs to provide more counselors at the field units. Large caseloads and the volume of case management prevent counselors from doing any significant counseling with inmates. Counseling services should be increased through the establishment of additional counseling positions.

Twenty-five field units should receive additional counseling positions. This would result in a slightly more intensive counseling ratio at the field units than those recommended for the major institutions. Such ratios are warranted given the proximity of some inmates' parole dates, the proliferation of inmates with longer sentences and more violent criminal behaviors, the limited services generally available at the field units, and the ACA guidelines discussed earlier in the treatment services section of Chapter II. The additional counselor positions that would be needed are shown in Table 48. The additional counselors would reduce the overall counseling ratio in the field units to 49:1. This is consistent with the 45:1 to 55:1 ratio recommended for major institutions.

Recommendation (46). DOC should establish additional rehabilitation counselor positions at 25 field units to increase rehabilitation services at these facilities.

Clerical Staff

All field units have at least one clerk typist position, while six field units have two clerk typist positions. Clerical staff are responsible for general typing and filing duties, and may also be required to perform other duties assigned by the superintendent. During interviews with the superintendents, they indicated that their clerks were responsible for bookkeeping, personnel duties, inmate records, and recording daily population counts and inmate work assignments. Thirteen superintendents indicated that during FY 1985 they had requested additional full-time clerical positions, while nine had requested full-time fiscal technicians.

While clerks are employed to perform typing and other clerical duties, most superintendents indicated that they also have to depend primarily on their clerks to handle their facility's financial affairs. The DOC job description for clerk typists indicates that these personnel are not required to have prior experience in bookkeeping or accounting, yet in 25 field units clerks are required to maintain facility budgets, disburse payments, and record transactions in financial ledgers.

While this practice may appear to be the only alternative due to the lack of accounting staff at the field units, it is not appropriate to require a clerk typist with little or no experience in accounting to be responsible for large sums of funds on a daily basis. The following case example highlights this problem:

The superintendent at Pocahontas Field Unit claimed to have a backlog of ten months on the payment of vendors' vouchers. According to the superintendent, the previous clerk typist, who had no experience in accounting, was not able to manage the accounting system for the facility. The superintendent also indicated that proper financial records had not been maintained. Consequently, it was difficult to conduct an audit of their accounts.

Table 48

ADDITIONAL COUNSELING POSITIONS
BASED ON JLARC STAFF RECOMMENDATIONS¹

<u>Facility</u>	<u>Number of Counselors FY 1985</u>	<u>Proposed Staffing Totals</u>	<u>Proposed Staffing Increase</u>	<u>Recommended Counseling Ratios</u>
Baskerville	1	3	2	41:1
Botetourt	1	2	1	48:1
Capron	1	2	1	48:1
Caroline	2	3	1	45:1
Chatham	1	2	1	50:1
Culpeper	1	2	1	32:1
Dinwiddie	1	2	1	48:1
Fairfax	2	3	1	53:1
Fluvanna	1	2	1	48:1
Greenville	1	2	1	50:1
Halifax	2	4	2	45:1
Harrisonburg	1	2	1	50:1
Haymarket	1	2	1	48:1
Haynesville	1	2	1	50:1
Nansemond	1	2	1	48:1
New Kent	1	2	1	48:1
Patrick Henry	1	2	1	57:1
Pocahontas	2	4	2	54:1
Pulaski	1	2	1	37:1
Rustburg	1	2	1	55:1
Smith Mt. Lake	1	2	1	48:1
Stafford	1	2	1	50:1
Tazewell	2	2	0	58:1
Tidewater	1	2	1	53:1
White Post	1	2	1	50:1
Wise	<u>1</u>	<u>2</u>	<u>1</u>	<u>50:1</u>
TOTAL	31	59	28	49:1

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: PMIS reports for FY 1985, and JLARC staff analysis.

Support From the Regional Office. DOC's regional offices were established to provide assistance to correctional institutions within their geographic area.

The support services manager in the regional office has the responsibility for providing technical assistance to the institutions in the region on all financial concerns, for both budgeting and accounting. Accounting staff at the major institutions require less frequent assistance from the regional manager because of their qualifications and knowledge of accounting. Field unit staff, however, need more supervision and assistance from the regional manager.

The telephone survey indicated that field unit administrative and clerical personnel are customarily required to perform most facility accounting functions without support from their regional offices. Only three of the 26 field units reported that they received support from regional office personnel for facility accounting functions, and none reported receiving any assistance for inmate accounts.

Clerical staff in the field units are required to perform a wider variety of assignments than their counterparts in the major institutions. Given that these field unit personnel are often not previously trained to perform such functions, and that regional support managers are apparently underutilized, additional clerical staff are not recommended at this time. Rather, JLARC staff recommends increased utilization of regional office staff.

Recommendation (47). DOC should strengthen the advisory responsibilities of the regional support services managers with respect to the support provided to field units.

Food Services

Food service personnel in the field units supervise inmates in meal preparation, serving meals, maintaining inventory of food products, and maintaining health and safety standards. Only six units have food service supervisors, while the remaining 20 utilize corrections officers to perform these duties. As Table 49 indicates, food service supervisors in the field units are not uniformly distributed across the 26 facilities when compared with the number of inmates to be served. The four largest units have food services supervisors, as do two of the smaller units, New Kent and Tazewell.

JLARC staff attempted to determine why food service supervisors were allocated in this manner. A central office staff member stated that the six field units were assigned food services personnel more than ten years ago, probably because of their population sizes. He was unsure, however, what rationale was used to justify assigning food services personnel to the two smaller units. He speculated that the two smaller units with food service supervisors may have switched positions with one of the major institutions in the region, sending the prison a corrections officer in exchange for a food service supervisor position.

Corrections Officers as Food Services Supervisors. Corrections officers oversee food operations at the 20 field units that do not have food services supervisors. These officers sometimes volunteer, but most often they

Table 49

NUMBER OF FOOD SERVICE PERSONNEL
BY INMATE POPULATION

Average Daily Population	Number of Facilities	Facilities With Officers or Food Service Supervisors (FSS) ¹	
		Officers	FSS
45 - 79	3	3	0
80 - 89	9	8	1
90 - 109	10	9	1
110 - 179	2	0	2
180 - 210	<u>2</u>	<u>0</u>	<u>2</u>
TOTAL	26	20	6

¹ Average number of filled positions.

Source: PMIS and DOC Population Summary, 1985.

kitchens. One officer is are required by the superintendent to supervise inmates assigned to work in the generally assigned to work full-time as a food service supervisor during weekdays, and selected officers are usually assigned to supervise food services on weekends. In field units with food service supervisors, corrections officers are also assigned to kitchen duty on weekends and for at least one meal each weekday. This is necessary, since food services supervisors would have to work overtime to cover three meals each day.

In addition to being responsible for the preparation and serving of meals, food services personnel are also responsible for ensuring that proper health and sanitary procedures are maintained. Requiring a corrections officer with limited food services experience to assume these responsibilities is not an appropriate means of ensuring that adequate standards are maintained. Food services supervisors should be employed at each of the field units that do not currently have them.

Security staff are inappropriately required to perform food services functions in most field units. These duties would be better and less expensively performed by nonsecurity personnel trained in this functional area. By establishing one food services supervisor position in each field unit, DOC could better guarantee appropriate staffing in this area and could also free security positions to perform more appropriate duties.

Recommendation (48). DOC should establish one food services supervisor position for each of the 20 field units that presently use security personnel for that function.

Nursing Staff

Nurses are the only salaried medical personnel assigned to field units. Nurses are responsible for dispensing over-the-counter and prescription medicines, assessing inmates' general health and emergency care needs, maintaining medical supplies, and scheduling physician appointments. On a daily basis, nurses are the only medical personnel available to inmates.

Most facilities employ full-time nurses, although seven units employ part-time nurses. Field units generally contract with local physicians to see inmates on specified days of the week. In addition, field units usually have agreements with local hospitals to provide emergency medical services.

Inconsistent nursing staff assignments are prevalent throughout the system of field units. Full or part-time nursing assignments vary considerably, and registered nurse or nurse technician classifications also vary from one unit to the next. Twelve field units have registered nurse (RN) positions, and 14 field units have nurse technician positions, as shown in Table 50. Two units with RNs have half-time positions, and ten have full-time positions. Five units with nurse technicians have half-time positions, and nine have full-time positions. Since JLARC staff visited the field units, some facilities have had their nursing positions upgraded from part-time to full-time.

JLARC staff found that the size of the facility does not appear to have any bearing on whether a facility has a registered nurse or a nurse technician, nor does size have any bearing on whether a facility has a full-time or part-time position. As shown in Table 50, in field units with 80 to 89 inmates, four facilities have full-time registered nurses, and one has a part-time registered nurse. Two of these field units have full-time nurse technicians, and two have part-time nurse technicians. Similar variation is found among facilities with other inmate populations, except for the two largest facilities, which each have a full-time registered nurse.

Interviews with the 26 superintendents indicated that the availability of nursing personnel in the locality near the field unit was a major factor for determining whether a registered nurse or a nurse technician was employed. None of the superintendents could identify a rationale for assigning part-time positions.

The seven superintendents that had a part-time nurse stated that the workload was too heavy for the part-time position. Four of these units also used a significant amount of overtime in the medical area in FY 1985. Six of the field units with part-time nurses requested a full-time position for FY 1986; two of these requests were approved by the Department.

The assignment of nursing positions in the field units varies among facilities. Because nurses are the only salaried medical personnel in the field units, facilities having only part-time positions are limited in the medical services that can be delivered. JLARC staff found that part-time nursing staff are inappropriate for providing adequate on-site medical care in the field units. Therefore, all part-time nursing positions should be converted to full-time positions.

Table 50

NUMBER AND TYPE OF NURSES BY
FIELD UNIT POPULATION¹

Average Daily Population	RN		Nurse Technician	
	Full-Time	Part-Time	Full-Time	Part-Time
45 - 79	1	1	1	0
80 - 89	4	1	2	2
90 - 109	2	0	5	3
110 - 179	1	0	1	0
180 - 210	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>
TOTAL	10	2	9	5

¹Based on average number of filled positions.

Source: PMIS and DOC Population Summary, 1985.

Recommendation (49). DOC should reclassify all part-time nursing positions in the field units to full-time positions. DOC should also regrade all positions to registered nurse positions, thus providing equal daily medical coverage at all field units.

Table 51 shows the total number of nonsecurity positions recommended for field units.

SECURITY STAFFING

All field unit superintendents that were interviewed by JLARC staff indicated a need for additional security personnel. Superintendents cited lack of sufficient staff as causing high levels of overtime usage in many facilities and lean night shift staffing patterns. Post audits that were submitted to JLARC staff by the field units indicated a shortfall of more than 200 security positions over FY 1985 filled position levels. (On-site verification of post audits was not conducted by JLARC staff.)

The following sections of this report focus on security staffing patterns by field unit type and design, and systemwide variations in security staffing. JLARC staff analyzed five factors related to appropriate security staffing levels in the field units: population stress, the ratio of inmates to security staff, the number of security staff assigned to the night shift, use of overtime by security staff, and the monthly rate of serious incidents. These five factors were used to develop a decision model matrix that helped determine which field units were most in need of additional security staff. The results of this analysis indicate a need for additional security staff in 15 field units.

Table 51

TOTAL RECOMMENDED NONSECURITY STAFF FOR FIELD UNITS¹

	Food Services	Nurses	Counselors	Total Nonsecurity
Baskerville	1	0	2	3.0
Botetourt	1	0	1	2.0
Capron	1	0.5	1	2.5
Caroline	0	0	1	1.0
Chatham	1	0	1	2.0
Culpeper	1	0.5	1	2.5
Dinwiddie	0	0	1	1.0
Fairfax	0	0	1	1.0
Fluvanna	1	0.5	1	2.5
Greenville	1	0	1	2.0
Halifax	0	0	2	2.0
Harrisonburg	1	0	1	2.0
Haymarket	1	0	1	2.0
Haynesville	1	0	1	2.0
Nansemond	1	0.5	1	2.5
New Kent	0	0	1	1.0
Patrick Henry	1	0	1	2.0
Pocahontas	0	0	2	2.0
Pulaski	1	0	1	2.0
Rustburg	1	0	1	2.0
Smith Mtn. Lake	1	0.5	1	2.5
Stafford	1	0.5	1	2.5
Tazewell	1	0	0	1.0
Tidewater	1	0	1	2.0
White Post	1	0	1	2.0
Wise	1	0	1	2.0
TOTAL	20	3.0	28	51.0

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: 1985 PMIS Reports and JLARC staff analysis.

Security Staffing Patterns

There were 711 filled security positions in the field units during FY 1985. There are two levels of uniformed staff, sergeants and corrections officers. Sergeants typically supervise shifts and provide daily leadership of line staff. Corrections officers are the line staff who provide the daily supervision of inmates, staff posts, transport inmates, and supervise inmate work details. Corrections officers invariably account for most of the classified personnel assigned to the field units.

Security staff in the field units work seven days on and seven off, with a work tour consisting of seven 12-hour days. A typical night shift consists of three to four security personnel: one is the shift supervisor; one is assigned to the housing unit; one is assigned to the front door; and, at some facilities, the fourth one patrols the compound.

Day shifts have higher staffing patterns and vary depending upon the size of the facility. However, they usually have three to five gun gang officers, one to two housing unit officers, and one officer each for the front gate, the yard, transportation duty, and food services.

Security Staffing and Facility Design. Throughout the course of the study of corrections staffing, DOC personnel have indicated that the level of security staffing depends on the design of the facility. The JLARC staff analysis assessed this assumption.

The analysis indicated, however, that security staffing levels tend not to be affected by the design or the type of facility. For example, large permanent facilities have a staffing range from 22 to 30 positions. Small permanent facilities have a very similar range (22 to 27), despite the design differences between these and the larger facilities. Stick camps are similar in range, with 23 to 28 security positions. The greatest variation in security staffing appeared to occur in unique design facilities, which had from 25 to 57 security positions.

Security Staffing and Inmate Population. Security staffing does vary according to the population at each field unit. Those facilities with the largest populations have the most security staff, as shown in Figure 12.

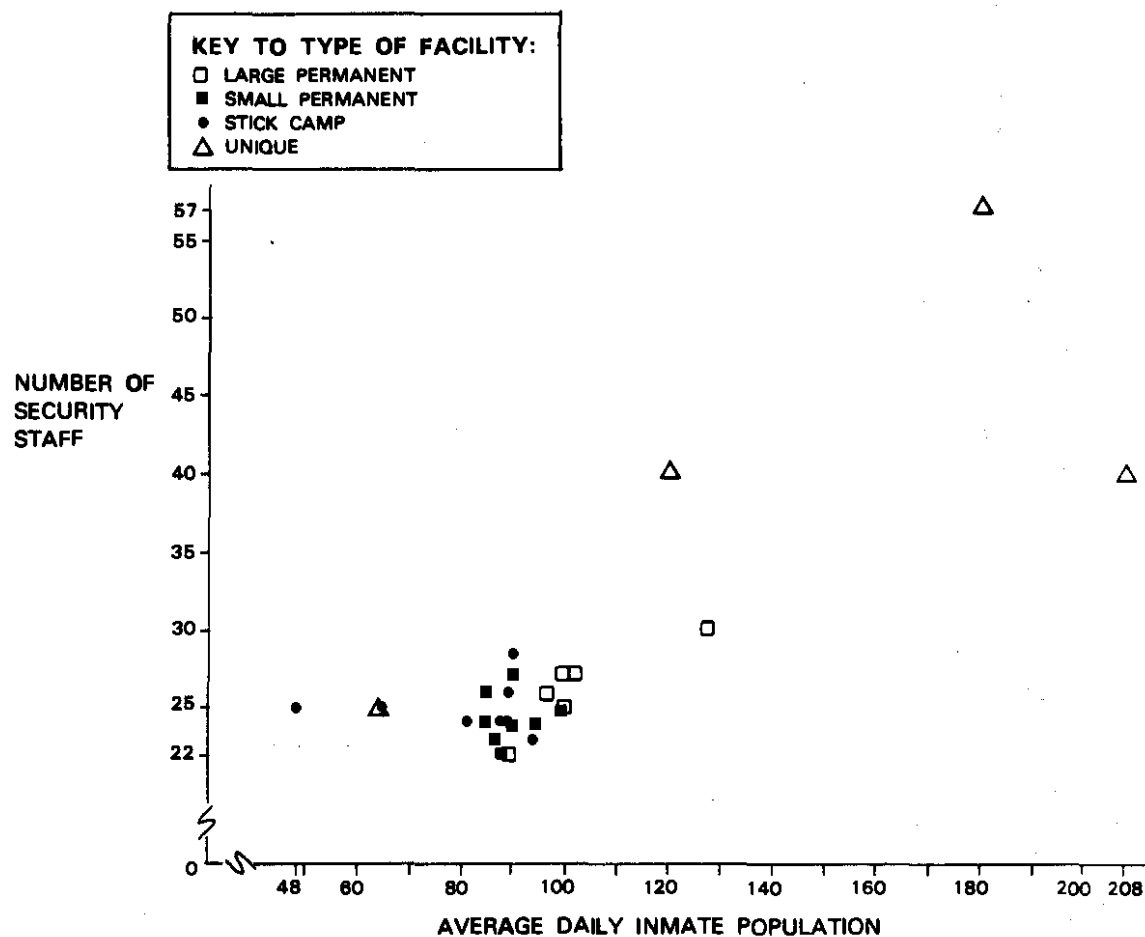
Analysis of Staffing Levels

A number of variables were used to analyze security staffing in the field units. Interviews were conducted with key personnel at each field unit. Measures developed included: the total number of staff assigned to each facility over a 12-month period, the average daily population for each facility, inmate-to-staff ratios, the number of additional staff requested by superintendents, staffing patterns, and the use of overtime at each facility.

JLARC staff also conducted a review of the most recent post audits from each facility. This analysis involved applying revisions of the Sharp formula consistent with the recommendations made in the JLARC report, Security Staffing and Procedures in Virginia's Prisons. Because quality data

Figure 12

Comparison of Security Staffing & Inmate Population in Field Units



Source: JLARC analysis of DOC data.

was not collected regarding facility post audits, this factor was not included in the security staffing analysis. Instead, facility post audits are addressed in the next section of this chapter, which deals with systemwide issues.

In order to analyze the appropriateness of field unit security staffing levels, this review focuses on several factors related to staffing need. Inmate population in all field units and security staffing in 15 field units were both increased in FY 1986. The analysis included changes in field unit population levels, FY 1986 security staffing ratios, night shift staffing patterns, use of overtime for security staff during FY 1985, and the monthly rate of serious incidents during FY 1985. A matrix model was developed in which these factors were statistically analyzed and specific staffing recommendations were made on the basis of each facility's score in comparison to other facilities.

Changes in Population. Systemwide, field units had an average daily population of 2,544 inmates during FY 1985. During September and October

1985, all field units received additional inmates as part of the Governor's initiative to relieve overcrowding in local jails. As a result, the inmate population rose to 2,884, or 340 inmates over the previous average. The largest proportional increase occurred at the Pulaski field unit. However, the population at Fairfax increased by 40 inmates over FY 1985 averages, representing the largest numerical increase of any facility. Several facilities, including Pulaski, Botetourt, Baskerville, and Harrisonburg, experienced population increases of 20 or more inmates.

Population increases in the field units were generally accommodated by using more stacked beds in place of single beds in housing units. DOC central office personnel reported that field unit operational capacity levels will be increased to reflect the increased population levels.

The analysis used the field unit reserve capacity ratings that were identified in an earlier JLARC report, Virginia's Correctional System: Population Forecasting and Capacity, and the FY 1986 inmate population increases in order to derive a factor representing facility population stress. Of the eleven facilities that deviated from the statistical mean, three of them (Greenville, Haynesville, and White Post) were significantly overstressed in terms of population, and may need additional security staff on the basis of crowded living conditions.

FY 1986 Security Staffing Ratios. During FY 1985, the inmate-to-security staff ratio for the field unit system was 3.58 to 1. Fifteen field units received additional security positions during September and October of 1985. Eleven facilities received one position each, while Tazewell received four positions. Three units, Haynesville, Rustburg, and White Post, received two positions each. DOC central office staff indicated that these field units received additional staff because DOC officials considered them to be understaffed compared to facilities of similar size.

Additional inmates received by the field units during FY 1986, in combination with additional security positions in some facilities, resulted in a systemwide ratio of 3.95 inmates to each security position. Fifteen facilities exceeded this systemwide average. Three of the larger facilities were well above the systemwide average, including Pocahontas (5.38:1), Caroline (4.50:1), and Baskerville (4.28:1).

In order to analyze security staffing ratios at the field units, JLARC staff used FY 1986 staffing levels in combination with average daily population to calculate the systemwide security staffing ratio at the field units. A factor representing relative understaffing in field unit security positions was devised by calculating the standard deviation of the mean staffing ratio. Security staffing at three facilities -- Caroline, Harrisonburg, and Pocahontas -- was two or more standard deviations from the mean. These three facilities are therefore considered to be understaffed in comparison to other field units. These facilities may need additional security staff on that basis.

Night Shift Staffing. The JLARC staff telephone survey revealed that most field unit superintendents believe they have critically low staffing levels during the night shift. Seventeen field units typically staff their night shifts with only three security personnel. Two of these positions are officers

that are posted inside the housing unit -- one at the front door, the other in the dormitory control room. While the third, usually the shift supervisor (sergeant), is posted outside the unit fence.

Many of the field unit superintendents surveyed indicated that they considered their present night shift staffing levels to be critically low. Inmates in one dormitory can easily participate in assaults, drinking, or other illegal activities while the dormitory officer is occupied in the opposite dormitory. Such incidents may often go unreported, as they are not observed by security staff. Having three security personnel on the night shift does not allow for proper staff supervision, since the shift supervisor must occupy a security post. This supervisor must staff the front gate and answer telephone calls to the unit, and therefore cannot roam the perimeter or check on officers inside the facility without leaving this post. Superintendents indicated that they felt they had no other choice for night shift staffing, given their current security staffing levels.

Based on the analysis of night shift security staffing patterns and interviews with superintendents, four security personnel are considered to be the minimum required for safety, security, and appropriate response to incidents in the field units. The existing staffing pattern does not allow the facility to adequately respond to emergencies or to transport inmates that need to receive hospital care.

Those facilities with only three officers are in need of additional security staff during the night shift, and may be in need of additional security positions on the basis of this factor in combination with others in this analysis. Those facilities where no statistically supported indication of need was derived should reassign day officers to the night shift.

Overtime Use by Security Staff. DOC was able to provide JLARC staff with overtime data for the last six months of FY 1985. During that period 25 of 26 field units paid overtime hours to security staff. Eighteen of the 26 field units each used over 100 hours of overtime per month. For field units in this range, overtime use ranged from a high of 926 hours for Pocahontas field unit to 123 hours at White Post. Of the field units with less than 100 overtime hours per month, only Pulaski field unit had no overtime hours recorded during the six-month period.

Most superintendents stated that covering essential posts is impossible without using overtime. Field units that averaged over 100 hours per month most often cited not having enough relief staff to replace personnel on leave or training as a primary factor contributing to overtime use. However, in at least one instance overtime is being charged to a field unit against DOC policy.

The superintendent at the Pocahontas field unit, which had the highest overtime use of all field units in FY 1985, stated that part of the overtime was due to the enterprise operation in Richmond. Inmates from Pocahontas work daily at the Spring Street enterprise operation. Officers who are assigned to transport and provide security for those inmates are employed by Pocahontas. Off duty security personnel are used each day for this duty, which

requires consistent use of overtime. The enterprise division of adult services is required to reimburse Pocahontas for all hours spent performing these tasks by the field unit's officers. However, according to the superintendent, the overtime hours are being charged to the field unit.

Transporting inmates to and from the facility was frequently given by the superintendents as another factor that contributes to overtime. When an inmate is moved from the facility, two officers must be used. Emergency situations contribute to overtime, but not on a frequent basis.

The field unit overtime data had some shortcomings regarding the accuracy of the reporting system (which will be discussed in Chapter IV). However, the data were treated as an additional factor for determining the magnitude of understaffing in the field units. In the analysis, a per-security-staff measure of overtime use was calculated using FY 1985 security staffing levels. From this measure the systemwide mean was derived, which allowed JLARC staff to determine which facilities were using significantly more overtime than others.

On this basis, eleven field units had an excessive amount of overtime use during this time period. Of these facilities, the Baskerville field unit had the largest overtime use, at 31.5 hours per security staff per month, followed by the Fluvanna field unit with 25.4 and the Pocahontas unit with 23. The eight remaining facilities, Capron, Chatham, Halifax, Haynesville, Patrick Henry, Rustburg, Smith Mountain Lake, and Tidewater, had between ten and 14 overtime hours per security staff per month. Each of these 11 facilities may need additional security staff based upon this factor.

Monthly Rate of Serious Incidents. Each DOC facility submits a monthly summary report of serious incidents that have occurred at the facility. Included in this report are incidents such as assaults on inmates or staff, fighting, escapes, deaths, attempted suicides, property damage, and criminal acts.

The rate of serious incidents was included as a factor in determining appropriate security staffing levels, based on the assumption that the more appropriately staffed facilities would have fewer serious incidents. JLARC staff obtained Serious Incident Reports from the department for FY 1985 and calculated the monthly rate of serious incidents for each facility. The results were then standardized by further calculating the rate according to FY 1985 inmate population. A systemwide mean was derived which was used to determine which field units had a higher rate of serious incidents.

Eleven field units had higher rates of serious incidents. The Pocahontas field unit had the highest rate, followed by Fairfax. All eleven facilities identified may need additional security staff on the basis of this factor.

Security Staffing Recommendations

Considering the five security staffing factors, additional security positions are warranted in 15 facilities. The matrix model allowed JLARC staff to establish need, but did not provide any numerical recommendations. Therefore numerical recommendations were based on the ratio of inmates to staff, which was weighted by JLARC staff as the most important factor in the analysis. The staffing recommendations will move these 15 facilities closer to systemwide security staffing ratios. Eleven facilities are recommended to receive one position each, while two positions are recommended for Patrick Henry, four each for Caroline and Pocahontas, and five for Harrisonburg. These recommendations are shown in Table 52.

Four positions are recommended for Pocahontas on the basis of conversations with the superintendent and on the assumption that some staffing economies may be available in the larger facilities. Using the same assumptions regarding staffing economies, no additional security staff are recommended for Baskerville. In addition to these staffing increases, recommendations for food services supervisors (see the nonsecurity section of this chapter) will create additional security staff resources. New nonsecurity food services positions should allow field unit superintendents to re-deploy food services officers to security posts.

Recommendation (50). DOC should increase field unit security staffing levels in 15 field units by a total of 26 additional corrections officers.

SYSTEM-WIDE ISSUES

The review of DOC's field unit system identified three systemwide issues that were common in most facilities: facility post audits, the use of overtime, and utilization of security staff resources. These issues are important for effective analysis of appropriate staffing levels in both nonsecurity and security areas. They also affect superintendents' decisions regarding the deployment and utilization of current field unit staff resources.

Post Audit Analysis

According to DOC, the purpose of the facility post audit is to identify the number of posts needed at each unit, the hours each post is supposed to be staffed, and the number of needed personnel required to staff those posts. JLARC staff's review found that field unit post audits often included nonsecurity personnel, which inflated the total number of security personnel needed. As part of its analysis, JLARC staff identified and deleted any posts that were questionable as to their security nature. As a result of this analysis, grievance coordinators at three units and a nurse at a fourth unit were deleted from post audits.

Most field units submitted post audits to JLARC staff in FY 1984. The study team verified by telephone whether the post audits were current and, where necessary, updated the post audits to reflect current staffing patterns. In a review of all field unit post audits, JLARC staff first analyzed the superintendents' computation of security staffing needs. The superintendents

Table 52

**JLARC STAFF'S RECOMMENDATIONS FOR FIELD UNIT
SECURITY STAFFING¹**

<u>Facility</u>	<u>Current Staffing*</u>	<u>Staffing Ratio</u>	<u>Proposed Staffing</u>	<u>Staffing Ratio</u>	<u>Staff Increase</u>
Capron	24	3.96:1	25	3.81:1	1
Caroline	30	4.50:1	34	3.96:1	4
Chatham	25	4.00:1	26	3.85:1	1
Dinwiddie	23	4.13:1	24	3.96:1	1
Fairfax	40	4.00:1	41	3.90:1	1
Fluvanna	24	3.96:1	25	3.80:1	1
Harrisonburg	23	4.78:1	28	3.93:1	5
Haynesville	25	4.00:1	26	3.85:1	1
New Kent	23	4.13:1	24	3.96:1	1
Patrick Henry	27	4.19:1	29	3.90:1	2
Pocahontas	40	5.38:1	44	5.16:1	4
Rustburg	27	4.07:1	28	3.90:1	1
Stafford	25	4.00:1	26	3.85:1	1
Tidewater	26	4.08:1	27	3.93:1	1
White Post	25	4.00:1	26	3.85:1	1
TOTAL					26

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

*Based on average number of filled positions.

Source: JLARC staff analysis.

identified a shortfall of 235 security positions systemwide. This would indicate a need for 946 positions, as opposed to the FY 1985 staffing level of 711.

The team next applied the revised Sharp formula as recommended by JLARC in its report, Security Staffing and Procedures in Virginia's Prisons. In that report JLARC recommended that DOC use 1,771 available work hours per year for security staff as the basis of the formula, as opposed to the 1,736 hours that DOC had been using. By deleting the questionable posts and applying the revised formula, the total number of needed security staff as indicated by superintendents was reduced from 946 to 929, still a substantial increase that has not been adequately justified. While JLARC staff did not conduct on-site verification of the need for each post identified in the post audits, the team did find that post audits were not standardized according to format, identification of posts, application of the Sharp formula, and exclusion of nonsecurity posts. Uniform post audit procedures must be implemented for a reliable determination of need.

Recommendation (51). DOC should establish a uniform procedure and formula for assessing the need for security posts.

Recommendation (52). Post audits in the field units should be updated annually.

Use of Overtime

DOC had only automated its overtime reports for the last six months of FY 1985 and was therefore only able to provide JLARC staff with overtime data for that particular time period. Analysis of overtime used by nonsecurity and security staff is therefore limited to that time frame.

Overtime use by Nonsecurity Staff. Nonsecurity personnel used an insignificant amount of overtime hours during the six month period under review. Fourteen of the 26 field units recorded overtime use by nonsecurity personnel. The maximum number of hours used by any facility's nonsecurity staff was 108 hours during a single month at Halifax field unit.

Overtime Use by Security Staff. Security staff are the largest users of overtime within field units. From January through June 1985 security staff in the field units used an average of 6,428 overtime hours per month. Table 53 shows the breakdown of overtime use in each facility.

As Table 53 shows, the Pocahontas field unit accounted for the largest aggregate overtime use. As indicated earlier in the security staff analysis section of this chapter, a great deal of the overtime at Pocahontas was of dubious value to the facility and was, in fact, being charged to that facility in violation of DOC guidelines. This situation was ended after two inmates from Pocahontas escaped while on work assignments at the Spring Street facility. Inmates from the field unit no longer work in enterprises at that location. It is unclear how much field unit overtime used by security staff is for authorized situations and how much is due to factors similar to the situation at Pocahontas.

Although the amount of overtime used by field unit personnel was less significant than in the major institutions, an overall problem does exist regarding field unit compliance with DOC's overtime policy. DOC policy requires that overtime be used only in cases of emergency and to fill essential security posts. Nevertheless, each field unit superintendent indicated during interviews that the primary reason for overtime use by field unit staff was inadequate staffing. A total of 38,569 hours of overtime, which equals 44 FTE's was used by field units for the six-month period.

Problems regarding the use of overtime similar to those identified in JLARC staff's security staffing analysis of the major institutions exist at the field units. The reasons for using overtime are not documented; even though staff could verbally indicate why such uses occur, no written documentation was provided to JLARC staff. Superintendents have wide latitude for approving overtime for security purposes, and the application of a standard for justifying overtime use varies among facilities.

Table 53

USE OF OVERTIME BY FIELD UNIT SECURITY STAFF

<u>Facility</u>	<u>Average Monthly Overtime Hours</u>	<u>FTE</u>
Pocahontas	926.33	6.28
Baskerville	852.72	5.78
Halifax	758.10	5.14
Fluvanna	610.75	4.14
Patrick Henry	359.67	2.43
Capron	343.00	2.33
Smith Mtn. Lake	342.90	2.32
Chatham	327.92	2.22
Fairfax	278.80	1.89
Tidewater	273.23	1.85
Rustburg	258.92	1.75
Nansemond	254.32	1.72
Haynesville	246.55	1.67
Caroline	220.17	1.49
New Kent	204.85	1.39
Harrisonburg	183.50	1.24
Haymarket	173.67	1.18
White Post	123.08	0.83
Dinwiddie	92.33	0.63
Culpeper	90.17	0.61
Wise	57.42	0.39
Stafford	22.83	0.15
Greenville	17.00	0.12
Botetourt	16.50	0.11
Tazewell	4.17	0.03
Pulaski	0.00	0.00
TOTAL	6428.15	43.67

Source: 1985 DOC Summary Report of Overtime by Classification, and JLARC staff analysis.

There appears to be consistent use of overtime at most facilities, but inadequate reporting and documentation makes it difficult to assess whether overtime results directly from emergencies, a lack of staff, or other factors.

Consistent with the recommendation on the use of overtime in JLARC's report, Security Staffing and Procedures in Virginia's Prisons, DOC

should modify its overtime reporting system to ensure documentation of the reasons for using overtime, which staff are utilized, and how frequently overtime use occurs.

Recommendation (53). DOC should modify its overtime reporting system to separately identify overtime worked for emergencies and overtime worked to cover essential security posts in the field units.

Utilization of Security Staff in the Field Units

A number of the security personnel at the field units are assigned to posts that are essentially nonsecurity in nature. These include food services, clerical, and accounting. Superintendents indicated that in most cases these duties are essential for operating the facility, and because they have limited nonsecurity personnel assigned to their facilities, they utilize existing security staff.

Utilization of security staff for food services was discussed in a previous section of this chapter. However, JLARC staff found that 13 of the field units have assigned correctional officers to perform duties that are clearly the responsibility of clerical staff. Superintendents indicated during interviews that security personnel are often assigned to assist clerks in one or more areas. These duties include maintaining inmate files, processing transactions onto inmate and facility financial accounts, and general typing duties. Additional duties involve personnel and commissary responsibilities.

Of the 13 units that do not customarily assign security personnel to clerical duties, four have two clerks, and seven use P-14 positions in addition to a classified clerical position. In many units, accounting or personnel functions must be performed by the facility administrators.

At the field units, superintendents may have to use available security staff to perform some nonsecurity tasks because of limited nonsecurity personnel and in order to perform certain functions to meet DOC standards.

Assigning security personnel to principally perform nonsecurity tasks, however, is not an appropriate use of security personnel. Nonsecurity personnel should be used to perform these tasks and at less cost. As an example, food service supervisors are pay grade 6 personnel, while corrections officers generally advance to pay grade 7 after six months of employment. DOC could save the additional cost of using corrections officers for this nonsecurity function by employing food service supervisors, while at the same time enhancing security by utilizing uniformed security personnel appropriately. With the staffing recommendations that have been made in this report for food services personnel and the recommendations for additional support from the regional office in clerical functions, field units should no longer need to routinely use security staff in this way.

SUMMARY OF JLARC RECOMMENDATIONS

Table 54 shows recommended nonsecurity and security staffing changes in the field units. A total of 77 additional FTEs are recommended in both nonsecurity and security areas.

For nonsecurity functions, 48 additional full-time and six additional part-time positions are recommended. Twenty additional full-time food service supervisor positions are recommended for the 20 field units that currently use correctional officers for food services, and six additional part-time nurse positions are recommended at six facilities to give each a full-time nurse. For counseling positions, 28 additional full-time positions are recommended. These additional positions would ease pre-existing case management pressures, which were generally intensified by recent inmate population increases in the field units. These additional counseling positions would bring counseling caseloads in the field units closer to the system average for the major institutions.

Twenty-six additional security positions, all correctional officers, are recommended for nine field units. These staff increases are warranted given current population levels, security staff ratios, and the widespread practice in the field units of posting only three officers at night. These additional officer positions should be assigned to cover additional night posts where they are needed.

Table 54

**SUMMARY OF JLARC STAFF'S RECOMMENDATIONS
ON FIELD UNIT STAFFING¹**

	Food Services	Nurses	Counselors	Nonsecurity Total	Security	Total Staffing
Baskerville	1	0	2	3.0	0	3.0
Botetourt	1	0	1	2.0	0	2.0
Capron	1	0.5	1	2.5	1	3.5
Caroline	0	0	1	1.0	4	5.0
Chatham	1	0	1	2.0	1	3.0
Culpeper	1	0.5	1	2.5	0	2.5
Dinwiddie	0	0	1	1.0	1	2.0
Fairfax	0	0	1	1.0	1	2.0
Fluvanna	1	0.5	1	2.5	1	3.5
Greenville	1	0	1	2.0	0	2.0
Halifax	0	0	2	2.0	0	2.0
Harrisonburg	1	0	1	2.0	5	7.0
Haymarket	1	0	1	2.0	0	2.0
Haynesville	1	0	1	2.0	1	3.0
Nansemond	1	0.5	1	2.5	0	2.5
New Kent	0	0	1	1.0	1	2.0
Patrick Henry	1	0	1	2.0	2	4.0
Pocahontas	0	0	2	2.0	4	6.0
Pulaski	1	0	1	2.0	0	2.0
Rustburg	1	0	1	2.0	1	3.0
Smith Mtn. Lake	1	0.5	1	2.5	0	2.5
Stafford	1	0.5	1	2.5	1	3.5
Tazewell	1	0	0	1.0	0	1.0
Tidewater	1	0	1	2.0	1	3.0
White Post	1	0	1	2.0	1	3.0
Wise	<u>1</u>	<u>0</u>	<u>1</u>	<u>2.0</u>	<u>0</u>	<u>2.0</u>
TOTAL	20	3.0	28	51.0	26	77.0

¹Staffing adjustments should be made to Funded Employment Levels as of June 30, 1985.

Source: 1985 PMIS Reports, and JLARC staff analysis.

IV. SYSTEMWIDE ISSUES

JLARC's staff review of the appropriateness of nonsecurity staff in DOC's major institutions revealed consistent problems in personnel misclassification, overtime utilization, and inmate labor. Two of these systemwide problems, the use of overtime and misclassification (or malutilization) of security personnel, were also identified in JLARC's report, Security Staffing and Procedures in Virginia's Prisons.

As that report noted, facility managers have wide discretion in deciding when to use overtime. While overtime is supposed to be restricted to emergencies, liberal use of this contingency has led to excessive overtime at some institutions. Indeed, some institutions appear to routinely use overtime to fill posts.

Misclassification (or malutilization) of security personnel results when security personnel are assigned to duties that are clearly nonsecurity in nature. Almost all institutions appear to supplement nonsecurity staffing by assigning nonsecurity duties to security personnel.

DOC's institutions consistently use overtime in large amounts. During FY 1985, DOC paid out \$5.9 million in overtime, up from previous expenditures. Wardens and superintendents have wide discretion in use of overtime. While the department has guidelines on overtime use, institutional staff do not appear to comply with those guidelines.

The use of inmates to perform institutional work has been standard practice throughout corrections history. The number of inmates employed varies among institutions. However, most inmates are employed in maintenance, food service, and housekeeping duties.

This chapter will examine misclassification, overtime utilization, and inmate labor from a systemwide perspective.

MISCLASSIFICATION

Virginia's employee classification plan attempts to unify positions with similar duties and responsibilities into job classes. Misclassification occurs when employees spend the majority of their time performing duties that are not included in their position classifications. Malutilization is a similar concept, and involves the assignment of personnel outside their classifications. Both malutilization and misclassification are discussed here as misclassification.

Since the State's compensation plan is predicated on the proper classification of positions, misclassification can result in inequitable compensation for work performed. Misclassification also results in equity problems. Guards working directly with prisoners may resent others drawing officer pay for working as mailroom clerks, for example. Misclassifying

personnel also makes it difficult to assess staffing needs. In fact, one reason Virginia may appear to have exceptionally high guard-to-inmate ratios, compared to other states, is the extensive use of guards for nonsecurity work.

Another result of using security personnel to perform nonsecurity functions is the impact such action has on overtime hours. Major institutions during FY 1985 used approximately 483,000 hours of overtime, or the equivalent of 272 FTE's. Although the precise number of hours cannot be determined from existing documentation, a portion of those hours were used to fill essential security posts.

The first type of misclassification, and the most frequent, involved security personnel used to perform nonsecurity duties. JLARC staff identified a number of misclassifications in its Security Staffing and Procedures in Virginia's Prisons report. Some of the positions identified in that report, particularly those working in the mailroom and canteen and on the switchboard, are also discussed in this report. As noted in the Security Staffing report, security personnel were typically used to perform nonsecurity duties because: (1) the nonsecurity positions were not established; (2) they were recently abolished during staffing reductions; or (3) there were shortages of staff. The use of corrections officers to perform nonsecurity duties constitutes an inappropriate use of security personnel and is not cost beneficial because security personnel's salaries are generally higher than the comparable nonsecurity positions.

In this report, JLARC staff identified 73 security personnel who were routinely performing nonsecurity duties. If these employees had been used to fill security posts, the total amount of overtime hours could have been reduced considerably.

The second type of misclassification involved nonsecurity personnel who performed duties of other nonsecurity classified positions. For example, the business managers at Bland and Buckingham identified three clerks who were performing accounting duties normally assigned to fiscal technicians.

Misclassified Nonsecurity Positions

Table 55 indicates, by functional assignment, the number of nonsecurity personnel identified as misclassified. JLARC staff identified 12 cases in this category. These positions were evenly distributed among institutions, with eight institutions having one to three cases of misclassification.

Each case of misclassification was discussed in Chapter II. Some cases were identified by unit managers and should be reviewed by DOC personnel for possible reclassification. Other positions were identified by JLARC staff, with specific remedial action recommended. The use of misclassified nonsecurity personnel, however, is not as widespread as the use of misclassified security personnel.

Table 55

MISCLASSIFIED NONSECURITY POSITIONS

<u>Institution</u>	<u>Accounting</u>	<u>Personnel</u>	<u>Administration</u>	<u>TOTAL</u>
Bland	1	0	0	1
Brunswick	1	0	0	1
Buckingham	2	1	0	3
Deerfield	0	2	0	2
James River	0	0	1	1
Penitentiary	0	0	1	1
Powhatan	0	0	2	2
Staunton	<u>0</u>	<u>1</u>	<u>0</u>	<u>1</u>
TOTAL	4	4	4	12

Source: DOC interviews, summer 1985.

Misclassified Security Positions

The institutions and the functional areas in which security personnel were found to be performing nonsecurity functions are identified in Table 56. As shown, 73 security personnel were identified as misclassified. All major institutions except the Youthful Offender Center had some level of misclassification. The distribution of these misclassified positions showed significant variation among institutions. This variation indicates, at least in part, the willingness of some wardens to use security personnel to perform nonsecurity tasks.

The primary users of misclassified security personnel included Powhatan with 14, St. Brides with 12, Southampton with 11, and Bland with 10. Maintenance and support services used over three-fourths of all the misclassified security positions with 34 and 24, respectively. Table 57 shows the specific areas in which the corrections officers were being used. The largest area of assignment was in facility maintenance, where 25 officers were being used.

These 73 corrections officers represent only a portion of the security personnel performing nonsecurity duties. Only the corrections officers who work within the six functions identified in Table 56 were reviewed in this report. Corrections officers also work in other nonsecurity functions, such as farming, which were not examined. For example, two corrections officers who work in Marion's maintenance department actually tend the cattle farmed out by Bland. The use of these two security positions for nonsecurity tasks is not included in Table 55 nor assessed in this report. DOC should determine the extent to which security staff are performing nonsecurity duties and reclassify those positions to reflect the nonsecurity nature of their jobs.

Table 56
MISCLASSIFIED SECURITY POSITIONS

<u>Institution</u>	<u>Maintenance</u>	<u>Food Services</u>	<u>Treatment</u>	<u>Administration</u>	<u>Support</u>	<u>Clerical</u>	<u>Total</u>
Bland	5	2	2	0	1	0	10
Brunswick	3	0	0	0	2	0	5
Buckingham	2	0	0	0	1	0	3
Deerfield	0	0	1	0	1	0	2
James River	2	0	0	0	1	0	3
Marion	2	0	0	0	2	0	4
Mecklenburg	1	0	0	0	1	0	2
Nottoway	0	0	0	0	1	0	1
Penitentiary	0	0	1	0	2	0	3
Powhatan	8	0	1	0	4	1	14
St. Brides	3	0	2	1	3	3	12
Southampton	8	0	1	0	2	0	11
Staunton	0	0	0	0	1	0	1
VCCW	0	0	0	0	2	0	2
TOTAL	34	2	8	1	24	4	73

Source: DOC interviews, summer 1985.

Table 57
ASSIGNMENT OF MISCLASSIFIED
SECURITY PERSONNEL

<u>Function</u>	<u>Area of Assignment</u>	<u>Officer Assigned</u>
Maintenance	Facility Maintenance	25
	Power Plant	9
Food Services	Food Service Supervision	2
Treatment	Recreation	6
	Counseling	2
Administration	Administrative Assistance	1
Support	Commissary	12
	Switchboard	6
	Laundry	4
	Warehouse	2
Clerical	Administration	2
	Maintenance	2
TOTAL		73

Source: DOC interviews, summer 1985.

Specific recommendations regarding security staff who perform nonsecurity functions were made in each functional write-up in Chapter II. To summarize those recommendations, however, 16 of the security positions should be reclassified to reflect the nonsecurity nature of their duties, and 16 should be relieved of the nonsecurity tasks included in their job responsibilities.

JLARC staff were unable to determine whether the other 41 misclassified corrections officer positions should be reclassified to reflect the nonsecurity nature of their tasks or be relieved of their nonsecurity tasks. These 41 officers worked within the maintenance and support services areas. Further review of misclassification in these areas should be made by DOC.

Recommendation (54). DOC should carefully assess reclassification recommendations made in this report and implement them promptly. In the future, DOC should carefully adhere to State policies regarding proper classification and utilization of personnel.

UTILIZATION OF OVERTIME

The Department of Corrections is one of a few State agencies given approval to use overtime under State personnel policy. The intent of the policy is to provide some State agencies the means to handle staffing during emergency situations.

DOC policy permits overtime use only in emergencies and to fill essential security posts. It defines the personnel who are eligible for overtime pay and those eligible for compensatory time. Corrections officers, some higher ranking security personnel, and specified nonsecurity personnel, upon approval by the director, may earn overtime pay at time and a half for hours they work beyond a scheduled work period. Overtime can be approved by the warden or superintendent for specified nonsecurity staff if a bona fide emergency exists.

How facility managers actually implemented DOC's overtime policy varied throughout the system, and where there was consensus on the use of overtime, managers tended to be in violation of DOC policy. For example, most wardens indicated that they used overtime in food services because of shortages in personnel. DOC's policy, however, does not provide for such use of overtime to cover nonsecurity assignments.

DOC's correctional institutions continue to use large amounts of overtime. To reduce excessive use of overtime, DOC's director mandated a reduction in overtime at all institutions. Wardens and superintendents, whose staff are the primary users of overtime, have been directed to make reductions in many instances by as much as 50 percent.

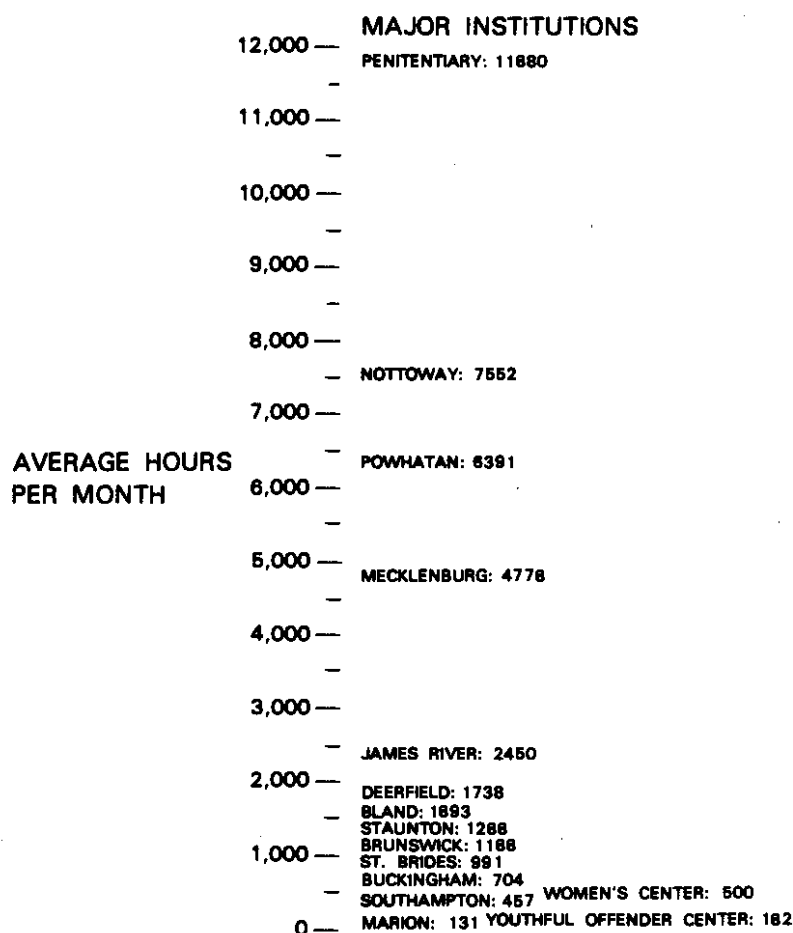
At one institution, overtime has become such an integral part of employees' work schedules that attempts to reduce it have resulted in employee resistance. At another institution, where overtime has steadily increased, the warden was ordered by the regional administrator to reduce his over-

time by 50 percent. To meet this directive the warden indicated he would have to reduce some inmate services. After he received threats from inmates that they would react to the planned reduction of services, the warden appealed the regional administrator's directive to DOC's central office and was granted an exception. The warden then had no restrictions on overtime use, which cost an average of about \$40,000 per pay period. Institutional managers, despite having tighter controls placed on overtime use, continue to have wide discretion on deciding when to use overtime.

During FY 1985, DOC paid \$5.9 million in overtime to employees in the major institutions and field units, up from \$2.8 million paid in FY 1984. The total number of hours of overtime used in FY 1985 by adult institutional staff was approximately 482,908, compared to 363,900 hours from the previous year. As shown in Figure 13, the Penitentiary, Nottoway, Powhatan, and Mecklenburg had the highest amount of paid overtime. Security staff continued to be the prime users of overtime at the correctional institutions, accounting for 92 percent of all overtime used by institutional staff during FY 1985. Nonsecurity staff used a total of 41,964 hours of overtime.

Figure 13

Average Monthly Total Overtime



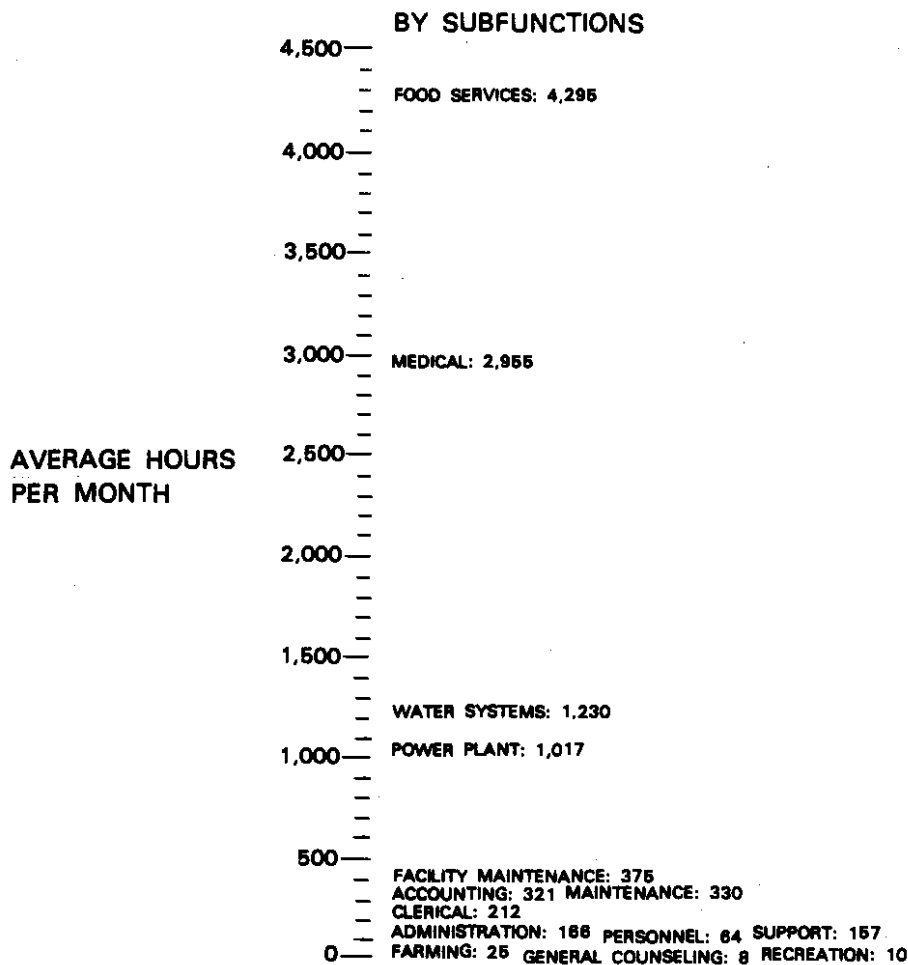
Source: JLARC analysis of DOC data.

Within nonsecurity functions, as indicated in Figure 14, food services and medical functions accounted for the most use of overtime; however, there was wide variation among the institutions. As Table 58 shows, during FY 1985, Nottoway, the Penitentiary, and Powhatan consistently used overtime, while Buckingham recorded no overtime hours. Penitentiary staff used 13,398 hours of overtime during FY 1985, or 32 percent of the total nonsecurity overtime hours. Nottoway, which opened in August 1984, was the next highest user of overtime, with 8,990 hours during a nine-month period.

Because of the way overtime is used throughout the year, it is impossible to convert hours of overtime used into needed FTE positions. For example, during FY 1985 the Penitentiary reported using 5,532 hours of overtime one month and 511 hours another month. James River reported 2,335 hours one month and no hours for three months. There is no consistent pattern of overtime use that could be readily translated into staffing needs. Therefore, awarding staff to an institution based on the total hours of overtime used would only account for peaks in use and not overall need for staff.

Figure 14

Average Monthly Nonsecurity Overtime



Source: JLARC analysis of DOC data.

Table 58

OVERTIME HOURS USED BY NONSECURITY STAFF
FY 1985

<u>Major Institution</u>	<u>Maint</u>	<u>Food Services</u>	<u>Acc Pers</u>	<u>Medical</u>	<u>Treatment</u>	<u>Adm/Supp</u>	<u>Total</u>
Bland	297.9	112.5	51.9	481.9	0.0	94.3	1038.5
Brunswick	81.0	301.5	55.0	595.0	1.0	351.0	1384.5
Buckingham	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Deerfield	10.0	44.0	0.0	194.0	0.0	3.0	251.0
James River	2335.0	18.5	0.0	574.5	0.0	0.0	2928.0
Marion	60.0	22.0	3.5	0.0	0.0	181.0	266.5
Mecklenburg	479.5	3312.5	446.8	1769.5	484.5	193.5	6686.3
Nottoway*	1736.5	2389.5	1809.0	1613.0	338.5	1104.0	8990.5
Penitentiary	1285.0	5532.3	511.8	4351.7	503.5	1214.5	13398.8
Powhatan	4.0	2209.7	0.0	2594.0	0.0	0.0	4807.7
Southampton	0.0	38.5	0.0	17.0	0.0	4.7	60.2
St. Brides	80.5	238.1	32.6	537.6	0.0	0.0	888.8
Staunton	306.0	24.0	0.5	459.5	12.8	0.0	802.8
VCCW	0.0	0.0	0.0	311.5	0.0	0.0	311.5
YOC	0.0	34.5	0.0	8.0	0.0	0.0	42.5
TOTAL	6,675.4	14,277.6	2,911.1	13,507.2	1,340.3	3,146.0	41,857.6

*Figures are based on the nine-month period of October 1984 - June 1985.

Source: Warden's response to JLARC questionnaire 1985.

The JLARC staff report Security Staffing and Procedures in Virginia's Prisons found that DOC did not have an adequate overtime monitoring mechanism to distinguish the purposes for which security staff worked overtime. In that report it was recommended that DOC develop a mechanism to separately identify overtime worked for emergencies and overtime worked to fill essential posts. This mechanism is still not in place.

A similar lack of documentation of overtime use was found in the review of nonsecurity staff. Wide variation existed on what constituted an emergency. Some administrators approved overtime whenever there was a shortage of staff, while other administrators never approved overtime for nonsecurity staff unless an escape or similar emergency existed. Consistent use of overtime occurred at some institutions, while other facilities had no recorded overtime use. Only limited documentation is available to justify why overtime occurred.

Recommendation (55). DOC should modify its overtime reporting system to separately identify -- whether compensated by payment or by leave time -- overtime worked for emergencies and overtime worked to cover essential security posts. Where overtime is consistently worked to cover security posts, new post audits should be conducted or procedures should be changed to eliminate the overtime. Overtime should not be used to routinely enhance staff availability.

INMATE LABOR

Using inmates to perform institutional work has been standard practice throughout the history of corrections. The original premise was to confine convicts to hard labor as punishment for their crimes. Through the years that principle has evolved into a philosophy that providing inmates with productive tasks to perform will have redeeming effects on behavior during and after incarceration.

In addition to the highway work crews, Virginia uses inmates to work within the adult prisons on such tasks as the production of goods and services, facility maintenance, and farming. Production-oriented tasks include enterprise jobs such as printing, chair construction, and cabinet making. Institutional work assignments range from kitchen duty to working as a skilled electrical or plumbing mechanic. Inmates can also work on the farms, where a large percentage of DOC's produce is grown. Finally, inmates who have proven that they are trustworthy are allowed to participate in work release programs with employers in the private sector.

Extensive work programs have been established throughout the system in part to act as rehabilitation vehicles for gaining productive work habits and skills. The experience of working can help inmates upon their release as well as during their prison terms by giving them a source of income. Working inmates can also act to substitute for, or supplement, regular staff.

Laws and Policies

The *Code of Virginia* recognizes that inmates should be given work opportunities by stating, "To the extent feasible it shall be the duty of the Director to provide inmates...with opportunities to work." The Code also provides for DOC to establish a method for paying inmates who work.

The Board of Corrections, in carrying out the mandate on inmate labor, developed a policy in the Standards for Adult Institutions that requires each institution to develop work objectives for inmates. In so doing, each institution should consider the needs of the institution, the inmates' needs, and what risks may exist to the public and staff when establishing inmate work assignments.

DOC policies on inmate labor allow for some discretion by institutional staff in work assignments and in choosing who can work. Due to recent events, however, restrictions have been placed on the movement of prisoners outside the perimeter of institutions and in certain areas within the

facilities. For example, DOC policy now forbids high risk, normally "C" custody, and some "B" custody inmates to work outside the fence. DOCs' controller recently requested in a memo to all wardens and superintendents that inmates not be allowed to work in commissaries, primarily as a result of a \$55,000 loss in inventories during the previous fiscal year.

Current Employment of Inmates

The number of inmates employed varies among institutions. Looking across the system during the summer of 1985, the employment levels ranged from nearly full employment at James River and Southampton to 42 percent unemployment at Buckingham. Table 59 shows the breakdown of inmates working by institution. At nine of the 15 major institutions, more than 20 percent of the inmates were not working. Systemwide, 24.8 percent of all inmates were not working.

As Table 60 indicates, over half of the inmates worked in four areas: housekeeping, enterprises, food services, and maintenance. Enterprises

Table 59

INMATES WORKING AND PERCENTAGE NOT WORKING

<u>Institution</u>	<u>Inmates Working</u>	<u>Population</u>	<u>Percentage Not Working</u>
Bland	365	446	18.2
Brunswick	421	677	37.8
Buckingham	402	696	42.2
Deerfield	214	283	24.4
James River	308	313	1.6
Marion	118	146	19.2
Mecklenburg	211	260	18.9
Nottoway	421	658	36.0
Penitentiary	726	827	12.2
Powhatan	489	686	28.7
St. Brides	265	429	38.2
Southampton	448	473	5.3
Staunton	317	522	39.3
VCCW	280	368	23.9
YOC	64	88	27.3
TOTAL	5049	6872	24.8

Source: Warden's response to JLARC staff questionnaire 1985.

Table 60

AREAS OF INMATE EMPLOYMENT

<u>Institution</u>	<i>Enterprises</i>	<i>Maintenance</i>	<i>Food Services</i>	<i>Housekeeping</i>	<i>Farming</i>	<i>Support</i>	<i>Medical</i>	<i>Administration</i>	<i>Total</i>
Bland	0	67	88	69	118	6	10	7	365
Brunswick	81	153	72	49	3	9	4	50	421
Buckingham	61	161	87	52	4	6	6	25	402
Deerfield	0	116	49	23	8	1	17	0	214
James River	0	11	44	119	134	0	0	0	308
Marion	0	98	10	2	7	1	0	0	118
Mecklenburg	29	160	16	0	0	6	0	0	211
Nottoway	100	88	58	144	5	9	4	13	421
Penitentiary	328	202	89	54	0	30	16	7	726
Powhatan	169	37	123	99	0	0	16	45	489
St. Brides	0	104	82	79	0	0	0	0	265
Southampton	83	87	86	118	47	0	1	26	448
Staunton	61	100	81	52	0	20	3	0	317
VCCW	140	78	52	4	0	6	0	0	280
YOC	0	0	10	24	30	0	0	0	64
TOTAL	1052	1462	947	888	356	94	77	173	5049

Source: Warden's response to JLARC staff questionnaire, 1985.

employed a large number of inmates, while functions such as farming, clerical, and support services offered limited work opportunities. Seventy percent of the inmates working in the farming area were employed at Bland and James River Correctional Centers.

DOC should make every effort to provide meaningful work for all inmates. Working can provide inmates with marketable skills, reduce boredom, and, in some cases, supplement for nonsecurity staff.

Recommendation (56). DOC should explore all possible work opportunities at the institutions to involve more inmates in work that will develop marketable skills.

Recommendation (57). In areas such as facility maintenance and water systems, DOC should consider utilizing inmates to substitute for regular staff whenever possible.

APPENDIXES

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APPENDIX A

REGRESSION ANALYSIS

JLARC staff applied regression analysis as one of a series of methods for measuring relationships between the levels of staff for several functional areas. Each application of the regression analysis is intended to identify variations in staffing patterns among institutions by associating factors that closely relate to staffing.

The regression analysis determines if there is a linear relationship between staffing levels and selected independent variables. Where a linear relationship is indicated, the regression estimates how much the staffing level varies with each independent variable. Using these estimates, each regression model produces a "predicted" level of staff for each institution compared with its actual staffing level. If the difference between the predicted staffing level and the actual staffing level is greater than a statistically acceptable level, then the institution is considered an "outlier." Each outlier institution was reviewed using other staffing criteria to test further the appropriateness of their staffing levels.

The primary use of the regression analyses is to identify institutions that are staffed much higher or lower than the statewide staffing pattern. The models indicate the difference for each institution between its actual and predicted staffing levels.

Regression Models

JLARC staff used five models to predict the staffing levels of each institution. The key features of each model are shown in Table 1. Three of the models use only one independent variable to predict staffing. Two models, clerical and food services, use two and three independent variables, respectively, to predict staffing levels. However, each model demonstrated moderately strong to strong explanatory power, as the coefficients of determination ranged from (0.58) to (0.92).

Identification of Outliers

An institution was identified as an "outlier" if its actual staffing level was one or more deviations away from its predicted level. A deviation was measured using the mean squared error (MSE) of the regression estimate, which takes into account the variation in the system-wide staffing pattern. If an institution's staffing level paralleled that of the system-wide pattern, then its predicted staffing level was near its actual staffing level, and its residual value (the difference between the actual and predicted staffing level) was less than one MSE. Conversely, institutions with staffing levels above the general pattern their residual values were greater than one MSE.

Table 1
REGRESSION ANALYSIS MODELS

<u>Regression Models</u>	<u>Number of Cases</u>	<u>R²</u>	<u>Independent Variables</u>	<u>Outliers</u>
Accounting	12	0.86	Inmate population	Mecklenburg, Marion, VCCW Powhatan
Clerical	15	0.92	Nonsecurity staff served by clerical staff. Major Medical Facility ^a	Penitentiary, Southampton, James River, Powhatan,
VCCW				
Facility Maintenance	14	0.58	Square footage of physical plant	Bland, Marion Mecklenburg, Penitentiary
Food Services	15	0.92	Number of meals, Number of inmates work in kitchen, Design features of food operation ^b	Powhatan, Penitentiary, Staunton
General Counseling	15	0.77	Inmate population	Staunton, Marion

Note: The probability value for each regression model is (.0001) except for the facility maintenance model which is (.0016).

^aThis is a dichotomous variable identifying each institution as a major medical facility or not. Powhatan and the Penitentiary are designated as DOC's major medical facilities.

^bInstitutions in this category satellite food to inmates in their cells or have multiple dining facilities. Five institutions are in this category - Powhatan, Penitentiary, Staunton, Mecklenburg and VCCW.

Source: JLARC Regression Analyses

Using one MSE as a cutoff for an acceptable staffing level establishes a fairly high standard. It identifies institutions that are staffed differently from the system-wide pattern as appropriate for further analysis. The results of the regression analysis are combined with the findings of other staffing criteria before making final staffing adjustments for institutions.

APPENDIX B

FIELD UNIT SECURITY STAFFING ANALYSIS

Since JLARC staff began its series of studies on corrections the inadequacy of security staffing in the field units was consistently mentioned as a problem area by DOC staff. After visiting each of the field units JLARC staff also observed shortages in field unit staffing.

The standard DOC method for determining security staffing needs involves a "post audit" process that assesses the need for each post at a facility, and the number of personnel to fill those posts. However, DOC had not conducted a thorough post audit of the field units in a number of years, and time and resource constraints did not permit JLARC staff to perform a complete post audit.

A substitute method was developed to determine which field units were in need of additional security personnel. The basis of the analysis was the application of a staffing index. The index compared field units using factors that are generally accepted as having impact on security staffing levels.

Using the model, referred to as the "decision matrix" model, a staffing index was used to identify appropriately staffed or understaffed facilities. In understaffed field units, staffing additions were recommended based on inmate-to-staff ratios.

The five factors included in the matrix are:

1. *Average Daily Population/Reserve Capacity* - This is a stress measure of population related to the capacity of a field unit. The October 1, 1985 average daily populations were divided by JLARC's reserve capacity measure for each field unit. A higher inmate to capacity ratio indicates a greater need for security personnel.
2. *Average Daily Population/Security Staffing Levels* - This is a stress measure of population related to security staffing levels. The October 1, 1985 average daily populations were divided by the average number of filled security positions for FY 1985. The higher the inmate to staff ratio the greater the indicator of need for security personnel.
3. *Number of security staff on night shift* - This is a measure of the level of security staff during night shifts. Four security personnel during the night shift was considered as a minimum level to operate effectively. Field units below the minimum level indicated a greater need for security personnel.

4. *Average number of serious incidents* - This factor was used to measure the relationship between levels of serious incidents and security staffing. The average number of serious incidents per month for each field unit was compared with the average for all field units. Field units above the system average indicated a greater need for security personnel.
5. *Total Overtime Hours/Average Number of Security Staff* - This factor was used as a measure of need for security personnel. The total overtime hours paid to security staff for FY 1985 was divided by the average number of filled security positions. Field units with overtime to staff ratios above the system average indicated a greater need for security personnel.

Each factor was weighed differently within the matrix according to JLARC staff's ranking of importance. Table 1 lists the five factors, including the weight attached to each.

The values assigned to each factor are relative measures for two and absolute measures for three factors. The relative measures are based on the number of standard deviations each field unit was from the system average. This approach was used for the population factor and the inmate-to-staff ratio. The absolute measures were used for the other three variables. For the night shift factor field units below the systemwide average of four positions at night received a value of one. For serious incidents and overtime factors, field units above the systemwide average received a value of one.

The weights placed on each factor were based on JLARC staff's ranking of the relative importance of each factor's impact on security staffing. Weights were assigned to each factor based on a survey of JLARC staff who worked on previous and current corrections studies. Eight JLARC staff, who collectively had visited all adult institutions, were asked to rank order the factors they felt had the most impact on security staffing. Combining the results of that survey produced the rank order and weights as shown in Table 1. Other methods tested by JLARC staff produced similar rank ordering results.

Each factor was rated on a scale of one to five, with five representing the highest impact on staffing. The weights applied to each factor are listed in Table 1. The inmate-to-staff ratio was rated as having the greatest impact and was assigned a value of four. Serious incidents and overtime use were considered to have the least impact on staffing, and were assigned weights of one.

There were several reasons for ranking staff-to-inmate ratio the highest of the factors:

- (1) proper supervision and control of inmates is a high priority;
- (2) DOC staff have consistently indicated they must maintain a proper balance of staff to inmates; and
- (3) too few security staff could lead to loss of control over the population.

Table 1
MATRIX MODEL

<u>Variable Description</u>	<u>Value Assigned</u>	<u>Variable Weight</u>
Average Daily Population Divided by Security Staffing Levels	Equal to the number of standard deviations from the system mean	4
Average Daily Population Divided by Reserve Capacity	Equal to the number of standard deviations from the system mean	3
Higher Staff on Night Shifts	This is dichotomous, value either 0 or 1	3
Higher Occurrence of Serious Incidents	This is dichotomous, value either 0 or 1	1
Higher Overtime per Security Staff	This is dichotomous, value either 0 or 1	1

Source: JLARC staff analysis.

The frequency of serious incidents ranked low because of DOC's lack of a uniform policy on defining the types of serious incidents. Overtime was ranked low due to lack of documentation on whether overtime was used during emergencies, to fill essential parts, or because of lack of adequate staff.

To determine what value to assign each field unit, the weight is multiplied by the value for each factor and then summing the products into a total value. Each field unit's total value was then compared with the system average. If a field unit was above the average, this indicated a need for additional security personnel. Fifteen field units were determined to have a need for more security staff. Additional staff were recommended for these field units based on inmate-to-staff ratios.

APPENDIX C

JLARC'S CALCULATION OF MEDICAL STAFF'S WORK HOURS

During JLARC staff visits to institutions, the issue of dentist and physician hours was raised. Occasionally other DOC staff, including other medical personnel, such as nurses, would complain about the infrequent hours worked by dentists or doctors. In addition, JLARC staff observed informally that they were not on site when they might have been expected.

To examine further the concerns raised by these observations and comments, a survey was sent to major institutions requesting data on total hours worked by all medical personnel. The data returned by the institutions often showed major differences between hours worked by physicians and dentists and hours worked by other medical personnel, such as nurses and technicians.

Data received by JLARC staff on the number of hours worked by medical personnel were used to compare total hours worked by each physician and dentist with the number of hours for which they were paid. Institutions provided, for each pay period in FY 1985, data on "total hours" worked by all medical personnel. Material received from the institutions was signed or initialed by the warden. JLARC staff subsequently verified by telephone that authorized time away from the job was included in the data base. As such, total hours worked were verified to include annual and sick leave, authorized holidays, and other hours from the job during normal work hours.

Elements of the Analysis

The unit of analysis is each salaried physician and dentist, full-time or less than full-time, at the major institutions. Personnel under contract were not included in the analysis. Seven institutions had all or some of their employees excluded from the analysis. The Women's Center and James River utilized contracted physicians and dentists and were excluded from the analysis. Brunswick, Buckingham, and Staunton reported that physicians and dentists worked 40 hour weeks, and that total work hours equaled hours that they were paid, these positions were excluded from the analysis. JLARC staff excluded some, or all, physicians and dentists at Marion and Powhatan because they were not employed for a significant amount of time during the period of analysis. The above exceptions excluded 11 positions -- 6 physicians and 5 dentists from the analysis.

Data collected and validated by JLARC staff indicated that DOC physicians were paid \$602,319 for hours not worked in FY 1985. This figure, along with the entire draft of this report, was submitted to DOC for review on May 23, 1986. At meetings with DOC prior to the release of the report, a member of DOC's top management stated that as a warden he had himself been

frustrated with the physicians work hours at his institution and once had attempted to increase their work hours to no avail.

Subsequent to the JLARC staff briefing on nonsecurity staffing, criticism of DOC resulted in a review of physicians hours by the department. As part of its review, DOC resurveyed institutions regarding hours worked.

DOC's survey results, in most instances, indicated a narrower gap between available hours and hours worked than the JLARC survey. However, at three institutions not included in JLARC staff's analysis DOC's results indicated that a number of positions in fact, could have been included, for example:

The two physicians and one dentist at Staunton, originally reported to JLARC staff as working full work weeks, were according to DOC's survey working less hours than the required work week. Based on DOC's calculations the hours not worked at Staunton totaled \$25,000.

The warden at Buckingham originally verified to JLARC staff by telephone that a physician worked a 40 hour week. However, since DOC's Director ordered all physicians and dentists to work their full terms of employment, the physician has threatened to resign.

Based on a review of DOC's survey, JLARC staff elected to use its earlier survey for a number of reasons, including:

- The original survey was conducted in a reasonable manner and validated. Thus, there is no reason to doubt its accuracy. While the survey did show low work hours for many doctors, it also showed substantial overtime for many other DOC medical employees, particularly nurses.
- The original survey was done prior to criticism of the practice of allowing doctors to work reduced hours. Potential contamination of the subsequent survey must be considered.
- Some errors exist in the DOC survey, such as the use of non-FY 1985 data for the State Penitentiary.
- Objection to the report has not centered on the accuracy of the JLARC figures. For example, a June 30, 1986 memorandum by DOC medical staff does not challenge the fact that physicians are working less than full time, but asserts that under informal agreements DOC foresaw a schedule of "30 hours per week for a full time position". The memorandum went on to acknowledge "certain abuses . . . sometimes glaringly so. . ."

Because of the differences in data bases and possible contamination, JLARC staff used its original data with some modifications. These modifications included additional allowances for holidays, meetings, and some

miscellaneous factors. While it is possible that this results in some double counting of hours worked, the effect is only to reduce the value of hours not worked from \$602,319 to \$505,990. As noted above, changes from the DOC survey which would have increased the amount were not included in the \$505,990 figure. This approach reflects an admittedly conservative bias in the calculation of the value of hours not worked. JLARC staff accepted this conservative bias in order to focus attention on the issue as a whole and not the methodology for calculating the hours.

Factors Used in the Analysis

JLARC staff's analysis involves three factors: (1) total hours worked; (2) total hours available for work, and (3) salaries as of June 30, 1985 (including State benefits).

- (1) Total Hours Worked - The values are based on data submitted by DOC personnel and includes all sick and annual leave, authorized holidays, and other authorized time from the job. However, in two instances, Bland and the Penitentiary, total hours were based on weekly scheduled hours. (Subsequent to JLARC staff inquiries, the Penitentiary in 1985 increased physician's scheduled hours.)

- (2) Total Hours Available for Work

Full-time - 40 hrs./week x 52 weeks =
2,080 hrs. per year.

3/4-time - 30 hrs./week x 52 weeks =
1,560 hrs. per year.

Half-time - 20 hrs./week x 52 weeks =
1,040 hrs. per year.

NOTE: Adjustments to total hours available for work were made later.

- (3) Current Salaries - All salaries were based on data in the June 30, 1985, PMIS Departmental Employee/Position Report (COR 015482). The cost of State benefits were added to the base salary as follows:

A. Full-time salaried employees

1. Social Security - salary base
(up to \$39,900) X .0715.
2. Life Insurance - salary base X .00288.
3. VSRS - salary base X .1268.

4. Health benefit = \$1000 per employee

B. Employees less than full-time the State only pays Social Security.

Calculating the Costs of Hours Not Worked

Once the values of the three factors are determined a basic two step formula is applied:

Step #1 The value of hours available per year minus the value of total hours worked per year, equal hours not worked.

	Hours Available	-	Hours Worked	=	Hours Not Worked
Example:	(1,960)	-	(1,430)	=	(530)

Step #2 The value of hours not worked multiplied by the hourly rate of pay equals the cost of hours not worked.

	Total Salary	/	Total Hours Available	=	Hourly Rate
Example:	(\$71,804)	/	(2,080)	=	(\$34.52)

	Hours Not Worked	X	Hourly Rate	=	Cost of Hours Not Worked
Example:	(530)	X	(\$34.52)	=	(\$18,295)

Adjustments to Total Hours Available

Because total hours worked varied significantly, as reported by the institutions, JLARC staff verified by telephone that total hours worked included time off for leave, holidays, and training time.

At meetings with JLARC staff after the June briefing, DOC staff asserted that additional time away from the job was not accounted for in the original data submissions to JLARC staff. There was no way to verify absolutely whether or not adjustments should be made in all cases. The department raised concerns about the validity of the data submitted to JLARC staff by its institutional staff, and was able to provide documentation on staff conferences attended and holidays authorized. JLARC staff adjusted total hours available to reflect 11 authorized holidays and 4 days to attend DOC staff conferences. The net effect of the adjustments reduced downwards 120 hours per year per employee the number of available work hours.

Annual leave was asked for as a part of total hours worked. That annual leave was included in total hours worked was confirmed by the follow-up phone calls noted earlier. DOC did not ask to delete any additional time from "hours available" for annual leave.

DOC also allows physicians and dentists 5 days, or 40 hours per year to attend continuing medical education (CME) courses. As a result DOC staff

wanted to deduct 40 hours for CME per physician and dentist from total hours available. JLARC staff found a number of problems with this approach: (1) It is not a requirement of either profession's State licensing board. (Professional medical associations however, require CME.) (2) Not all physicians or dentists are members of their respective medical associations. And (3), DOC could not provide documentation on course attendance or participation. Further, at the time of JLARC staff's review, most DOC physicians maintained private practices, and it would be difficult to disassociate activities of the private practice from DOC related CME. Therefore, CME was not credited.

This allowance of 11 holidays and 4 staff conference days per year adjusted the available work hours as indicated below:

Full-time Employee:

Holidays	11 days x 8 hours	=	88 hours per year
Staff Conferences	4 days x 8 hours	=	32 hours per year
	Total adjusted hours		120 hours per year
	2,080 hours - 120 hours	=	1,960 available hours

Three-Quarter Employee:

Holidays	8 1/4 days x 8 hours	=	66 hours per year
Staff Conferences	3 days x 8 hours	=	24 hours per year
	Total adjusted hours		90 hours per year
	1,560 hours - 90 hours	=	1,470 available hours

Half-time Employee:

Holidays	5 1/2 days x 8 hours	=	44 hours per year
Staff Conferences	2 days x 8 hours	=	16 hours per year
	Total adjusted hours		60 hours per year
	1,040 hours - 60 hours	=	980 available hours

Based on these computations and allowances, full-time employees were given a base of 1,960 available hours, three-quarter employees were given a base of 1,470 available hours, and half-time employees were given a base of 980 available hours.

APPENDIX D

AGENCY RESPONSE

As part of an extensive data validation process, each State agency involved in JLARC's review and evaluation efforts is given the opportunity to comment on an exposure draft of the report. This appendix contains the response of the Department of Corrections.

As noted in the Director's letter, a review copy of this report was provided to DOC and commented on prior to JLARC staff's June briefing to the Commission. After the briefing, DOC staff raised concerns with two issues that were not previously addressed in the department's review or letter.

One concern dealt with payment of medical hours and is discussed extensively in Appendix C. The second concern related to JLARC staff findings that DOC did not have a data processing plan and that implementation of certain computer systems had been faulty. After the briefing DOC reported that it did, in fact, have a plan. Upon reviewing this plan and discussing the matter with DOC personnel, JLARC staff dropped the data processing issue from the final version of the report.

While such problems are usually found in the exposure process, JLARC staff regrets that the ADP issue was reported as a problem in June.



JUN 6 1986

COMMONWEALTH of VIRGINIA

Department of Corrections

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June 6, 1986

Mr. Philip Leone, Director
Joint Legislative Audit and
Review Commission
Suite 1100, General Assembly Building
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Dear Mr. Leone:

We have reviewed the exposure draft of your report entitled
"Staffing of Virginia's Adult Prisons and Field Units," May 23, 1986.

After extensive discussion with members of your staff, we understand the methodology you used in calculating the staff totals contained in the report. Thus, we have been able to reconcile differences between our staff totals and those contained in the JLARC report. We recognize, however, that there are other methodologies which would also provide staff totals.

We have compared the management recommendations contained in your report to the similar recommendations contained in the Department of Planning and Budget report, "Security Staffing in Adult Facilities of the Virginia Department of Corrections," December 1985. Our comparison shows few differences in the two reports other than the level of specificity in your report on some issues. As discussed, we have already developed action plans for the 44 recommendations we agreed to from the DPB study and are in the process of implementing those plans. Thus, many of the recommendations contained in your report are being implemented.

We have not had the time to fully determine the impact of your specific staffing recommendations or compare them to the recommendations made by DPB which we are actively implementing. However, we anticipate following your basic recommendations that additional non-security positions are necessary; especially in the areas of treatment, maintenance, and support services.

Mr. Philip Leone
Page 2
June 6, 1986

We appreciate the effort your staff put into the report and will continue to call on them as we move forward with implementation strategies.

Sincerely,


Edward W. Murray

EWM/dch

cc: The Honorable Vivian E. Watts
Dr. John W. McCluskey
Mr. Edward C. Morris
Mr. Clarence Jackson

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