

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

**Central and Regional
Staffing in the
Department of Corrections**

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



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PREFACE

Item 545.1 of the 1983 Appropriations Act directed the Joint Legislative Audit and Review Commission to study manpower utilization in the Department of Corrections. The item specifically requested an examination of the utilization and need for existing or anticipated central office and regional staff. As amended by the 1984 General Assembly, the Act calls for subsequent parts of the study to include a review of security and non-security manpower, plans to increase manpower in relation to projected growth in the inmate population, local jail population projections, and the effectiveness of the department's capital outlay planning process, prison design, and diversion programs.

This interim report reviews central and regional office staffing. On the basis of our initial review criteria, the central office appears, in general, to be appropriately staffed. The report recommends a reduction of eight central office positions, and identifies several areas where further review may be necessary to reach a final determination about the appropriateness of staffing.

An important question addressed in this report is whether the regional level of management is needed. We found that establishment of the regions has addressed important management objectives. Several efficiencies could be achieved in regional office staffing, however, including the elimination of one regional office and a reduction of as many as 35 positions. These efficiencies could be achieved with little overall impact on the level of services provided by the department's regional staff.

An important recommendation of this report is to provide time for the department to make the transition to four regional offices. Consequently, we recommend that the department phase in these changes by July 1985.

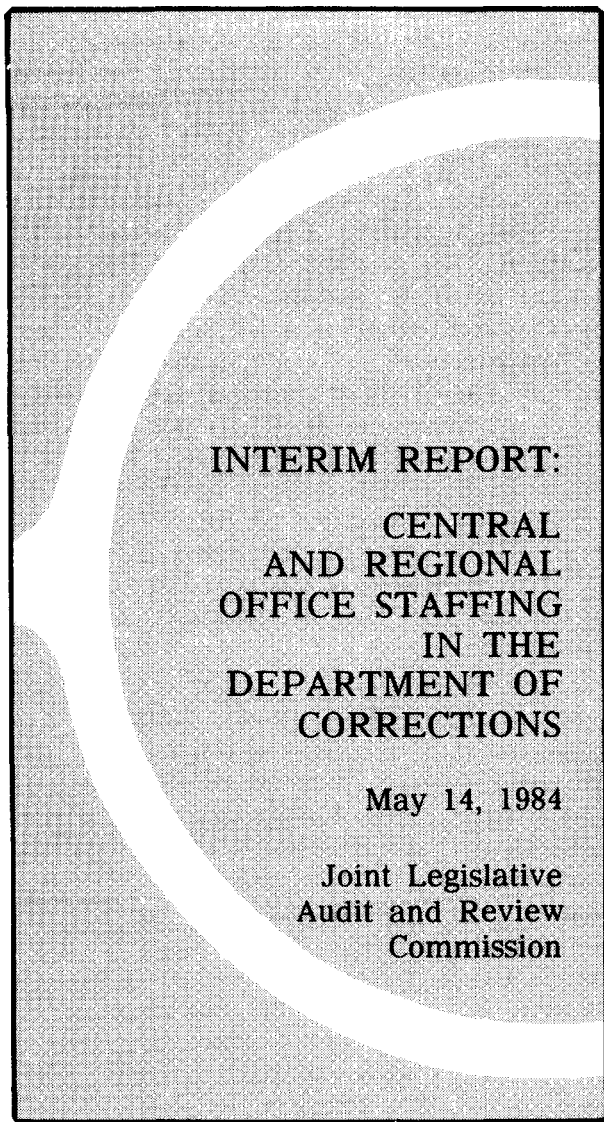
Two of the recommendations in this report were implemented by the 1984 General Assembly. These include the recommended elimination of the administrative assistant position in the northern regional office, and the reduction of secretarial positions in all regional offices. These changes will save the Commonwealth \$147,000 annually and reduce department staffing by 14 positions.

On behalf of the Commission staff, I wish to acknowledge the cooperation and assistance of the administrative and field personnel of the Department of Corrections.



Ray D. Pethtel
Director

May 14, 1984



The Department of Corrections (DOC) provides secure confinement and a variety of community-based placements and services for juvenile and adult offenders in the Commonwealth. To carry out these activities, the General Assembly authorized 7,901.5 staff positions and appropriated \$253.5 million for FY 1984.

Virginia's correctional system experienced rapid growth and modernization in the 1970s. Increases in the number of inmates requiring secure confinement were accommodated through an aggressive prison construction program, which resulted in the opening of nine new facilities between 1976 and 1983. The department today exhibits a broad concern for sound management, including professionalizing its staff, establishing depart-

mental policies and guidelines for managing inmates and institutions, and balancing centralized authority with decentralized delivery of services.

The overall thrust of DOC's modernization appears to have served the agency well. Numerous problems surfaced by the Crime Commission in the 1970s have been addressed, and many improvements are clearly evident. The high priority assigned to corrections in the 1970s also seems appropriate for continuation in the 1980s.

A JLARC REPORT SUMMARY

However, the General Assembly has begun to express concern about the overall efficiency of the department. This concern was indicated by a reduction of the agency's 1982-84 non-security appropriation by six percent, and by a requirement for JLARC to conduct a series of reviews of the agency's staffing. This is the first report in the series, and it assesses the utilization and need for staff in DOC's central and regional offices.

Based on initial review criteria (and because of reductions in the administrative staffing of the department which have already been made), DOC appears in general to be appropriately staffed in the central office. This report recommends eight changes regarding central office staffing. Greater efficiencies are possible in the regional offices. These include the elimination of one regional office and a reduction of 35 positions from regional staff. Approximately \$883,474 would be saved annually if all efficiencies recommended in this report were achieved, and a total of 43 staff positions would be eliminated.

Central Office Staffing

The department includes 710 positions in its definition of the central office, although about 150 of these positions are actually housed outside Richmond. Most functions currently performed in the central office appear appropriately centralized. Further, the central office generally appears to be

without significant surpluses of staff positions.

Because the JLARC review did not include a task analysis for every position, this review is not conclusive that each position is fully and appropriately utilized. However, the systematic nature of the review, which sought convergence among a variety of staffing indicators, would have identified any significant staffing surpluses within the central office. Further staffing efficiencies may be identified as later studies focus more closely on DOC's programs and policies. This review has, however, revealed five areas where there are opportunities for organizational improvement and economy.

Research and Development. Three separate units – program development, planning and policy development, and research and reporting – perform closely related research and development projects. These units, which have staff with complementary backgrounds and expertise, could be consolidated into a research and development unit with two sections headed by one manager. This proposal would eliminate the need for two manager positions.

Internal Auditing. The reporting relationship of DOC's internal audit unit compromises the unit's independence and objectivity. This is because the deputy director for resources management, to whom the unit reports, has line authority over finance, capital outlay, and other important operating units. Both the Auditor of Public Accounts and the State Internal Auditor have indicated that DOC's internal audit unit should report to the agency director. This change is important in bolstering the independence of the internal audit unit.

Enterprises. The planning and development unit under DOC's enterprises section was created to oversee planning for new industries and to develop new technology. However, market and workforce limitations constrain the development of new industries and technology, and most of the functions now assigned to the unit were previously carried out by other sections. Personnel and the warehouse operations, for example, although assigned to this new unit, appear to contribute little to the unit's mission.

Shifting functions in order to create a new section does not appear appropriate,

especially when the functions confuse the mission of the new section. The department should reassign the functions and staff under the planning and development unit to the units where they were previously assigned. The manager position for planning and development should then be abolished.

DOC Manpower Control Program. The usefulness of DOC's current manpower control program is limited by the department's lack of workload measures and data, as noted throughout this interim report. The lack of such data hampers a determination about whether staffing levels and workload are balanced. The lack of such data also hinders independent review of the need for administrative positions in the department. This means that the question of whether DOC's administrative functions are staffed at minimum levels cannot currently be determined.

Temporary Positions. Some DOC units employ temporary (P-14) positions to augment staff restrictions imposed by the manpower control program ceiling. Some of these units use temporary positions as permanent, full-time staff, which conflicts with Rule 8 of the Department of Personnel and Training (DPT) policy and procedures manual. In addition, the cost of retaining temporary employees in these positions may exceed the cost of using permanent, full-time employees, due to extensive training needed to perform some duties. One DOC assistant director estimated, for example, that he could replace 21 temporary with 16 full-time employees, a savings of five positions.

To address such concerns, DOC should develop a comprehensive manpower plan which specifies a minimum staffing level for the department and which shows how the number and type of staff positions in the department match workloads. The plan should also address the practice of using temporary personnel in positions which require specialized training. The plan should specifically compare the costs associated with continual training of temporary employees with the costs of using permanent salaried positions for the same duties.

Recommendation (1): DOC should consolidate the supervision of the functions performed by the units of research and reporting, program development, and

planning and policy development. Only one manager would be needed instead of the current three. Further economies may result from a task analysis of the positions in the consolidated unit.

Recommendation (2): DOC should implement the February 1982 recommendations of the State Internal Auditor relating to (1) the realignment of the internal audit unit so that the manager reports directly to the director of the department, and (2) removal of the unit's on-going responsibility for reviewing and correcting financial records prior to audit. The potential need for additional internal audit positions, identified in the State Internal Auditor's report, should be considered, but only after certain duties are transferred out of the unit.

Recommendation (3): The functions and staff now under the planning and development unit in enterprises should be reassigned to their previous locations. The manager position for planning and development should then be abolished. The consultant position retained by enterprises should be abolished.

JLARC's recommendation to abolish the manager position for planning and development was intended to clear up an organizational arrangement where a manager spent a greater portion of his time in matters unrelated to his unit's mission than he spent on the position's intended purpose. The recommendation did not include abolishing the planning and development functions of enterprises.

The Director of Corrections has stated that enterprises planning was in flux during 1983 and going through developmental stages. In addition, the DOC response has provided a more detailed description of the planning and development manager's duties and goals than was previously available. Consequently, it appears that the situation has changed significantly since the JLARC fieldwork occurred.

The recommendation will therefore be held in abeyance until 1985, when a follow-up review may be made of this position. An improved enterprises planning function should be in place by that time. Several steps should be taken to ensure this improvement occurs:

1. Compatible functions should be assigned to the planning and development unit.
2. The warehouse function should be taken out of the program and development unit and placed in a more appropriate unit.
3. The consultant's services should be terminated.
4. Personnel transactions should be completed to fund the program and development manager's position from self-generated funds.
5. Action should be under way on at least the ten specific tasks requiring the attention of the program and development manager.

Recommendation (4): DOC should develop, for use in the 1986-88 biennium, a comprehensive manpower plan which specifies a minimum staffing level and which shows how the number and type of staff positions in the department match workloads. The plans should specify staffing standards that are tied to workload measures. The plan should also specify existing productivity levels and set goals for improving productivity.

Recommendation (5): DOC's manpower plan should address the practice of using P-14 temporary positions where specialized training is required. The plan should specifically compare the costs of continual training with the costs of using permanent salaried employees for the same duties. DOC's use of P-14 temporary positions should conform to State policy.

Regional Office Staffing

DOC has five adult services regional offices with a combined staff of 51 positions, and five youth services regional offices with a combined staff of 30 positions. These youth and adult services regional staff are co-located in offices in Roanoke, Lynchburg, Fairfax, Richmond, and Suffolk. The combined budget for both adult and youth regional offices is \$2.6 million for FY 1984.

The creation of the co-located regional offices in 1978 addressed a number of departmental objectives, including reducing top management's span-of-control, improving uniformity and compliance with DOC policies and procedures, decentralizing limited

decision-making authority, and reducing travel time. New staff positions were not added to accomplish these objectives. Rather, 53 central office positions were abolished, and 56 positions were established in the new adult services regional offices. Subsequent reductions of five positions left 51 positions in the adult services regional offices. The net effect, then, has been a small reduction in staffing.

JLARC staff assessed the need for a regional level of management in terms of the department's objectives. Although the need for a regional administrative structure for adult and youth services appears to be valid, numerous staffing and organizational efficiencies were identified. A total reduction of 35 regional office staff positions and the closing of one regional office could result in an estimated annual savings of \$786,545.

Adult Services. JLARC found that the positions of regional administrator, regional manager for support services, and regional manager for operations and training serve as important resources for technical assistance to the facilities. On balance, the need appears warranted for this level of management between DOC's top management and institutional wardens, field unit superintendents, parole and probation chiefs, and local jails. Regional management appears to facilitate the achievement of management objectives set out by the department.

The need for five regional offices of adult services is less clear, however. In addition, some adult regional office staff positions appear to perform duplicative duties and other tasks which could be reallocated to other existing staff, thereby eliminating the need for such positions.

Regional Workload. The workloads of the five regional adult services offices appear to be significantly imbalanced at the present time. Variation among regions appears excessive in workload indicators for several key adult services. The number of inmate and employee grievances, for example, are more than ten times higher in the east central region than the western region. This situation is unlikely to improve in the future as new facilities open. JLARC recommends as a solution to workload imbalance the elimination of one adult services regional office.

By eliminating one regional office of

adult services, workload variation could be reduced. An analysis of travel patterns indicates that eliminating the central regional office of adult services would change total travel time statewide only slightly. Savings generated by eliminating positions would substantially outweigh added costs of travel. Spans of control for individual positions would be better balanced, and overall administrative costs would be reduced. Three proposals are presented for realigning facilities and programs into four regional offices of adult services.

A review of other adult services regional positions found extensive duplication in the tasks performed by the regional food operations managers. For example, inspection of food preparation and service constitute the major tasks of these positions, yet the department's sanitarians inspect each facility every 45 days, which is more frequently than most public restaurants are inspected. Consequently, it appears that the department has adequately staffed the sanitation inspection function by means of the sanitarians.

The regional food operations manager positions should be eliminated. To facilitate this action several additional steps are recommended which address the other activities, such as training, performed by these positions.

The first step would be to redefine the job description of one security position at each field unit to specify prior food service experience. This would acknowledge current job assignments and ensure that prior work with food service is required of the applicants. Next, DOC should consider using the food operations managers at the major institutions to provide technical assistance to regional field units. The remaining minor duties of the regional food service managers, such as reviewing equipment and food purchase requests, could be assumed by the regional support services managers. The regional food operations manager positions should then be eliminated.

Administrative Support Staff. Each adult services regional office has several positions which provide secretarial and administrative support to the regional staff. The two positions serving as administrative assistants to the northern and central adult services regional administrators perform tasks

assigned to manager positions in the other regions, and are located in regions with relatively light workloads. These two positions should be eliminated. In addition, DOC should reduce the number of secretarial positions in each adult services regional office. As many as nine positions could be eliminated, and secretarial pools could be established with the co-located youth services regional offices.

Youth Services. JLARC's assessment of the utilization and need for staff in the youth services regional offices paralleled the review of adult services regional staff. Although regional staff for both youth and adult services are housed in the same office suites, they remain almost entirely independent of each other. Like the adult regional offices, however, the regional offices of youth services appear to have more staff positions than necessary to carry out the principal tasks of the division.

Regional Workload. Several youth services regional managers and regional administrators indicated they could handle more work without significantly impacting current service levels. This could be achieved by eliminating the central regional office of youth services and reallocating its workload among the four remaining regions. Although time spent traveling to each region's subordinate units would increase in some cases, total travel time spent by these positions statewide would increase only minimally under the three proposals developed by JLARC. The savings realized by closing one youth services regional office and eliminating the related positions would more than offset the costs incurred through increased travel time.

Juvenile Delinquency Prevention Specialists. The regional delinquency prevention specialists administer the provisions of the Delinquency Prevention and Youth Development (DP&YD) Act. Under an agreement with ACTION, the specialists will also monitor certain VISTA programs statewide. The current program could be adequately administered with fewer positions. The staff time required to perform these duties amounts to less than three FTEs, but six FTEs are currently assigned to the program. A reduction in the supervisory staffing of this program is therefore appropriate.

Secretarial Staff. Each youth services region currently has two full-time secretarial positions. The regional administrator, managers, and prevention specialists do not appear to generate sufficient typing and filing requirements for two positions. Eliminating one secretary in each youth services regional office would represent a reduction of five positions, for an annual savings in salaries and fringe benefits of approximately \$57,000.

Recommendation (6): DOC should eliminate one adult services and one youth services regional office and redistribute the workload among the remaining regions. Priority consideration should be given to balancing the workload of the regions with travel time incurred by the regional staff, and secondly to equalizing the number of facilities in each region. Consideration should be given to the proposals discussed in Chapter 3.

Recommendation (7): The five regional food operations manager positions in the adult services division should be eliminated. In conjunction with the elimination of these positions, DOC should consider (1) redefining the job description of one security position in each field unit to require prior food service experience; (2) assigning the food operations managers at the major institutions the responsibility of providing technical assistance to the regional field units; (3) assigning responsibility for the inspection of food service operations to DOC's two facility sanitarians and the director of food operations; and (4) delegating the remaining duties of the regional managers, such as reviewing equipment and food purchase requests, to the regional support services managers.

Recommendation (8): DOC should eliminate the two positions serving as administrative assistants to the northern and central adult services regional administrators.

Recommendation (9): DOC should eliminate three regional juvenile delinquency prevention specialist positions.

Recommendation (10): Each adult services regional office should have only two secretarial positions. Reductions to only one secretarial position in each youth services regional office should also be accomplished. DOC should consider

pooling secretarial staffs between youth and adult services regional offices.

Implementation of Recommendations

The reorganization of DOC's five existing regions into four regions with reduced staff will require planning and preparation. Adequate time should be allowed for the department to make this

transition. Therefore, JLARC staff propose that these recommendations be studied by the department and phased in, with complete implementation to occur prior to July 1, 1985. The department should submit a plan for such reorganization to the General Assembly prior to the 1985 session of the General Assembly.

Potential DOC Staff Efficiencies

Estimated Position Reductions	Estimated Annual Savings ¹
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CENTRAL OFFICE POSITIONS		
Program Development & Evaluation Manager	2	\$60,678
Enterprises Planning & Development Manager	1	36,251
Classification & Parole Administration (P-14 positions)	5	NA ²
SUBTOTAL	8	\$96,929
ADULT SERVICES REGIONAL POSITIONS		
Regional Administrator	1	\$ 39,635
Operations & Training Manager	1	30,339
Support Services Manager	1	30,339
Food Operations Manager	5	116,080
Probation and Parole Manager	1	30,339
Regional Jail Manager	1	30,339
Administrative Assistant	2	39,470
Clerk-Typist	11	125,235
Office Rent & Expenses ³	—	60,000
SUBTOTAL	23	\$501,776
YOUTH SERVICES REGIONAL POSITIONS		
Regional Administrator	1	\$ 39,635
Court Service Manager	1	30,339
State & Local Youth Facilities Manager	1	30,339
Delinquency Prevention Specialist	3	76,146
Clerk Typist	6	68,310
Office Rent & Expenses ³	—	40,000
SUBTOTAL	12	\$284,769
TOTAL	43	\$883,474

¹Salary estimates based on mid-point of each pay scale, plus 18 percent for fringe benefits. The pay scale of a Clerk Typist B was used for that estimate.

²Savings data unavailable as costs related to training and lower productivity could not be estimated.

³Based on FY 1983 total operating budget minus estimated salary savings.

Source: JLARC estimates.

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I. INTRODUCTION

The Department of Corrections (DOC) provides secure confinement and a variety of community-based placements and services for juvenile and adult offenders in the Commonwealth. To carry out these activities, the General Assembly has authorized 7,901.5 staff positions and has appropriated \$253.5 million for FY 1984.

The department's 14 major institutions, 26 field units, and five work release centers had an average daily population of 9,463 inmates during June 1983. During the same time period, 795 juveniles were housed in DOC's seven learning centers and the Reception and Diagnostic Center. There were 20,628 adults and 13,173 juveniles under community supervision in June 1983.

Both adult institutions and community services are supervised by five adult services regional offices. Five youth services regional offices are responsible for juvenile community-based corrections, while the eight youth institutions are administered by one central office unit.

Virginia's correctional system experienced rapid growth and modernization in the 1970s. Increases in the number of inmates requiring secure confinement were accommodated through an aggressive prison construction program, which resulted in the opening of nine new facilities between 1976 and 1983. The administration of correctional programs has also been improved through such major strides as the 1974 separation of the Department of Corrections from the Department of Welfare.

The overall thrust of DOC's modernization appears to have served the agency well. The department today exhibits a broad concern for sound management practices, including professionalizing its staff, establishing departmental policies and guidelines for managing inmates and institutions, and balancing centralized authority with decentralized delivery of services. The department has also demonstrated its capacity to adapt to fiscally austere times by abolishing, for example, 142 positions since July 1982. The opening of two new institutions and other administrative changes during the same period have, however, more than offset these reductions, resulting in a net increase in DOC staffing of 626 positions. Moreover, DOC may remain a source of State employment growth as two new institutions open in the 1984-86 biennium, adding approximately 700 positions to the department's roster.

The higher priority assigned to corrections in the 1970s also seems appropriate for the 1980s. However, the General Assembly has

begun to express concern about the overall efficiency of the department. This concern was indicated by a reduction of the agency's 1982-84 non-security appropriation by six percent, and by a requirement for JLARC to conduct a series of reviews of the agency's operations. This is the first report in the series, and it assesses on an interim basis the utilization and need for staff in DOC's central and regional offices. Subsequent parts of the JLARC review will assess other aspects of DOC's operations, including:

- security and non-security manpower;
- plans to increase manpower in relation to projected growth in the adult inmate population; and
- the effectiveness of the department's capital outlay planning process and prison design.

This introductory chapter provides an overview of DOC's programs and organization, and is intended to provide a historical and descriptive background for subsequent JLARC studies of DOC.

EVOLUTION OF DOC

Virginia has provided for confinement of lawbreakers since early colonial times. Legislation establishing a penal system was adopted as early as 1635. The "publick gaol" constructed in 1701 at Williamsburg was later used to confine prisoners who could not be held safely in other jails throughout the new colony. When Richmond became the capital of the Commonwealth in 1779, the Henrico County jail was enlarged for State use. The need for a larger, more secure State facility soon became clear. In 1796 the General Assembly established the Penitentiary at the location which is still in use. Construction of the facility, based on a solitary confinement approach recommended by Thomas Jefferson, began in 1797. This building remained in use until the 1920s.

During the twentieth century, the State prison system has alternated between being an independent agency and being housed within a larger organization. This trend began with the 1908 establishment of the Board of Charities and Corrections, and continued in the 1920s when the Board of Public Welfare was granted budgetary authority over the penal facilities. Key events in the organizational history are shown in Table 1.

A major realignment of correctional activities occurred in 1942 when the Department of Corrections was established and assigned administrative control and supervision of the prison system. The Parole Board, also established in 1942, was charged with developing rules governing the release of inmates from the prison system. The independence of the corrections function lasted only until 1948, when

Table 1

Major Events In History of Virginia Corrections

- 1796 - Penitentiary established at current site.
- 1838 - Mandatory solitary confinement law abolished.
- 1893 - State farm established at Goochland.
- 1903 - Prison board established to supervise the Penitentiary.
- 1906 - Field units (road camps) established.
- 1914 - Board of Charities and Corrections designated as official agency for care of dependent, delinquent, and neglected children.
- 1922 - Board of Charities and Corrections renamed the Board of Public Welfare.
- 1927 - Prison Board brought under Department of Welfare for budget purposes.
- 1930 - Industrial Farm for Women established.
- 1936 - State Farm at Southampton established.
- 1942 - Prison responsibilities assigned to new Department of Corrections. Parole Board established.
- 1948 - Department of Corrections merged into Department of Welfare and Institutions. Parole Board made a semi-autonomous part of the new department.
- 1973 - State Crime Commission began study of corrections activities. Court system reorganized; State-operated juvenile court service units established in localities lacking such services.
- 1974 - Department of Corrections established under Secretary of Administration and Finance.
- 1976 - Secretary of Public Safety established. DOC transferred to Public Safety jurisdiction.
- 1977 - General Assembly removed nondelinquent juvenile "status offenders" from commitment to State custody.
- 1978 - Five regional offices established in the Department of Corrections. Minimum standards developed for local jails.
- 1979 - Mandatory parole law established.
- 1980 - Community Diversion Incentive Act established to provide community based sentencing alternatives for certain nonviolent offenders.

it was again merged into a single Department of Welfare and Institutions. This arrangement lasted until 1974, when the welfare and corrections functions were again separated into independent departments. This action implemented a recommendation of the Virginia State Crime Commission, which had undertaken a series of in-depth studies of the corrections function.

Crime Commission

Beginning in 1973, the Virginia State Crime Commission undertook an extensive review of correctional subjects in the Commonwealth. One of the Crime Commission's first reports concerned the Penitentiary. After an extensive study of the facility, the Commission concluded that "the institution was simply out of control." Commission findings included a long list of major problems:

- Internal security was negligible.
- Illicit drugs circulated almost openly, homosexual rapes were commonplace, and weaker inmates lived in fear of stronger prisoners, who ran prison affairs almost at will.
- Guards were untrained and in many cases were afraid to patrol the cell tiers. Inmates served as guards in the cell blocks. A shakedown of inmates netted almost 800 weapons.
- Medical procedures resembled those of the 19th century. Inmates served as ward attendants and at times performed medical services without supervision.
- The administration reacted from crisis to crisis rather than in the framework of a planned program.
- The record-keeping system was a shambles. Boxes of records were scattered over the floor, and neither escapes nor assaults were recorded properly.
- There was no testing for vocational aptitude. Few shops where inmates could be placed to work or learn trades existed at the Penitentiary or at other institutions.
- Other conditions at the Penitentiary included overcrowded cell blocks, no rehabilitative programs, a totally disorganized due process procedure, and few written administrative guidelines -- none covering emergency procedures.

Other reports issued by the Crime Commission in 1974 and 1975 identified many additional problems with the corrections system. For example, the Commission reported that the escape rate from correctional facilities had increased "an incredible 268 percent" between fiscal years 1971 and 1974, peaking at 512 escapes in the latter year. The

Commission also found a variety of abuses and problems with the temporary field units or "stick camps," and recommended the units be closed and replaced with more modern facilities.

Based on these and other similar findings, the Crime Commission recommended sweeping changes in Virginia's correctional program. Most of the major recommendations of the Commission were implemented, including:

- separation of the corrections function from the Department of Welfare and Institutions, and establishment of a separate agency.
- creation of a separate Rehabilitative School Authority to oversee academic and vocational programs for inmates.
- addition of new medium and maximum security facilities, community-based correctional centers, juvenile courts, and reception and diagnostic centers.
- increased counseling, education, and medical facilities.
- improved inmate classification, providing for classification and assignment to facilities based on security considerations.
- expanded juvenile services and parole and probation services.
- better training and education for correctional officers.
- better staff recruitment with upgraded pay scales.

These major changes signaled the beginning of a higher priority for the correction function in Virginia.

DOC -- The Past Decade

Creation of the Department of Corrections and the Rehabilitative School Authority in 1974 marked the beginning of a new era for the corrections function. In the next several years appropriations were increased substantially, and a series of reorganizations occurred. The department's first director, Jack F. Davis, made many administrative reforms and improvements. New staff were brought on, a number of modern management practices were implemented, and greater control over programs and facilities was asserted by the central office.

Increased Inmate Population. The dramatic growth of the adult inmate population had a significant impact on DOC in the 1970s. In 1972 there were 6,029 adult inmates, and by 1982 the inmate population had increased 56 percent, to 9,448 adult inmates.

The increase in the number of adult inmates reflects a number of factors in the 1970s and early 1980s. Nationwide, the inmate popu-

lation in all state and federal prisons increased 108 percent, from 195,000 in 1973 to 412,000 in 1982. A variety of explanations have been offered for the increases, including:

- the large number of "baby boom" males in the crime-prone age;
- strict new laws on the disposition of convicted felons (about 40 states have adopted mandatory or determinate sentencing laws); and
- adoption in many states of new parole policies that increase the requirements for parole, thus lengthening time served and decreasing the number of inmates released (ten states have eliminated parole altogether).

These national trends have been reflected in Virginia. For example, part of the explanation for inmate population increases in Virginia may come from a criminal penalty adopted in 1975 for the use or display of a firearm in committing a felony (*Code of Virginia* § 18.2-53.1). This new crime provided an additional sentence of imprisonment for at least two years which could not be suspended, and the offender could not be placed on probation. According to the department, this limitation of judicial sentencing discretion contributed to longer sentences, and thus more inmates.

Organizational Trends. As organized in 1974, the department had six major divisions: adult services, youth services, probation and parole services, enterprises, finance, and administration. The regional structure of the agency consisted of: (1) three adult field unit regions, each with a regional superintendent and ten field units, and (2) six youth services regions, each administered by a regional coordinator to serve court service units and various community programs. The major adult institutions were supervised by an associate director in the adult services division.

A new director, Terrell Don Hutto, reorganized DOC in 1978, decentralizing authority over the major adult institutions through the creation of five regional offices, in Roanoke, Lynchburg, Richmond, Fairfax, and Suffolk. Each office housed two regional administrators--one for adult services with line authority over the major institutions and field units; and one for community and prevention services with a staff to work with court service units, probation and parole districts, local jails, and youth programs and facilities. A sixth, or "youth region", comprised all the learning centers, and was administered from a "regional" office -- which was physically located in Richmond.

After Hutto's resignation in late 1981, the Robb administration chose Raymond Procnier as director of DOC. Procnier reorganized the top levels of DOC, resulting in the organization now used by the agency. Procnier resigned in May 1983. Robert M. Landon was named director of the department on July 1, 1983.

MAJOR DOC PROGRAMS

The cornerstone of DOC's mission is the provision of appropriate supervision to persons entrusted to its care. This basic mission is carried out through adult and youth residential institutions, which provide varying degrees of secure confinement, and through varying levels of community supervision of youth and adult offenders. Principal facilities of the department are located as shown in Figure 1.

Prior to 1982 all institutions were managed out of one division and all community supervision activities were managed from a separate division. Youth and adult programs are currently managed by two separate chains of command within DOC, one for adult services and another for youth services. The four major programs -- adult institutions, adult community services, youth institutions, and youth community services -- provide the means for achieving the department's mission.

Adult Institutions

A major goal of state correctional agencies has always been to protect society by housing adult criminals. In its approach to this goal, Virginia is characterized by a large number of relatively small prisons, and by extensive use of field units, which are smaller, less secure residential facilities.

The total of 40 adult facilities -- 14 major institutions and 26 field units -- places Virginia second among the states, behind only North Carolina, in having the most adult correctional facilities. This stems from a State policy that smaller prisons should constitute the core of Virginia's corrections program. This reflects the philosophy that smaller prisons, closer to the offender's home, facilitate the re-integration of inmates into the community. Virginia's approach, with 40 adult facilities, contrasts with that of states such as California, which has 12 prisons for nearly 30,000 inmates. New Jersey, which has about the same number of inmates as Virginia, has a total of seven institutions.

The adult inmate population housed in the institutions and field units is classified by the department into three classes or levels of custody. "A" level, or minimum security, permits activity on institutional grounds without constant supervision, and eligibility for occasional furloughs. "B" level, or medium security, is assigned to inmates who require continuous custodial supervision by a correctional officer but do not pose a constant security threat. "C" level, or maximum security, is assigned to inmates who pose a constant security threat. Most institutions house a mix of inmates from each of the three levels of custody.

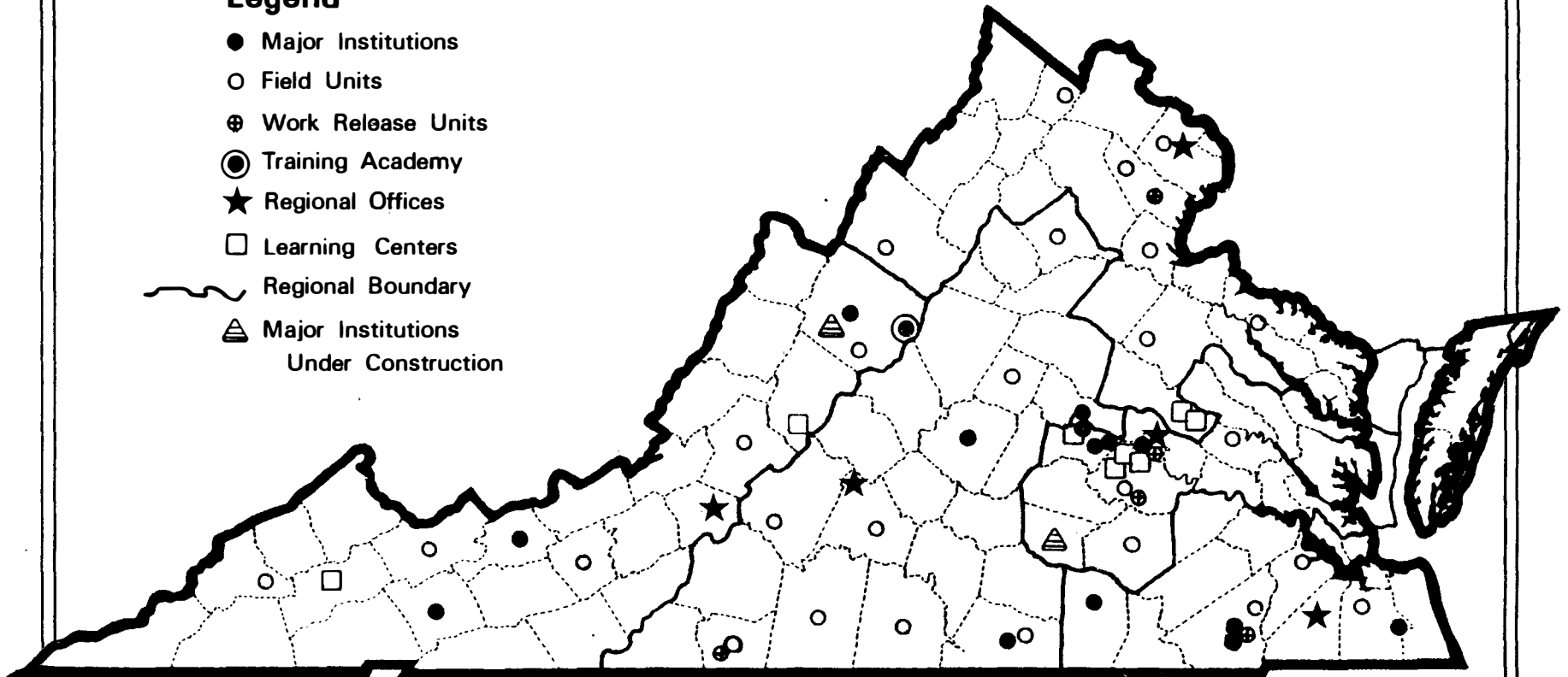
Figure 1

Department of Corrections Facility Locations*

June 1983

Legend

- Major Institutions
- Field Units
- ⊕ Work Release Units
- ⊙ Training Academy
- ★ Regional Offices
- Learning Centers
- ~ Regional Boundary
- △ Major Institutions Under Construction



*Excludes community youth and adult facilities.

Source: DOC

8

Inmates also receive medical classifications which may affect their institutional placement. An alphabetic scale of A through H indicates whether there are any medical restrictions, while a numeric scale of 1 through 17 specifies a medical problem. For example, a medical classification of "A" means there are no work restrictions. "D-9" indicates an inmate is unable to work due to a coronary or circulatory problem.

Major Institutions. The major adult institutions are secure residential facilities with a high degree of supervision by correctional officers. Perhaps the most distinguishing feature of the major institutions is the concern for security, reflected by the wall or double fence and guard towers on the perimeter of each institution. While most DOC facilities house fewer than 750 inmates, two facilities can handle more. The largest is Powhatan Correctional Center, which has a capacity of 1,221. Table 2 lists the average daily population in the major institutions.

The major institutions typically consist of several residential buildings (which are often joined together), recreational facilities, a dining hall, administrative buildings, a utility building, and other support facilities within the perimeter fence. The residential quarters usually are either open dorms or cell houses. Open dorms may house as many as 60 beds. Cell houses contain several galleries, or tiers, each of 15 or more cells. Cells usually range in size from 40 to 75 square feet and house one or two inmates.

Some institutions serve specialized missions. Staunton Correctional Center, for example, houses most of the older inmates and has staff and activities suited more to the needs of older persons. Southampton and St. Brides Correctional Centers, on the other hand, primarily house younger inmates and have programs and staff tailored more to their needs. Marion Correctional Center contains a forensic unit and houses inmates with mental problems. Mecklenburg Correctional Center is the department's "super-maximum security" facility, containing death row (inmates who have been sentenced to death) and protective custody (intended to isolate and protect inmates who, for example, have turned State's evidence or have "enemies" at other correctional facilities).

Each institution is supervised and directed by a warden, who usually has an assistant warden for security and operations, and an assistant warden for programs and administration. Security staff comprise about three-quarters of all staff at the major institutions. Other staff provide functions such as accounting, maintenance, medical services, food services, and treatment or counseling services.

Field Units. Field units originated from the use of inmates for highway construction. Beginning in 1906 temporary residential quarters were established to house inmates assigned to work on local roads. As the State highway system in an area was completed, these temporary quarters or "stick camps" would be disassembled, hauled to a

new site, and rebuilt to provide inmate housing at the new location. This network eventually grew into the current system of eight "temporary" field units (still referred to as stick camps) and 18 "permanent" field units, which together housed, on the average, 2501 inmates during June 1983 (Table 2).

Field units provide less security than major institutions. Consequently, inmates housed in field units are usually classified as requiring minimum or medium custody. Units typically house inmates in open dormitory sleeping quarters, with adjacent day rooms and recreational facilities. A single mesh fence encloses the perimeter, sometimes with guard towers along the fence line.

Most field units provide 30 to 60 inmates daily for highway maintenance in adjacent areas. In addition to meeting this labor requirement, some field units have farming operations, enterprises, or educational programs to occupy the inmates.

Each field unit is directed and supervised by a superintendent. Security staffing at field units tends to be a higher proportion of total staff than at the major institutions. Eighty-six percent of all staff positions at field units are in the security classifications (correctional officer, corporal, sergeant, lieutenant, captain, and security chief), while 74 percent of staff at the major institutions are in security classifications. Field units usually have only a few positions other than correctional officers -- typically a nurse, counselor, and secretary.

Adult Community Services

DOC's adult community services are comprised of the community diversion incentive (CDI) program, parole and probation services, work release, and oversight of local jails. Community diversion, parole, probation, and work release all provide supervision of the offender in the community. Local jails, on the other hand, provide incarceration for defendants awaiting trial as well as for convicted offenders serving shorter sentences.

DOC reorganized its adult community services in the fall of 1983 by establishing an assistant director for adult community corrections, who reports to the department director. This position directs and coordinates DOC's adult community corrections services, and supervises three central office positions: the community diversion manager, the probation and parole manager, and the jails manager. These positions serve as resources of technical expertise in their respective areas.

Probation and Parole. DOC's adult probation and parole services are an integral part of community-based corrections. Probation serves as an alternative to imprisoning offenders for less-serious crimes. Parole allows for the early release of inmates from prison.

Table 2

ADULTS IN CORRECTIONAL FACILITIES
June 1983

<u>Major Institutions</u>	<u>Average Daily Population</u>
Bland	449
Brunswick	708
Buckingham (Opened Fall 1982)	429
Deep Meadow	400
Deerfield	282
James River	312
Marion	151
Mecklenburg	255
Penitentiary	875
Powhatan Complex	1,008
Saint Brides	421
Southampton Complex	652
Staunton	510
Virginia Correctional Center for Women	319
Subtotal	<u>6,771</u>
 <u>Field Units</u>	
Pulaski*	50
Caroline	125
Nansemond*	85
Baskerville	97
White Post	87
Harrisonburg	75
Rustburg	94
Greenville	80
Culpeper	59
Fluvanna*	84
Pocahontas	202
Chatham	91
New Kent*	92
Haynesville	86
Wise	81
Capron*	93
Stafford	89
Tidewater	96
Halifax	171
Smith Mt. Lake*	84
Botetourt*	86
Haymarket*	90
Dinwiddie	86
Patrick Henry	95
Fairfax	139
Tazewell	84
Subtotal	<u>2,501</u>
Work Release Subtotal	191
GRAND TOTAL	9,463

*Temporary units.

Source: DOC Statistical Summary, FY 1983.

Virginia has a mandatory parole law which ensures that all inmates will receive at least six months of community supervision upon release from prison.

Probation and parole are jointly administered by DOC employees at 38 district offices located throughout the State. There are many similarities in the administration of the two services. For example, both probation and parole clients are required to adhere to specific conditions such as maintaining employment or participating in an educational program. Additionally, all gainfully employed clients are required to pay a supervision fee of \$15 a month. Approximately 20,600 offenders were under supervision by the 364 probation counselors and supervisors in June 1983.

Community Diversion Incentive Program. A major initiative in holding down the costs and use of incarceration is the development of programs into which convicted offenders may be directed. The community diversion incentive (CDI) program establishes a funding mechanism for the development of community-based alternatives to incarceration. Under this program, the director is authorized to provide direct incentive funding to localities for the development and operation of community-based alternatives to incarceration. The overall purpose of the program, set out in *Code of Virginia* § 53.1-180, is to provide the judicial system with sentencing alternatives for certain nonviolent offenders who may require less than institutional custody but more than probation supervision.

Alternatives that may be funded under the CDI program include:

- Restitution programs;
- Community service programs;
- Victim-witness programs;
- Intensive supervision programs; and
- Public-private agency contracts.

Ten cities and 15 counties were participating in the program as of January 1983. Approximately 350 offenders have been diverted from incarceration since the inception of the CDI program in 1980.

Local Jails. Local jails provide secure confinement for persons charged with offenses, awaiting trial, and serving sentences. Persons who have received relatively light sentences and who are formally sentenced to the custody of DOC may serve part or all of their sentence in a local jail.

There are 95 local correctional facilities. These facilities housed an average daily population of 728 State inmates in FY 1983. A total of \$37.5 million is appropriated as financial assistance for adult confinement in local facilities during the 1982-84 biennium. State funds are currently provided to local facilities by the State Compensation Board on a block-grant basis tied to the number of State

inmates housed per day in the facilities. The department provides a block grant to localities for new jail construction based on the maximum number of beds in the facility.

The Board of Corrections has adopted minimum standards for the construction and operation of all local correctional facilities, as authorized under *Code of Virginia* § 53.1-68. DOC staff inspect each local facility and certify the extent of compliance with the standards. Facility inspections include examining health and sanitation conditions, written policies and procedures, food operations, fire safety and personnel policies and procedures. Noncompliance with the standards may result in the Board recommending to the local circuit court judge that the facility be closed.

Work Release. Work release programs provide for employment or vocational training of inmates, who are housed in the vicinity of their jobs. The inmates work at their jobs during the day, and return to a supervised facility in the evening. DOC has established five work release centers around the State. Approximately 200 inmates participated in work release activities during FY 1983.

Under the provisions of *Code of Virginia* § 53.1-131 *et seq.*, offenders may be assigned by the court to a work release program under the supervision of a probation officer. Wages earned by the offender are used to defray the cost of his incarceration, and to pay for necessary commuting costs, support and maintenance of dependents, and any fines, restitution, or other costs ordered by the court. Any remaining balance is paid to the offender upon his release.

Youth Institutions

DOC's youth institutions (learning centers) provide close supervision and treatment for children 12 years of age and over. Unlike adult inmates, juveniles are given indeterminate sentences and are released at the discretion of the learning center counselors and court aftercare workers. Cases involving very serious offenses are reviewed by the sentencing judge for release approval. The average length of commitment for males is five to six months; females average eight to nine month commitments.

Each learning center's treatment program differs according to the needs of the children it houses (Table 3). Most centers have an open, campus-like physical structure with a number of separate buildings and no perimeter fence. Two centers, Appalachian and Oak Ridge, have perimeter fences and are secure facilities. Appalachian is a converted adult field unit with a gym and classrooms housed in a separate building. Oak Ridge opened in 1982 and is a single building. Bon Air, the Reception and Diagnostic Center, and Oak Ridge are located on adjoining properties and share a maintenance crew, central infirmary, and some administrative personnel. DOC's Camp New Hope is located on Natural Bridge Learning Center property and features camping facilities.

Table 3

CHARACTERISTICS OF JUVENILE LEARNING CENTERS

	<u>No. of Beds</u>	<u>Age and Sex</u>	<u>Special Features</u>
Appalachian	40	14-20, male	Secure facility for more serious offenses.
Barrett	90	12-14, male	No secure cottages.
Beaumont	200	16-20, male	Two secure cottages.
Bon Air	135	12-20, female	Central infirmary for all youth institutions.
Hanover	110	14-16, male	Two secure cottages. Provides security for Barrett when necessary.
Natural Bridge	60	15-20, male	Less difficult youth. Converted CCC camp.
Oak Ridge	40	12-20, male and female	Low functioning children.
Reception and Diagnostic Center	130	12-20, male and female	Placement evaluations performed.
	<u>805</u>		

Source: Assistant Director of Youth Institutional Services.

A superintendent administers each of the learning centers. The centers also typically employ two assistant superintendents, one for treatment and one for administration. Bon Air also has an assistant superintendent for medical services who is responsible for the operation of the central infirmary. The eight learning center superintendents are supervised by the assistant director of youth institutional services located in the central office. The department considers a regional structure unnecessary because all but two of the learning centers are within 30 miles of Richmond.

Youth Community Services

DOC's youth community services consist of a variety of programs which are available to youth. DOC operates four group homes, for example, where children are placed by the court for counseling and

related services. DOC's primary role with youth programs is to ensure they meet standards set by the Board of Corrections. Most placement facilities and programs are operated by localities and inspected and certified by DOC staff for compliance with Board standards. Pre-dispositional placements are available for youth who are awaiting trial and cannot remain in a family home without endangering themselves or others. The court can recommend a variety of post-dispositional placements. One alternative is a private institution, to be paid out of special placement or "286" funds administered by DOC. These funds have been set aside by the General Assembly for children in need of special services which can best be provided by a private or public facility, or by a nonresidential program as directed by *Code of Virginia* § 16.1-286. These placements are also within the purview of youth community services.

CURRENT ORGANIZATION AND STAFFING

The organization of DOC incorporates separate management structures for youth and adult programs. These separate structures were established in 1982, and are illustrated in a simplified fashion in Figure 2.

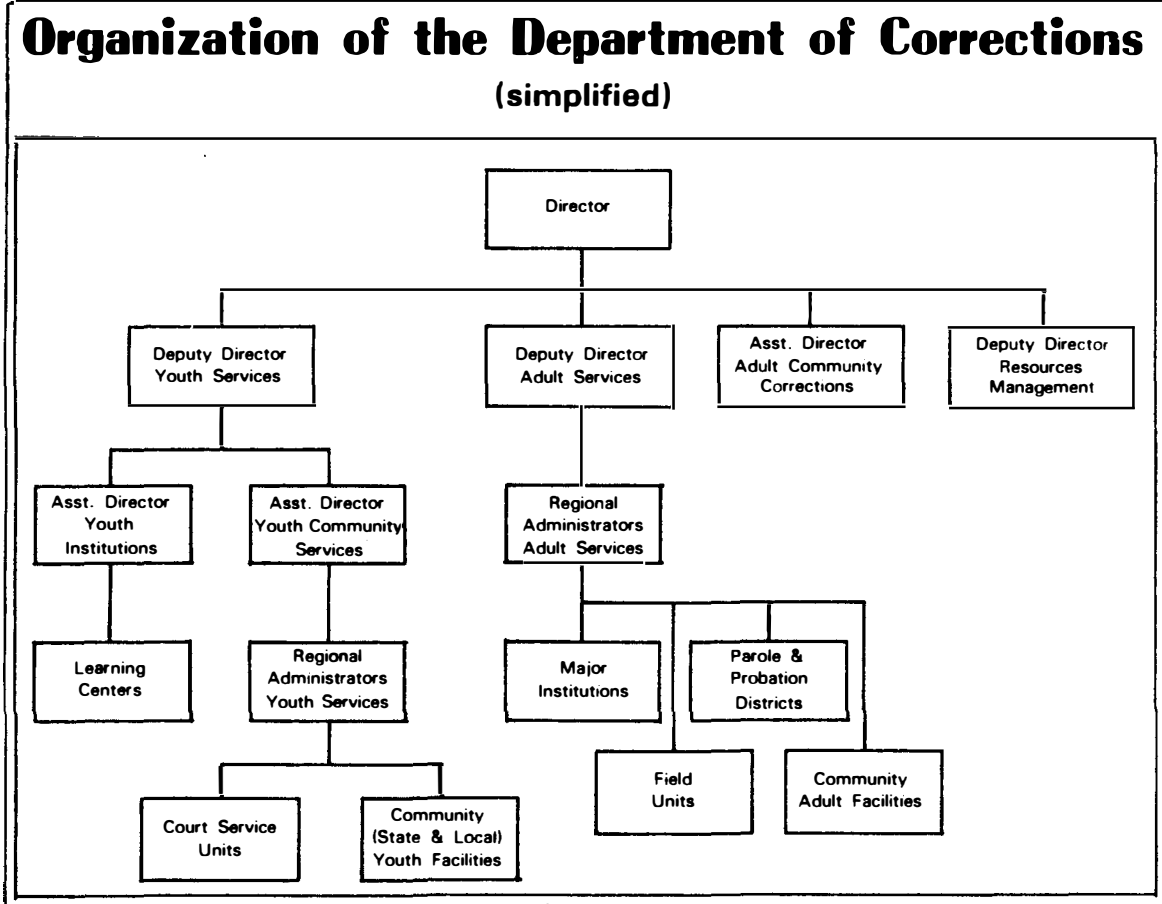
The major adult institutions, field units, parole and probation districts, and work release programs are supervised by the regional administrators of adult services. Each regional administrator (RA) has a staff who assists with oversight of these programs and activities. The adult services RAs report to the deputy director of adult services in the central office.

On the youth side of the department, the hierarchy is quite different. The eight learning centers are supervised by an assistant director, housed in the department's central office. Consequently, regional administrators of youth services have no responsibility for youth institutions. Instead they supervise the court service units and the State-operated community youth facilities, and have general oversight and inspection responsibilities for locally-operated youth facilities and for the juvenile delinquency and youth development program.

Current Staffing

Total department staffing has increased primarily in response to added facilities on the adult side. As Figure 3 indicates, while nine new facilities were being added to handle the increase in the adult inmate population, total department staffing rose from 3,878 positions in 1975 to 7,901.5 positions in 1983 -- an increase of 104 percent. This rate of increase in staffing outpaced the rate of increase in the adult inmate population, which rose 65 percent -- from 5,940 to 9,802 -- over the same period. The adult parole and probation

Figure 2



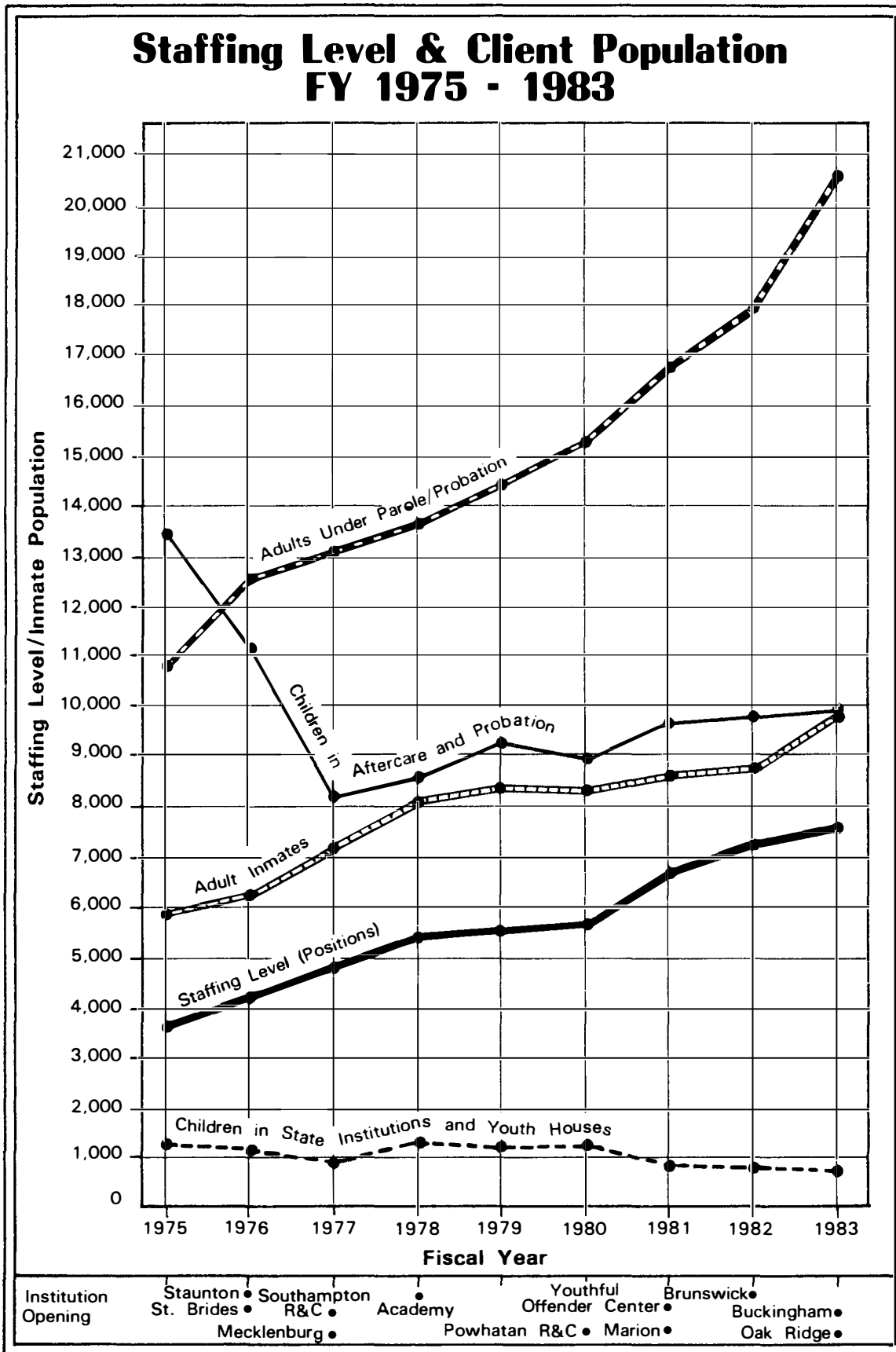
Source: JLARC.

caseload increased over the period by 91 percent -- from 10,791 to 20,628 cases -- increasing almost as rapidly as total department staffing.

Although DOC has been a principal source of State employment growth as new adult institutions have opened, the agency has also made significant staffing cuts. Since July 1982, 142 positions have been trimmed from DOC's rolls. In one case an entire central office unit -- evaluation and monitoring -- was abolished.

Despite the department's efforts to stem employment growth, DOC staffing may expand further in the 1984-86 biennium. During that period the Nottoway and Augusta correctional centers will open, each requiring close to 350 additional positions. Unless the total prison population is significantly reduced -- allowing older facilities to be closed as new facilities open -- DOC's employment level will increase. The department is also requesting a total of 54.5 new positions in FY 1984-85 for such functions as probation counseling and security.

Figure 3



Source: DOC Annual Reports.

The maximum employment level for DOC was set by the Appropriations Act at 7,969 FTE salaried positions in FY 1983, and was adjusted to 7,901.5 positions for FY 1984. The department has allocated these positions as shown in Table 4, which totals 16 positions less than the maximum employment level. Total personal services expenditures in FY 1982 were \$116.5 million, 54.7 percent of the total department spending of \$212.9 million.

STUDY MANDATE

The requirement for JLARC to review DOC staffing was established by the 1983 Session, which amended the Appropriations Act to direct JLARC to conduct a multi-part study. According to Item 545.1 of the Act (see Appendix A), the first part of the review was to be a report on "the utilization and need for existing or anticipated central office and regional staff."

Subsequent parts of the study, to be reported between the 1984 and 1986 Sessions, are to review:

- security as well as non-security manpower,
- plans to increase manpower in relation to projected growth in the adult inmate population, and
- the effectiveness of the department's capital outlay process and prison design.

Recommendations for improved manpower and facilities utilization are to be contained in the final report.

An additional, related component of the JLARC review is contained in Item 621.1 of the Act. This item requires JLARC to assess manpower utilization in the Rehabilitative School Authority (RSA), which operates educational programs in DOC facilities. Unlike the review of DOC, the RSA mandate is not restricted to any particular aspect of manpower utilization. The RSA review will be reported prior to the 1986 Session.

Interim Report

This report presents interim findings and recommendations about staffing in DOC's central and regional offices. Because this report is the first in a series of JLARC reviews, additional recommendations that affect staffing may be developed in subsequent studies. Consequently, this interim report does not represent complete JLARC recommendations on DOC administrative staffing.

Table 4

MAXIMUM EMPLOYMENT LEVELS
FOR DOC UNITS
July 31, 1983
(In FTEs)

Central Office*

Director's Office	163.5	
Resource Management Division	183.0	
Youth Services Division	17.0	
Adult Services Division	325.5	
Parole Board	<u>21.0</u>	
Subtotal		710.0

Regional Offices (Adult/Youth)

I. Western (10/6)	16.0	
II. Central (10/6)	16.0	
III. Northern (10/6)	16.0	
IV. East Central (11/6)	17.0	
V. Southeastern (10/6)	<u>16.0</u>	
Subtotal		81.0

Field Locations

Adult Institutions	4,164.5	
Field Units	848.5	
Learning Centers	787.0	
Court Service Units	668.0	
Parole & Probation Districts	543.5	
Work Release	48.0	
Juvenile Halfway Houses	<u>34.0</u>	
Subtotal		<u>7,093.5</u>
GRAND TOTAL		<u>7,884.5</u>

*Some positions identified by DOC as central administrative positions are housed at the regional offices.

Source: Employee Relations Unit.

Study Methodology

A variety of methods are available to review the efficiency of administrative staffing. The JLARC review employs several approaches.

The interim findings and conclusions found in this report recognize DOC's current policies and programs. Consideration of alternative organizational structures was not addressed. Because the regional offices have a relatively small number of positions assigned similar duties, a limited task analysis was conducted for each position. Information about the responsibilities and functions performed, workload, travel time, and utilization of each position was collected through detailed, on-site interviews with the incumbents.

For the central office assessment, all organizational units headed by positions titled "manager" were selected for review. Due to the proliferation of job classifications in the central office, even a limited task analysis was not feasible. Consequently, a convergence strategy was employed that sought to collect and assess on a unit-by-unit basis the following indicators:

- statutory staffing requirements;
- the mission, goals, and objectives of each unit;
- workloads;
- spans of control;
- the potential for automating aspects of the unit's work;
- the amount of time spent on duties not clearly relevant to the unit's mission; and
- overtime worked by unit staff.

These indicators, where available, and additional information from higher levels of management and other sources were brought to bear on the issues of utilization and need for staff.

Additional information was collected and developed about staff utilization. A variety of methods was used to assemble this data. These methods included a functional analysis, analyses of workloads and travel time, and structured interviews.

Functional Analysis. A research effort was undertaken to uniformly and systematically analyze the principal functions conducted by DOC. Thirteen functions were identified from the DOC policy manual, PROBUD, and interviews with various department personnel. These functions were defined as shown on the following page.

Functional Classification Descriptions

Secure Confinement

The security function involves all activities related to the general confinement and supervision of juveniles and adults within correctional facilities.

Inmate Classification and Monitoring

The administration of the adult inmate classification system includes establishing procedures, holding hearings to determine classification and institutional assignments, and maintaining all classification-related records. Testing and placement of juveniles in specific learning centers and related record-keeping is also included within this function.

Probation and Parole Services

Probation and parole services encompass the administration of adult probation and parole, and juvenile probation and aftercare services, as well as the provision of administrative support to the Parole Board.

Educational and Vocational Services

Educational and vocational services refer to the administration and provision of accredited educational and vocational programs, and practical experience for juveniles and adults confined in correctional facilities.

Medical and Treatment Services

The medical and treatment function includes all health-related and rehabilitative services except educational and vocational instruction. Medical activities involve the development of health-related policies, standards and procedures; the administration, supervision and provision of health care services; and the monitoring of charges submitted by outside medical facilities for the care of inmates and juveniles.

Budgeting, Finance, and Accounting

This function encompasses all budgeting activities from the development of the budget through the monitoring of its execution. Included within this function are monitoring appropriations and federal reimbursement items, processing financial payments as well as employee and inmate payrolls, and reimbursing localities for specified expenditures.

Purchase, Supply, and Transportation

Activities that involve the actual purchase, distribution, and transportation of supplies, equipment, and pharmaceuticals are involved in this function.

Maintenance and Construction

The maintenance and construction function encompasses: (1) planning, coordinating, and performing preventive and corrective maintenance of correctional facilities and vehicles, (2) determining, coordinating, prioritizing, and monitoring capital needs projects, (3) constructing buildings, (4) developing long-range capital outlay plans, (5) reviewing needs of local jails and juvenile detention homes, and (6) constructing and maintaining water and wastewater projects connected with correctional institutions.

Policy and Program Development

Policy and program development includes all departmental activities related to design and development of departmental policies, inmate programs, performance standards, and grants.

Research and Reporting

The research and reporting function refers to developing, coordinating, and publishing statistical and research reports.

Internal Review and Evaluation

Internal review and evaluation includes: (1) internal auditing of policies, programs, standards, and financial transactions, (2) internal investigation of departmental actions, policies, procedures, and financial transactions, and (3) certification of physical plant conditions and inmate programs.

External Communication and Coordination

External communication and coordination refers to the official contacts of the department with other agencies, governmental entities, and the public, in addition to the coordination of volunteer services and programs.

Personnel and Training

Personnel and training refers to all employee-related activities, including recruitment, selection, classification, wage and benefit determination, training, evaluations, grievances, and manpower planning and utilization activities.

To develop an understanding of how each function is carried out, structured interviews were conducted with key participants in each function. The participants included deputy and assistant directors in the central office, regional administrators of both youth and adult services, wardens, superintendents of field units and learning centers, and directors of court service units and parole and probation districts. Questions focused on supervision, review, authority, and service provision within each function.

Workload and Travel Time. Indicators of workload were systematically collected throughout the department. These data were then assessed to determine whether workloads were reasonably distributed across similar positions, and whether individual positions appeared to have sufficient amounts of work.

Information about the frequency and length of trips to DOC facilities and programs was collected during interviews with staff at the regional offices. This information was used to make estimates about the total amount of time spent traveling, and to evaluate alternative workload assignments for the regions.

Interviews. More than 175 structured interviews were conducted during the course of this review. Efforts were made to interview every management staff member in the regional offices, and to interview every staff member at the manager level and above in the central office. Interviews focused on the duties, workload, and supervisory relationships of each position and unit.

Report Organization

This report contains three chapters. The first chapter has provided an overview of DOC and describes the JLARC study mandate. Chapter II describes and assesses the staffing and configuration of the central office. Chapter III focuses on the staffing and organizational structure of the regional offices of both youth services and adult services. Both chapters contain recommendations for staffing efficiencies and for improving the utilization of DOC's administrative staffing resources.

II. STAFFING AND ORGANIZATION OF DOC'S CENTRAL OFFICE

The current configuration and staffing of DOC's central administration are the products of four reorganizations since 1974 and of continual "fine-tuning." In response to the recent needs of Virginia to cope with a fiscally austere environment, DOC abolished 30 central office positions in FY 1983, and anticipates it will cut an additional nine central staff positions before the end of the fiscal year. Eighteen positions were eliminated from the division of resources management, two were eliminated from the office of the director, and ten were transferred to the Attorney General's office.

Most functions currently performed in the central office appear appropriate for the central administrative apparatus of a corrections agency with many facilities and programs throughout the State. These include such functions as administrative policy-making, direction, budgeting, planning, and internal auditing. Some institutional support functions may also be appropriately centralized because they facilitate uniform control over decentralized activities, such as capital outlay, training, enterprises, and health services.

JLARC Review

The study approach adopted for the interim report assessed the appropriateness of staffing given the functions performed by the central office and given the existing structure, programs, and policies of the department. Because additional JLARC study of the department will be conducted in the next two years, further reviews of central office staffing may occur, and recommendations in future JLARC studies may also address central office staffing.

This staffing review included a systematic assessment of a variety of staffing indicators. This process sought convergence among the indicators toward conclusions about the appropriateness of staffing in the organizational units within the central office. The systematic review of staffing indicators and the requirement for convergence among the indicators should have identified any significant staffing surpluses within the central office.

Staffing standards are not used by DOC to set staffing levels of any central office unit. Consequently, the review of central office staffing levels employed a multi-pronged approach. First, the functional involvement of each central office unit was systematically identified, described, and assessed through a series of interviews with all the assistant directors and with selected central office managers.

Second, an effort was made to interview each staff member at and above the manager level. Interviews with central office staff focused on the question of whether organizational units were appropriately staffed and adequately integrated into the department. More than 60 detailed interviews were conducted with central office staff. Information on the following staffing indicators was collected during the interviews and used to assess central office staffing:

- staffing requirements specified in statutes or court decisions;
- congruence of the mission, goals, and objectives of the unit with those of the department;
- spans of control of positions with supervisory responsibilities;
- workload of the unit;
- overtime worked by unit staff; and
- potential efficiencies achievable through automation.

Data for each of these indicators was not available for every organizational unit in the department. Consequently, for the interim report only a limited analysis of staffing in these units was conducted.

Statutory Staffing Requirements. In some instances, detailed in Appendix B, the *Code of Virginia* and court decisions have specified a minimum or maximum staffing level for specific organizational units. For example, *Code of Virginia* § 53.1-8 *et seq.* requires that DOC be under the management and supervision of a director, who is appointed by the Governor to serve at the Governor's pleasure. As another example, § 16.1-325 authorizes the Governor to appoint an administrator of the Interstate Compact Relating to Juveniles. This administrative position is located in DOC's interstate compact unit. In addition, the Appropriations Act sets maximums for some units. Compliance with the corresponding level of staffing was reviewed for central office units which have a specified staffing requirement.

Unit's Mission, Goals, Objectives. This information was collected from written materials as well as from interviews with the chief administrator of each organizational unit. A determination was then made about the extent of compatibility between the unit's goals and the department's overall mission and goals. In cases where compatibility appeared to be questionable, reasons for retaining the incompatible objectives or activities were reviewed.

In addition, each manager was asked to describe any activities performed by his staff which he considered to be not clearly related to the unit's principal assignment, and the amount of staff time spent on such activities. An attempt was made to confirm such

involvement, either through a review of work performed by the unit or by seeking confirmation from other staff members. Reasons for retaining or continuing to perform duties not clearly relevant were reviewed.

Spans of Control. The number of staff positions directly supervised by managers (supervisors, unit managers, assistant directors, and deputy directors) was determined from organizational charts and employment records, and confirmed with the respective incumbents. In addition, managers were asked whether they considered their current span to be appropriate.

Further review was undertaken of instances of very high or very low spans of control. For clerical and administrative positions, an excessively high span was considered as more than 20, and an excessively low span as less than three. These guidelines were derived from American Management Association standards.

If the span of control within a unit exceeded either of these extremes, a further effort was made to determine the appropriateness of the variation. In low span cases, for example, factors considered included the degree of specialization and technical expertise of the supervisor, and the extent of the supervisor's involvement in the work of the subordinates. Such factors were considered because a "supervisor" title is sometimes awarded to an individual with a high degree of technical expertise, without indicating supervisory authority over subordinates.

Workload. The workloads of central office units were measured in several ways. If available, descriptive statistics on the number, type, and distribution of tasks performed by staff were collected. Guidelines and standards used by managers to gauge the quantity of work performed by staff were also collected when available. Managers were asked for their judgments about the overall appropriateness of their units' workloads. Finally, managers were asked whether staffing levels were adjusted to accommodate workload peaks and valleys.

These workload indicators were then reviewed to determine whether a unit had been assigned sufficient work to keep staff productively occupied, and whether workload was equitably distributed within the unit. An additional indicator used to assess workload adequacy was the amount of overtime worked by a unit's staff.

Overtime. Respondents were asked about the extent of overtime they and their staffs worked. In cases where excessive amounts of overtime appeared routine, the need for such effort was confirmed with the next higher level of management. Cases where overtime was never or rarely worked suggested, but was not conclusive, that the workload of such units was not excessive.

The use of overtime as a workload indicator is constrained by State and department policy in force during this review which limited

the award of compensatory time or payment for overtime. This policy was frequently mentioned by DOC managers as a key reason for curtailing the amount of overtime worked. Consequently, the amount of overtime worked may not accurately reflect workload.

Automation Potential. Respondents were asked whether any of the tasks performed by their units could be automated, and whether any efficiencies and improvements would result. The extent of manual record-keeping and manual data manipulation was identified. Planned and scheduled automation activities were obtained from the data processing unit as well as from the managers of other units. Instances where it could be seen that there was potential for automation were assessed for staffing efficiencies. Potential costs were compared to the potential savings in staff salaries.

Convergence strategy was used to reach a conclusion about each organizational unit. In many instances these indicators converged to a conclusion that the unit was not overstaffed. In other instances, discussed in this chapter, potential improvements in the utilization of staff were identified.

CENTRALIZATION AND STAFFING OF FUNCTIONS WITHIN DOC

DOC's central administrative apparatus consists of staff responsible for such key management functions as direction, control, and coordination, as well as staff who provide specialized support services to the residential facilities. Although there is no precise statutory definition of DOC's central office, the department has developed a working definition which is modified and used in this report.

The organizational units which comprise DOC's central office are listed in Table 5. A simplified chart of the central office is shown in Figure 4. A more detailed organizational chart of the entire department is provided in Appendix C.

A total of 710 positions, representing nine percent of all DOC positions, comprise DOC's definition of its central office. However, if only administrative positions in Richmond are considered to be part of the central office, the number of positions should be reduced by 152.5. The Academy's 61.5 FTE positions are housed near Waynesboro or at the regional offices, and 72 of the 148.5 FTE enterprises positions are located in the adult institutions. In addition, six of the nine ombudsman positions are housed at the regional offices, as are five of the seven community diversion specialists and eight maintenance and sanitation employees. Consequently, there are 557.5 central administrative positions, or seven percent of the department's maximum employment level, located in DOC's headquarters facilities in Richmond.

The deputy directors -- one each for youth services, adult services, and resources management -- report to the department direc-

Table 5

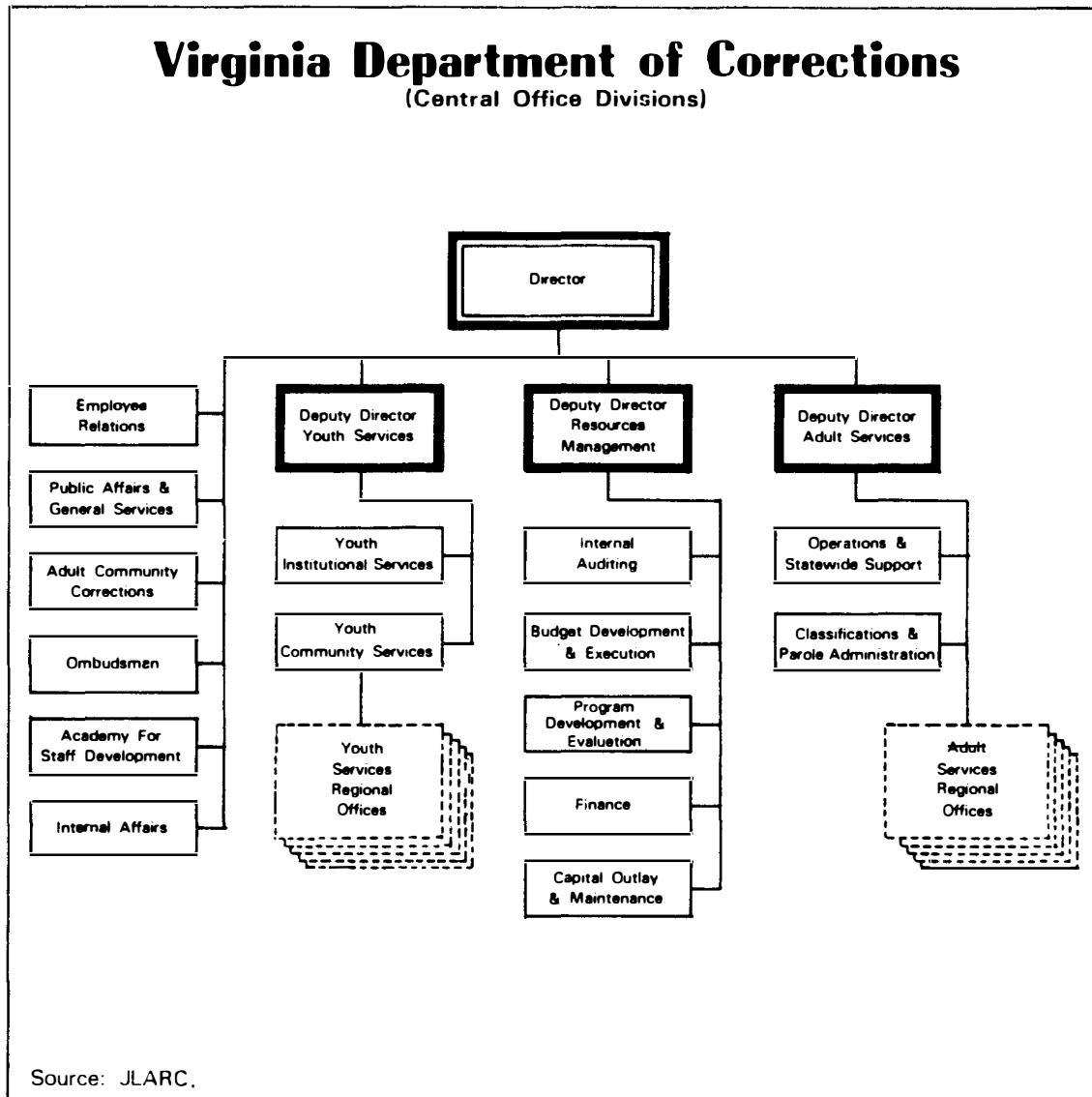
CENTRAL ADMINISTRATIVE STAFFING
July 31, 1983

	Maximum Employment Level	
<u>Office of the Director</u>		
Director's Office	5	
Employee Relations	32	
Assistant to Director, Public Affairs & General Services Admin.	37	
Asst. Director for Adult Community Corrections*	11	
Ombudsman*	9	
Academy for Staff Development*	61.5	
Internal Affairs	8	
Sub-total		163.5
 <u>Division of Youth Services</u>		
Deputy Director's Office	5	
Asst. Director for Institutional Services	7	
Asst. Director for Community Services	5	
Sub-total		17.0
 <u>Division of Resources Management</u>		
Deputy Director's Office	3	
Internal Auditing	6	
Budget Dev. & Execution	9	
Asst. Director for Program Development & Evaluation	64	
Asst. Director for Finance	71	
Asst. Director for Capital Outlay & Maintenance	30	
Sub-total		183.0
 <u>Division of Adult Services</u>		
Deputy Director's Office	2	
Asst. Director for Operations & Statewide Support*	215.5	
Asst. Director for Classification & Parole Admin.	108	
Sub-total		325.5
<u>Parole Board</u>		21.0
Total		710.0

*Contains positions housed at regions or elsewhere outside Richmond.

Source: DOC Manpower Control Program.

Figure 4



tor. The director also controls 163.5 positions in several administrative units, including employee relations, public affairs, internal affairs, ombudsman services, the academy for staff development, and adult community corrections. The deputy director for resources management controls 183 positions in units which handle internal auditing, budgeting, finance, capital outlay, and program development and evaluation.

Within the central administrative apparatus of the adult services division are 325.5 positions in operations and statewide support services, enterprises, and classification and parole administration. The enterprise operations, which produce inmate-manufactured goods, are supervised by a general manager in the central office who is

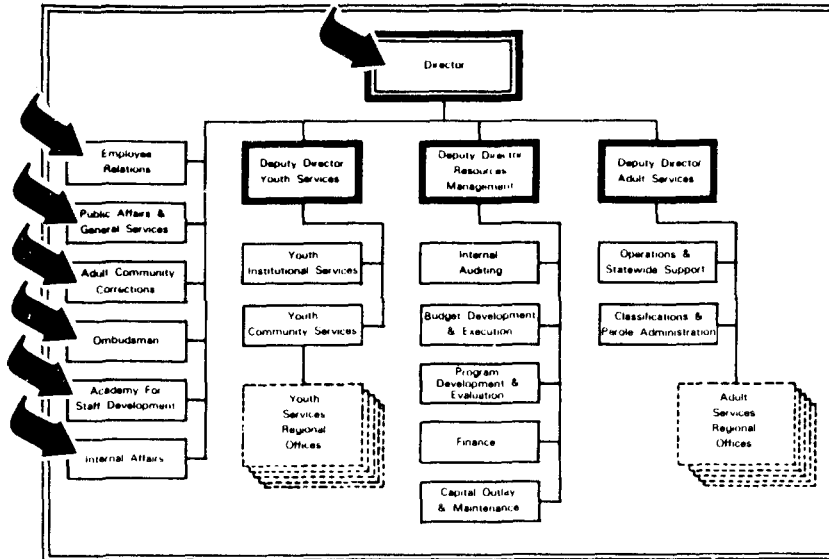
under the assistant director for operations and statewide support. Also under the assistant director are health services, food services, agribusiness, and maintenance and sanitation. The other assistant director within the division provides support staff and services to the Parole Board, and maintains a master file on all inmates and parolees.

The centralized portion of the youth services division has 17 positions, quite small compared to the adult services division. It consists of an assistant director for institutions, who supervises the learning centers, and an assistant director for community services, who heads the regional youth services structure. Each assistant director also has a support staff.

Organization of the Chapter

In the following pages, each of the four major organizational units of the central office is described and assessed. To assist the reader in following the relatively complex structure of the central office, simplified organizational charts are used throughout the remainder of the chapter. These charts identify the unit being discussed, list subordinate units, and present the total staffing level of the unit.

Director's Office



Consists of:

Employee Relations
 Public Affairs
 and General Services
 Adult Community
 Corrections
 Ombudsman
 Academy for
 Staff Development
 Internal Affairs

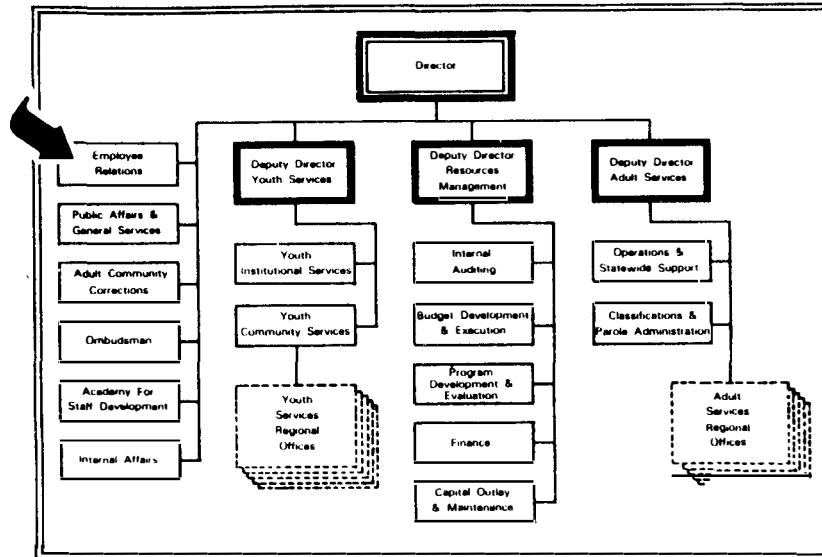
Total Staffing
 Level: 163.5

The Director of Corrections has the statutory responsibility for management and supervision of the department. The *Code of Virginia* also provides that every convicted felon who is sentenced to the department "shall be committed by the court to the custody of the Director of the Department" (*Code of Virginia* § 53.1-20). The director is also granted broad discretion to organize and staff the department as he deems necessary within the parameters of the law.

Four of the units in the director's office perform traditional headquarters functions. Employee relations, for example, develops and administers personnel policies, procedures, and programs for the department. Public affairs is also an appropriately centralized activity. The remaining units under the director perform duties which are unique to the corrections function, and which appear to be appropriately located in the central office. As indicated previously, the Academy for Staff Development is located near Waynesboro.

Three positions are at the immediate service of the director, and comprise his personal staff. The legislative liaison position for the department is also located in the director's office. Staffing in the six units which report to the director is described in the following sections.

Employee Relations



Consists of:

- Employee Programs
- Employment Services
- Classification and Compensation
- Equal Opportunity and Affirmative Action

Total Staffing Level: 32

The employee relations unit develops personnel policies and procedures for the department, and administers and oversees the personnel program. The unit is organized into four sections with a total of 32 positions, of which two are the assistant director for employee relations and his secretary.

Overview. The employee programs section has four staff positions which develop personnel policies and programs, and which oversee several activities. The section administers employee benefit programs for the department, including the retirement program, health and life insurance, and workmen's compensation. Section staff also assist employees in resolving complaints.

The employment services section manages applicant and employee records, oversees salary actions, and provides essential personnel services to DOC units which lack personnel units, including probation and parole districts, court service units, field units, and the central and regional offices. Recruiting of new applicants is handled by this section, as is advertising for all DOC job openings. Twenty staff positions are assigned to this section. One staff position was cut from this section in FY 1983.

The classification and compensation section conducts special studies to help maintain consistency and equity in the classification and compensation of positions. The unit consists of four positions with responsibilities for conducting salary studies, position classification audits, class specification reviews, and related activities. The unit initiates, tracks, and reviews all position transaction requests for accuracy. The unit also reviews and updates all 77 agency-unique class specifications.

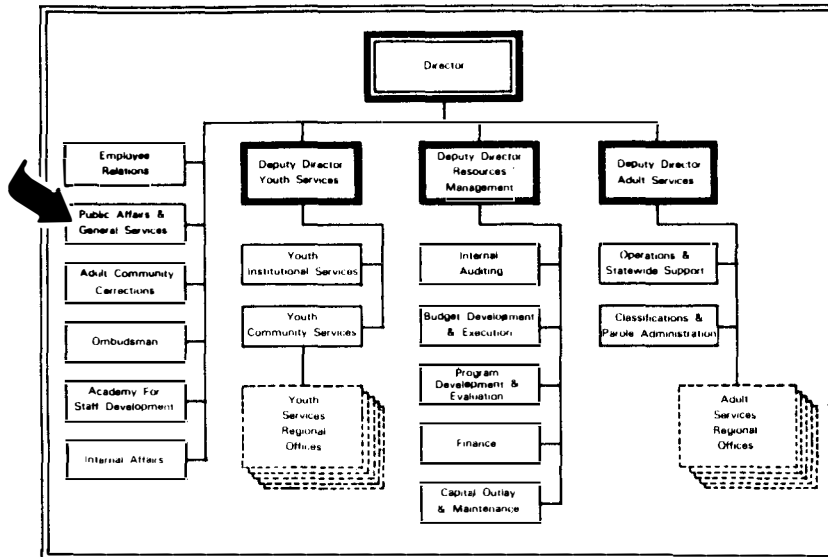
The equal employment opportunity and affirmative action (EEO/AA) section consists of two positions. The unit develops and monitors EEO/AA plans, programs, procedures, and reports. Staff of the section investigate EEO complaints and represent the department at the federal Equal Employment Opportunity Commission fact-finding conferences.

Appropriateness of Staffing. The employee relations unit does not appear to have significant surpluses of staff positions, based on a review of workload, overtime worked, and the extent of automation in basic tasks.

The managers' perceptions were that their respective section's overall workloads were either appropriate or excessive. Each section carries out many highly specialized activities, with one section -- employment services -- handling the bulk of routine personnel transactions and having 62 percent of the unit's total staff. The employment services manager noted that many staffers were cross-trained in several tasks and were switched between tasks in order to remain productively occupied. It was noted that this strategy could help compensate for the peaks and valleys in the flow of job applications.

The workload of each section appears clearly related to achieving the department's mission. None of the managers identified any irrelevant activities performed by staff. Many basic tasks, such as maintenance of personnel files and records for all DOC employees, are automated through the State personnel management information system (PMIS).

Public Affairs and General Services



Consists of:

- Public Affairs
- Central Word Processing
- Central Inventory
- Volunteerism
- Records Retention

Total Staffing Level: 37

The assistant to the director for public affairs and general services (PAGS) has responsibility for disseminating public information about the department and for general services administration in the central office. A total of 37 FTE positions are authorized for PAGS -- four in public affairs and 33 in general services. The assistant to the director supervises the public affairs functions of his office. General services responsibilities are supervised by the general services manager.

Overview. The public affairs office acts as the department's official spokesperson, providing the public and media with announcements and news releases relating to the department. Public affairs also produces various publications required by statute and by the Board of Corrections.

General services is a multi-functional office providing support services to the entire department. Five subunits are contained within general services, each under the administrative control of a unit supervisor. The central support services unit, with 9 authorized positions, manages the department's mail distribution system, maintains and purchases office supplies, handles the central duplicating services, and has responsibility for vehicle records and liaison with the State central garage. The word processing center has 12 positions which comprise the centralized secretarial and typing pool. The central inventory and property control unit, with nine positions, handles the department's real estate transactions, insurance and risk management program, telecommunications system, and statewide inventory system. The records retention unit, with two positions, maintains the

department's central files and microfilm library. The policy manual coordination unit's one position coordinates policy preparation and review.

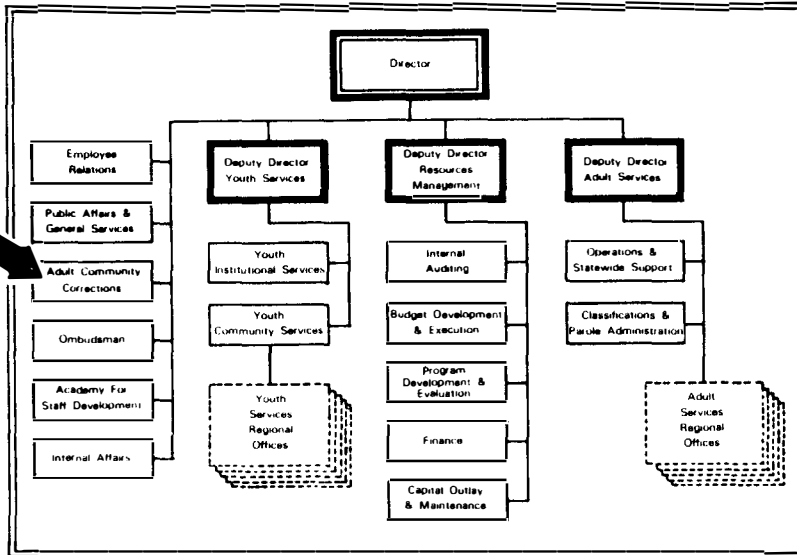
Appropriateness of Staffing. Though PAGS services are primarily restricted to the central office, its functions appear to facilitate the department's overall mission of administering the State's correctional program. The spans of control of the assistant to the director and the general services manager are within reasonable levels. The assistant's span of control consists of four FTEs, which facilitates the performance of his primary duties as the department's information officer. The general services manager directly supervises the five subunit supervisors in his office.

Workload measures and standards for performance were not available, although there are subunits that would readily lend themselves to such standards. Activities of the word processing center, for example, could be compared to standards.

The public affairs office also contains the volunteer resources coordinator, who prepares policy and guidelines for the use of volunteers in DOC facilities, serves as a liaison with staff acting as volunteer coordinators in the facilities, and prepares reports and performs other duties required under the Virginia State Government Volunteers Act, *Code of Virginia* § 2.1-554 *et seq.* Given the Act's requirements and the volume of volunteer services at DOC facilities -- 275,545 hours of services given by more than 11,000 volunteers in FY 1982 -- it appears appropriate to have this centralized position dealing with volunteer matters.

Central inventory and property control recently installed a computer terminal to automate two of its functions -- inventory control and vehicle registration. The assistant to the director indicated that the automation of those two functions would not result in reducing present staffing levels, but it would provide for increased efficiencies and the ability to accept increasing responsibilities without having to raise staffing levels.

Adult Community Corrections



Consists of:

- Community Diversion
- Probation and Parole
- Local Jails

Total Staffing Level: 11

The central office structure for adult community services was reorganized in the fall of 1983 by establishing an assistant director for adult community corrections who reports to the department director. This position directs and coordinates DOC's community corrections services, and supervises four central office positions: the community diversion manager, the probation and parole manager, the jails manager, and a secretary. These positions are intended to provide technical expertise for regional staff. The regional probation and parole and jails managers report to the adult services RAs.

Overview. The assistant director position for adult community services was filled in October 1983. This position will provide a focus for the expanding community corrections program. Previously, adult community corrections had no central voice or formal means to coordinate services. The three community corrections managers reported to three different supervisors. The creation of a centralized unit is consistent with the current emphasis on community diversion.

The community diversion manager in the central office oversees the entire CDI program. This involves formulating program standards, developing regional goals and action plans, monitoring the statewide budget, and exercising final approval of all local contracts. Direct supervision of the five CDI specialists is also the manager's responsibility, despite the fact that they are housed in the adult services regional offices. This manager also supervises one clerk typist.

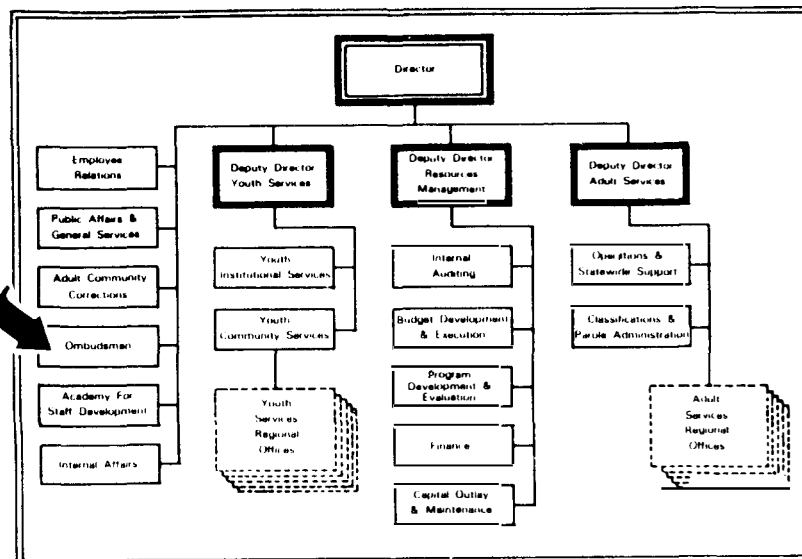
The role of the probation and parole manager regarding field operations will not differ significantly from the role played by the incumbent in the previous organizational structure, according to the

assistant director for community corrections. Additional duties typically performed by a chief of operations have also been assigned to this manager. The probation and parole manager will act as second in command to the assistant director of adult community services, and be involved in the budgeting, planning, and reviewing for all adult community service programs.

The jails manager's role has been affected by the recent reorganization. In addition to monitoring and providing technical assistance related to local jail operations, the manager is involved in determining the amount of block grants for local jail funding, primarily as a service to the State Compensation Board. The administration of these grants was transferred in 1983 to the State Compensation Board by the General Assembly. In providing this service, the unit collects inmate data from local sheriffs, aggregates the data, and determines the total number of felon days and the amount of block grant payment for each local jail. According to DOC staff, the rationale for continuing to provide this service is the State Compensation Board's lack of staff, and the department's existing data processing capabilities. The jails manager works directly with local sheriffs in all aspects of jail policies and procedures and compliance with State standards. The manager also provides direction and technical assistance to the regional managers of local jails.

Appropriateness of Staffing. Staffing of the newly organized adult community corrections unit seems reasonable considering the importance of community corrections as an alternative to institutional incarceration. According to the director, the establishment of the adult community corrections unit indicates DOC's recognition of the need for a coordinated, statewide focus for community services. However, the unit is new to the department and is thus difficult to assess in terms other than mission. The unit's workload, for example, is still being defined and clarified. Consequently, further review of community corrections staffing may be necessary.

Ombudsman



Total Staffing Level: 9

The staff of ombudsman services monitor compliance with the inmate grievance procedure and investigate procedural problems. The grievance procedure provides inmates with an administrative method for settling complaints related to their imprisonment. Essentially, the grievance procedure provides for informal resolution by a staff member, by a grievance committee, or by other means which are unique to a facility. The procedure then provides for inmates to appeal a first-level decision to the warden or superintendent of the facility, who must respond within eight days. The inmate may further appeal the decision of the warden or superintendent to the regional administrator, who has 20 days to respond, and then to the deputy director or director, for responses within 15 days. This grievance procedure is the first in the U.S. to be certified by the U.S. Department of Justice.

Overview. The grievance procedure is heavily used. For the six months ending June 30, 1983, 11,245 grievances were filed. Of this total, 9,854 or 88 percent were resolved within the institution where the grievance originated. Of the eight percent resolved outside the institution, approximately 611 were resolved by regional administrators, approximately 85 were resolved by the assistant director for classification and parole, and 116 were resolved by the deputy director or director. The remaining 579 grievances, or five percent of the total, remained unresolved at the end of the period.

The ombudsman services staff are not involved in the process as decision makers. Instead they serve as procedural advisors and monitor the integrity of the process. They investigate allegations of procedural improprieties, and review all formal grievances for compliance with requirements.

Appropriateness of Staffing. Basing one ombudsman in each regional office appears appropriate because of the need to travel to institutions to conduct reviews and investigations. The number of grievances filed per region is shown in Table 6. Although the number of filings does not accurately measure the ombudsmen's involvement, it does suggest that the need for one ombudsman in each region may be appropriate.

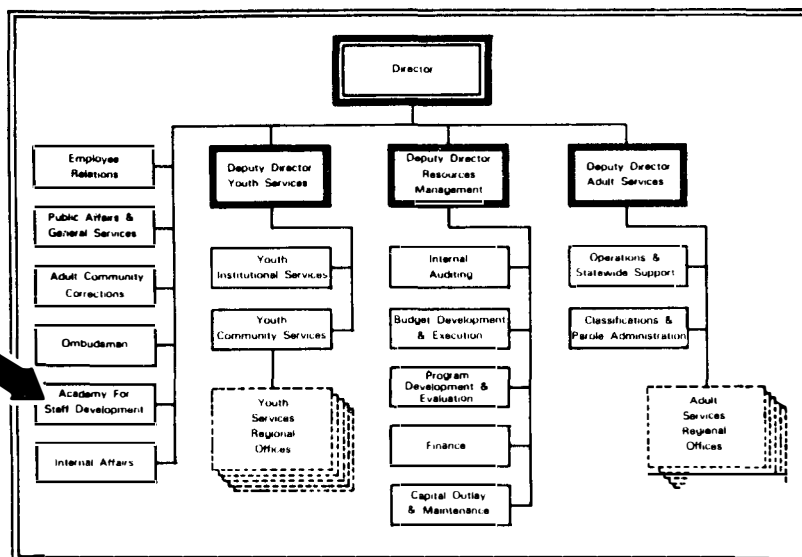
Table 6

INMATE GRIEVANCES FILED
January - June 1983

<u>Region</u>	<u>Number of Grievances Filed</u>
Western	1,222
Central	2,607
Northern	1,285
East Central	3,500
Southeast	<u>2,631</u>
Total	11,245

Source: Semi-annual Inmate Grievance Report, Aug. 1983.

The Academy for Staff Development



Total Staffing Level: 61.5

The 1976 creation of the Academy for Staff Development represented a significant step toward improving DOC's training capabilities and enhancing staff professionalism as recommended in State Crime Commission reports. Staffing and training programs at the Academy have continually been expanded and refined to meet the unique training needs of DOC staff. Since 1978, staffing levels have increased 60 percent, and services have been expanded to meet the needs of DOC regional staff and local jail operators. During FY 1983, approximately 15,000 participants received almost 370,000 training hours provided or coordinated by Academy staff. Total appropriations to the Academy in that year were \$2.1 million.

Overview. Although considered a central office component of the department, all Academy staff except regional training specialists and local jail trainers are located in Waynesboro. The total staff of 61.5 full-time training specialists, staff development coordinators, and maintenance and food service workers are organized into three basic programs: academy training, regional training, and local jail training. In addition, over 260 adjunct faculty to the Academy have been designated throughout the department to provide specialized training, coordinated at the regional or Academy level.

The main training facility (Academy), located in Waynesboro, operates 24 hours a day, five days a week, with residential and food service accommodations. The facility provides office and training space for Academy administrators and training staff. In FY 1983, almost 113,000 training hours or 68 percent of all training provided at the Academy were devoted to basic skills (mandated training usually required within the first year of employment). Approximately 90 per-

cent of that training was provided to correctional officers. Academy staff provided an additional 54,000 training hours to meet in-service training requirements (mandated training required on an annual or biennial basis) and elective courses to enhance expertise in selected areas.

The Academy also serves as the department's focus for the development and implementation of training policies and procedures. Staff have developed curricula to meet training requirements set by the Department of Criminal Justice Services (DCJS), the Board of Corrections, legislation, and court directives. In addition to mandated courses, the Academy also utilizes an advisory committee to upgrade existing programs and establish new courses.

Training obtained through regional offices is coordinated by regional training specialists (RTS) which are funded by and considered staff to the Academy. Day-to-day direction and supervision of each position and the respective regional training program, however, is carried out by the regional administrators. In addition to the five RTSs which serve in DOC's regional offices, a sixth RTS position is assigned to youth institutional services to coordinate training for learning center staff.

The objective of regional-level training is to meet the specific needs of staff under the purview of both youth and adult regional administrators. Unlike the Academy, regional training emphasizes specialized rather than basic skills development courses. During FY 1983, regional training subject matter ranged from DOC's community diversion program to Virginia motorcycle gangs. Combined regional office training programs provided approximately 20 percent of DOC's total training hours to 50 percent of the total number of DOC staff trained in FY 1983.

The local jail training component of the Academy is currently conducted by five staff positions responsible for meeting the staff training needs of Virginia's 95 city, county, and regional jails. Training staff maintain offices located in Richmond, although extensive traveling is required. During FY 1983, training staff provided 64,000 training hours to 1900 local jail staff in basic, in-service, and specialty skills areas. Basic and in-service training requirements are set by DCJS under authority granted in the *Code of Virginia* § 9-170 *et seq.*

Appropriateness of Staffing. JLARC's review of DOC personnel records and extensive interviews with department staff found numerous staff positions involved in DOC training activities. Virtually all DOC units interviewed by JLARC indicated some level of involvement in either coordinating, monitoring, or providing training. Training provided by Academy staff, however, accounts for the majority of training within the department.

Staffing levels maintained by the Academy appear not to be excessive at this time. JLARC's interim review of DOC's training

function found the Academy to be providing mandated and specialized training in a more efficient manner than in the past. Several department officials indicated the consolidation of training services (previously carried out separately under probation and parole services, youth services, and central administration) into a single Academy has strengthened the training function and improved professionalism among staff.

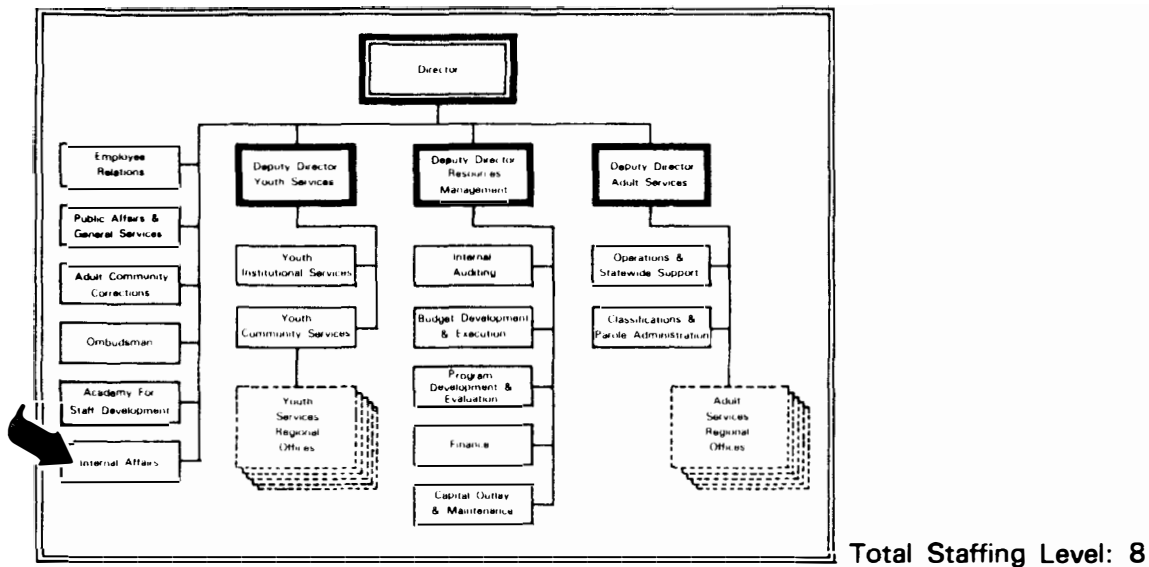
Staffing levels at the Academy increased steadily between 1976 and 1979, reflecting DOC's commitment to raising its level of professionalism through training and centralization of the training function. The utilization of adjunct faculty, however, appears to have allowed Academy staff to expand training opportunities without significantly increasing staffing levels since 1980.

Other indicators of staffing reviewed by JLARC include statutory and regulatory requirements, facility operations, and overtime. As of July 1983, almost 60 regulatory items existed pertaining to training required for DOC personnel. Training requirements are mandated by DCJS, the Board of Corrections, department policy, courts, and the Legislature. The Academy has primary responsibility within DOC to ensure all training requirements are met. The volume of training required by the regulatory bodies suggests the need for a substantial staffing component allocated to the training function.

The need for support service positions at the Academy's main training facility is dictated by the residential nature of its training program. Food service and maintenance staff provide services consistent with the residential atmosphere of the facility. The 24-hour, five-day-a-week facility has also contributed to overtime hours worked by the training staff, according to the manager of the Academy.

While these factors suggest the need for the types of positions currently employed by the Academy, the actual number of staff required to carry out the training function can not be adequately assessed without further review of the quality and type of training offered by DOC. A subsequent review of DOC's training function may be necessary to address more conclusively the staffing needs at the Academy.

Internal Affairs



As an investigative unit, internal affairs is unique to State government agencies. While the State Police and local police departments have statutory authority to conduct investigations of all crimes against the State, the DOC internal affairs unit has separate statutory authority under § 53.1-16 of the *Code of Virginia* to investigate violations of a criminal or non-criminal nature involving DOC employees and inmates under the department's care.

Overview. Department policy requires that all employee violations of State laws or department regulations be reported to the internal affairs unit. However, before an investigation can be initiated against an employee, the director must approve. Such participation and supervision by the director helps ensure the independence of the unit from DOC operations.

The goals of the internal affairs unit appear to be appropriate and compatible with the department's mission. For example, part of the department's mission is to provide for the safety of inmates under its care. Internal affairs assists with this objective by investigating complaints made by inmates against DOC employees. The unit provides an immediate response to situations and can collect evidence needed by State or local prosecutors.

Appropriateness of Staffing. Staffing of the internal affairs unit appears appropriate. Six investigators and a clerk stenographer come under the manager's span of control. This span does not appear excessive, given the independence under which the investigators carry out their work, and compared to spans achieved in local law

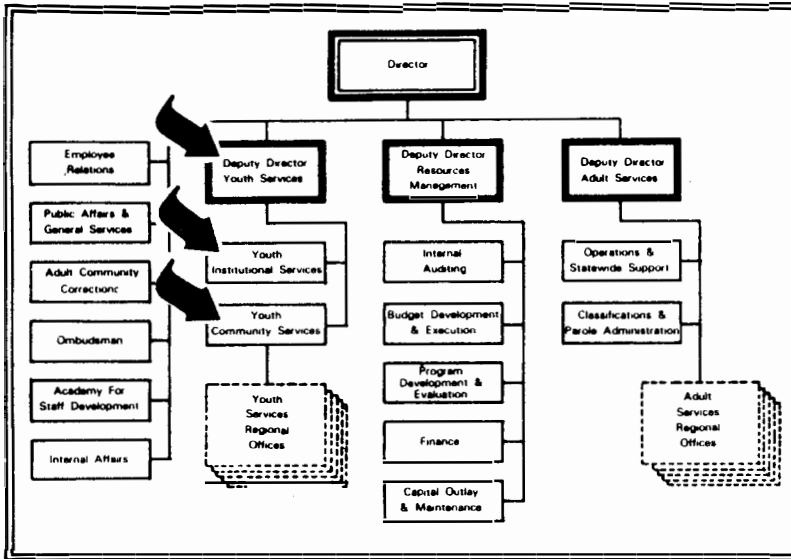
enforcement agencies. In fact, two local law enforcement agencies indicated that a police captain typically supervises as many as 20 to 25 investigating detectives.

The internal affairs manager indicated that approximately 90 percent of all cases investigated by the unit are of a criminal nature and usually involve employees, although inmates are also frequently involved. About ten percent of all cases involve only inmates. The manager indicated that non-criminal cases are rarely investigated.

The number of cases handled annually by the unit has remained in the 300 to 400 range since at least 1979, despite significant increases in the number of employees and inmates during the same period. The amount of overtime required to handle the annual caseload is significant but not excessive. The manager estimated that total overtime worked by the unit in 1982 was 685 hours, or an average of about eight hours per month per investigator. The manager noted that night and weekend work is not uncommon, and that one investigator position is on-call at all times.

The unit is limited in the assignment of law enforcement power by *Code of Virginia* § 53.1-16 to six investigators and a manager. A change in the *Code* would thus be required to add staff with law enforcement powers to the unit.

Youth Services Division



Consists of:

Youth Institutional Services

Youth Community Services

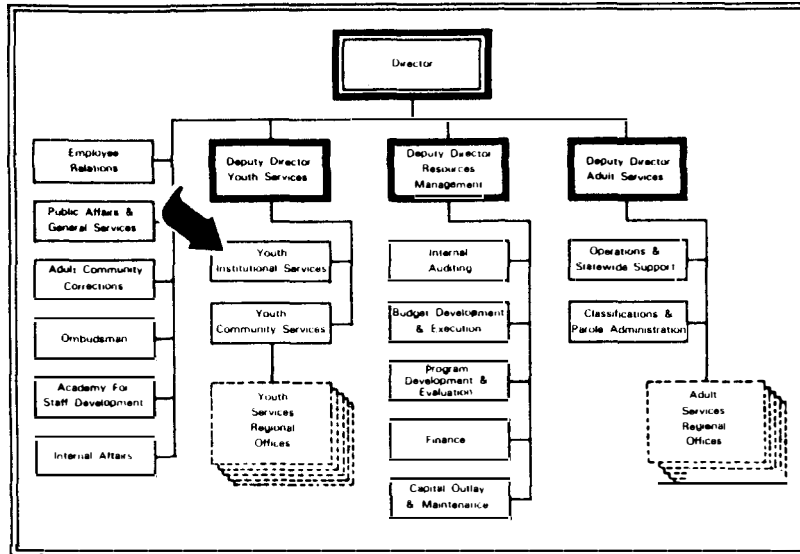
Total Staffing Level: 17

The division of youth services is responsible for the juvenile correctional programs in Virginia operated by DOC, and oversees many locally-operated youth programs. The division contains a deputy director, an assistant director of institutional services, and an assistant director of community services. The deputy director's office has five authorized positions.

The office of the assistant director of institutional services is responsible for DOC's seven learning centers and the Reception and Diagnostic Center. Six of these eight juvenile institutions are within 30 miles of Richmond. The eight institutions have a total bed capacity of 805, with individual institutions housing between 40 and 200 juveniles. There are seven authorized positions within youth institutional services.

Youth community services encompasses more than 100 juvenile facilities and programs. Juvenile court service units, community group homes, crisis intervention centers, detention homes, and juvenile delinquency prevention programs are operated by the State and localities. The assistant director of community services is responsible for the operation of the five youth regional offices which work directly with the community facilities and programs. Five authorized positions are included within youth community services.

Youth Institutional Services



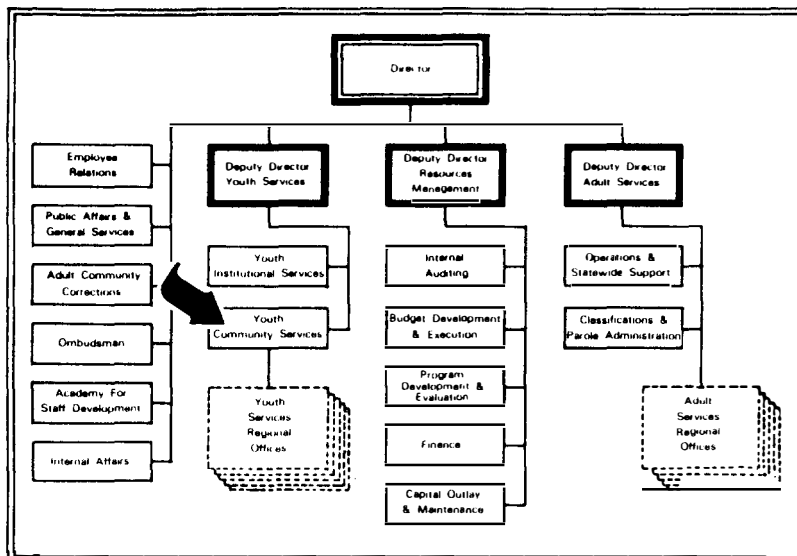
Total Staffing Level: 7

Broad policy and procedural guidelines are established by the assistant director's office to ensure that each learning center operates as part of the larger youth services system rather than as a "separate island." Policy and guidelines are intended to maximize the system's ability to respond to the varied needs of the children committed to the department.

Overview. The eight learning center superintendents are supervised by the assistant director of youth institutional services. The assistant director has a staff similar to the adult services regional offices -- one manager is assigned to operations and youth activities and a second manager supervises support services including a food services manager. A program manager position is also located under the assistant director. The behavioral services unit, which provides psychological evaluations and mental health services within each of the youth institutions, also reports to the assistant director.

Appropriateness of Staffing. The office of the assistant director for youth institutions appears appropriately staffed and properly located within the central office. The assistant director's span of control over institutions is similar to that of the adult services regional administrators. According to the assistant director, this limited span of control and the proximity of the institutions are key reasons for not having a regional management structure. According to staff, the proximity of most facilities to Richmond reduces travel time and improves opportunities for communications, monitoring, and on-site technical assistance.

Youth Community Services



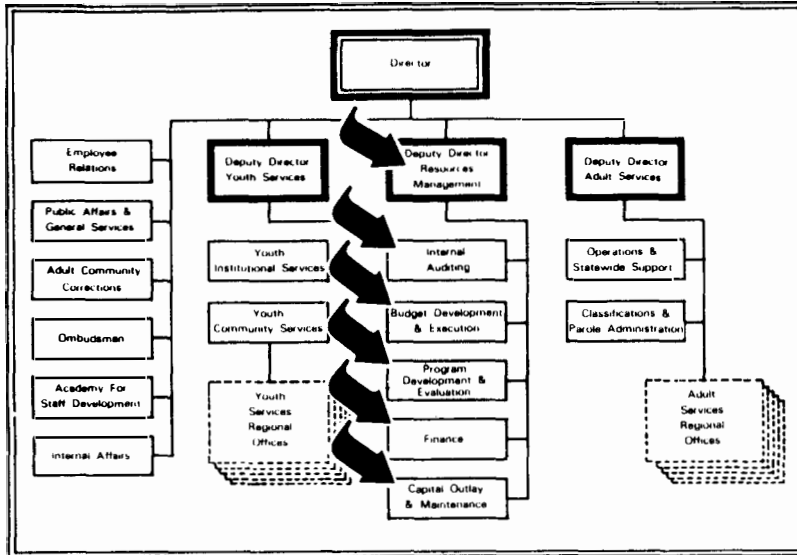
Total Staffing Level: 5

The assistant director of youth community services directly supervises the five youth RAs. Each RA is assisted by three staff positions in overseeing the community services facilities and programs in a particular region. The youth services regional offices are reviewed in Chapter III.

Overview. The central office component of community services includes three support personnel and their supervisor in addition to the assistant director. These support positions perform a variety of services including oversight of delinquency prevention programs, approval of special placements of youth, and budgetary coordination to ensure eligibility under the U.S. Department of Agriculture school lunch program. Broad policy direction and technical assistance are also provided by the assistant director and his staff. All of these activities require central coordination and are therefore appropriately located within the central office.

Appropriateness of Staffing. This central office section appears appropriately staffed, as the five positions provide a variety of services to more than 100 subordinate units, and oversee operations of the five regional offices of youth services.

Resources Management Division



Consists of:

Program Development and Evaluation

Capital Outlay and Maintenance

Finance

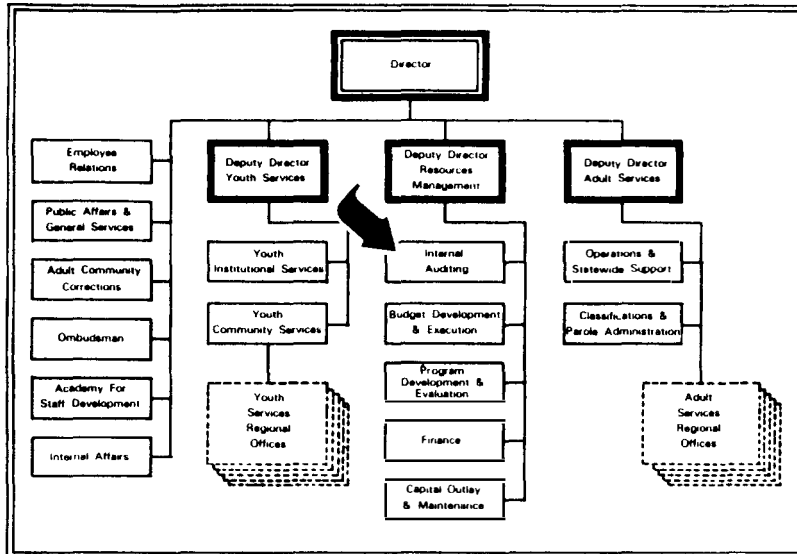
Internal Auditing

Budget Development and Execution

Total Staffing Level: 183

The resources management division contains a number of specialized staff functions that provide support and service to the entire department. Most of these functions are typically centralized within an agency to facilitate management control and coordination. Functions located in this directorate include internal auditing, budgeting, research, policy and program development, accounting and financial services, data processing, and several capital outlay and maintenance activities. Three assistant directors with broad functions report to the deputy director for resources management, as do two managers with more limited responsibilities. The deputy director has two positions serving as his own immediate staff.

Internal Auditing



Total Staffing Level: 6

Overview. DOC's internal audit unit performs both routine and requested audits. Audits are typically requested when procedural or financial verification is needed or irregularities are suspected. Routine audits of all units, functions, programs, and operations are made on a scheduled basis. Internal audit performs four types of evaluations: operational, procedural, financial, and systems. The reporting relationship of the unit and its financial and systems reviews, however, may compromise the objectivity of the unit.

Reporting Relationship. It is important for auditors to maintain objectivity in performing their job responsibilities. Placement within the central office, reporting to a high-level official, is therefore appropriate. Both the Auditor of Public Accounts (APA) and the State Internal Auditor have indicated that DOC's internal audit unit should report to the agency director instead of to a deputy director, as is currently the case.

The APA has stated that his general policy is to recommend that internal audit units report to an agency's governing body or to the agency director if there is no governing board. He further stated that he considers having the unit report to a finance manager or deputy director responsible for financial management to be a "completely inappropriate" organizational placement. (In DOC the deputy director for resources management has line authority over financial management activities.) When asked specifically about the placement of DOC's internal audit unit, the APA stated that the unit should not report to the deputy director for resources management but to the director of the department.

The State Internal Auditor gave the following explanation in a report submitted to DOC in February 1982:

To ensure the independence of the internal audit function, we strongly recommend that the Director of Internal Audit for the Department of Corrections report directly to the Agency Director (or his designee). This recommendation differs from the direct reporting relationship which currently exists between the internal audit unit and the Deputy Director for Administration and Operations [later renamed the deputy director for resources management]. Further, we suggest that the internal auditing function remain independent of each of the other Deputy Directors, who likewise have wide-ranging responsibilities and significant portions of the budget under their control.

As noted, the independence and objectivity of the internal audit unit is the issue in the placement of the unit. The State Internal Auditor's report illustrates this point by quoting from *Standards for Audit of Governmental Organizations, Programs, Activities, and Functions*, issued by the Comptroller General of the United States. This publication states:

To help achieve maximum independence, the audit function or organization should report to the head or deputy head of the government entity and should be organizationally located outside the staff or line management function of the unit under audit.

While the deputy director for resources management does not have responsibility for operating the units within his division, he does have direct line authority over the assistant directors, who exercise operational responsibility. DOC's official job description states that the deputy director for resources management:

. . . provides administrative direction to the Assistant Directors in planning, developing and implementing the following programs: policy planning, development, evaluation and monitoring; electronic data processing; facility and services certification; total financial planning and monitoring for the Department including locality reimbursements; development and implementation of statewide staff development and training programs; the coordination and monitoring of all state and federal legislation affecting Department programs; the implementation and maintenance of a program designed to achieve American Correctional Association accreditation for the Department; public information services to the community; support services

for the Department and capital outlay planning, design, and construction of Department facilities.

The internal audit unit is also located within the resources management division, along with units it must audit.

Appropriateness of Staffing. DOC's internal audit unit includes a manager, four auditor Bs and a clerk typist C. The unit recently received authorization to hire an additional auditor B. DOC's internal auditing manager determined that, prior to receiving the fifth auditor position, it would have taken his unit six years to audit the entire department. According to the State Internal Auditor's report, understaffing may result in an inability to review significant departmental activities at least once every three years. Consequently, the need for additional internal audit staff should be considered, but only after certain duties are transferred out of the unit.

The State Internal Auditor noted that some current tasks of DOC's internal audit unit should be delegated to another unit:

A significant portion of [the internal audit unit's] time is presently devoted to either auditing or correcting books and records at correctional centers, correctional units and learning centers. While we recognize the Department's need to have a team that is capable of straightening out an entity's books and records, and able to react with short notice as crisis situations arise, we feel these tasks would be better placed within another division of the Department, for example, the finance division. As the Department attempts to upgrade the internal audit function, the above-mentioned activities, if performed by the internal audit [unit], will defeat or severely hamper management's goal of attaining objectivity and independence for the internal auditing [unit].

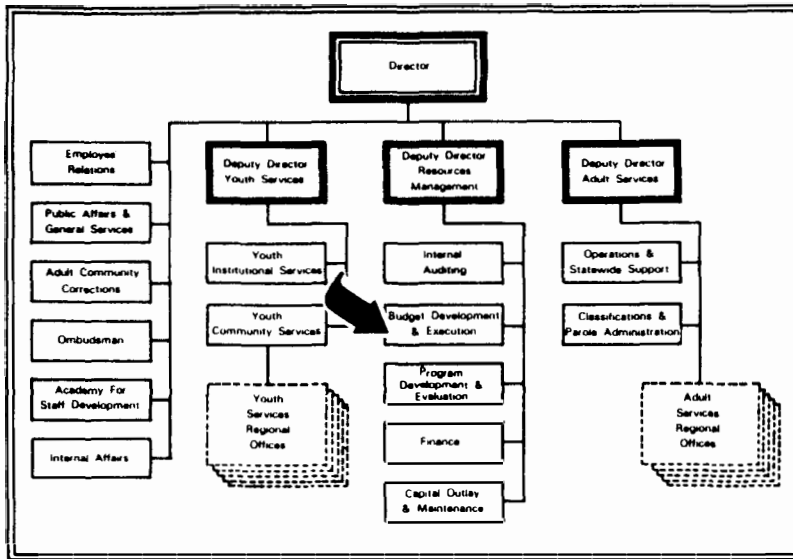
One example of an inappropriate activity for the internal audit unit was included in a sample of special audits supplied by DOC's internal audit manager. The audit, reported on 10/22/82, dealt with the Woodbridge Work Release Unit. This audit report included a review to "assist in clearing work backlog and training new clerical personnel." In an interview with JLARC staff, the State Internal Auditor noted that this illustrates the type of activity he considers inappropriate for the internal audit unit. He pointed out that whenever an internal audit unit actually assists in the work required to resolve a problem situation, the unit's objectivity in evaluating that procedure is compromised. The extent to which these activities continue to be performed by the internal audit unit should be determined.

A related concern involves the DOC procedure whereby "requested audits" are performed but not reported to the director unless a

serious problem is discovered. The State Internal Auditor noted that he considers it very important that all audit reports be submitted to the department director, particularly in view of the deputy director's authority over the audit unit. The internal audit manager supplied JLARC staff with a listing of the audits completed between 7/1/82 and 9/31/82. Four of the 18 audits were classified as "requested audits," consuming 25 percent of the unit's staff time expended in auditing. The listing contained a separate category for special audits that were requested due to the possibility of criminal action. Two of these were conducted in the three-month period. DOC should submit all scheduled, requested, and special audit reports to the director for his information and use.

The State Internal Auditor's recommendations should be implemented by DOC. The recommendations are important in bolstering the independence of the unit and in improving its operations.

Budget Development and Execution



Total Staffing Level: 9

Staff of the budget development and execution unit have primary responsibility within DOC to initiate, develop, and control the department's multiple agency operations budgets.

Overview. There are 38 budget codes which constitute separate parts of the department's annual budget. Each adult and youth institution, for example, has its own budget code in the Appropriations Act. The nine staff positions assigned to the budget unit monitor each institution's expenditures against available budgeted funds on a year-round basis. These staff coordinate the development of the department's operating budget proposal and the respective expenditure plans for each facility. Technical assistance and training are also provided by the budget unit staff to field and other central office staff.

Appropriateness of Staffing. Indicators of workload distribution, overtime, and automation appear to indicate that the budget unit is without excessive staff positions. For example, according to the budget unit manager, the workload of the unit is essentially divided into equal portions among the seven accountant positions. A clerk D position provides clerical support and some limited budget work. A P-14 temporary position has also been assigned to the unit to assist with the budget development process during budget cycle years.

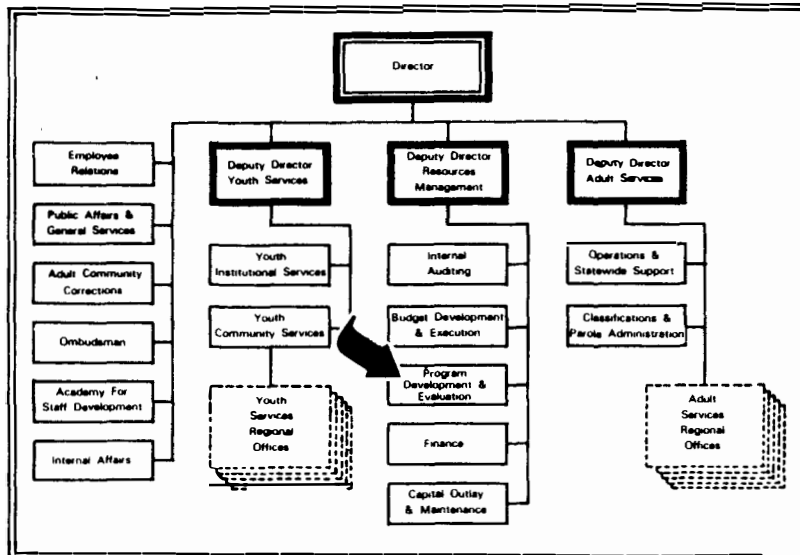
Accountant duties are primarily assigned on a regional and divisional basis with additional responsibility for selected statewide programs. For example, one accountant C position has responsibility for all adult facilities in the western and central regions, in addition to statewide enterprises operations. Similarly, an accountant B position has responsibility for the adult facilities in the northern region, in addition to the probation and parole function.

Each accountant position appears to handle comparable portions of the unit's workload and is assigned budgeting duties for a substantial number of individual units. The manager of the budget unit indicated that this arrangement appears to be appropriate at the current time. Additional analysis of the unit's workload is needed, however, to further assess individual workloads.

The previous manager of the budget unit indicated that unit staff spend up to 30 percent of their time responding to special requests from the Legislature, executive branch agencies, and interest groups. Further, the manager also indicated that all staff consistently worked overtime hours during nine months of the year, primarily due to these activities.

Staffing levels for the budget unit have remained stable over the past several years despite the growth in the department's budget and the addition of several new facilities. Automation and new reporting systems were cited as the primary stabilizing factor. The new INFORMATICS system, for example, generates computerized comparisons of budget and expenditure data for all units on a monthly basis. The automation of budget data has apparently eliminated the need for additional positions to handle growth in workload.

Program Development and Evaluation



Consists of:

- Research and Reporting
- Planning and Policy Development
- Program Development
- Electronic Data Processing
- Adult Standards Development
- Certification

Total Staffing Level: 64

The assistant director for program development and evaluation supervises six units and controls a total of 64 positions. Separate units, each headed by a manager, were established for program development, planning and policy development, evaluation and monitoring, research and reporting, and electronic data processing (EDP). A unit handling the certification process, whereby facilities are inspected for compliance with standards, and a unit designated to develop standards for the department's adult facilities are also under the assistant director.

In 1983 the evaluation and monitoring unit and its four positions were abolished in response to a reduction in funding for non-security positions. Four other staff positions were eliminated from the directorate in that year. Additional economies may be available from combining related and similar activities into a single unit.

Research and Development

Overview. Both program development and planning and policy development have been described as "think tanks." The former appears to do work that is more client-oriented, such as developing and revising client-based programs. For example, it has reviewed programs available in other states for geriatric inmates, drafted revisions to various adult services division guidelines, developed guidelines on early parole release, and reviewed and recommended refinements in grievance procedures. The planning and policy development unit appears more system-oriented. It has recently conducted a major review of the transportation of inmates between facilities. In addition, the unit monitors compliance with the executive agreement and assists in the

revisions of standards and policy manuals. The research and reporting unit conducts quantitative data-based research tasks, provides technical assistance to other DOC staff in the use of statistical analysis, and compiles and distributes recurring statistical reports on departmental programs and activities.

Appropriateness of Staffing. These units perform a variety of research tasks related to the development of policy and programs. Several examples mentioned in DOC's initial response to this report illustrate the similarity of tasks and assignments. For instance, two of the units have recently performed issue identification activities. The planning and policy development unit reviewed studies conducted by organizations external to the department in order to identify issues needing attention, while the program development unit identified key mental health and mental retardation issues related to youth. Both units have also been involved in policy development activities. For example, planning and policy development reviewed and revised department administrative policies, while program development developed policies for early parole release and a good conduct allowance program.

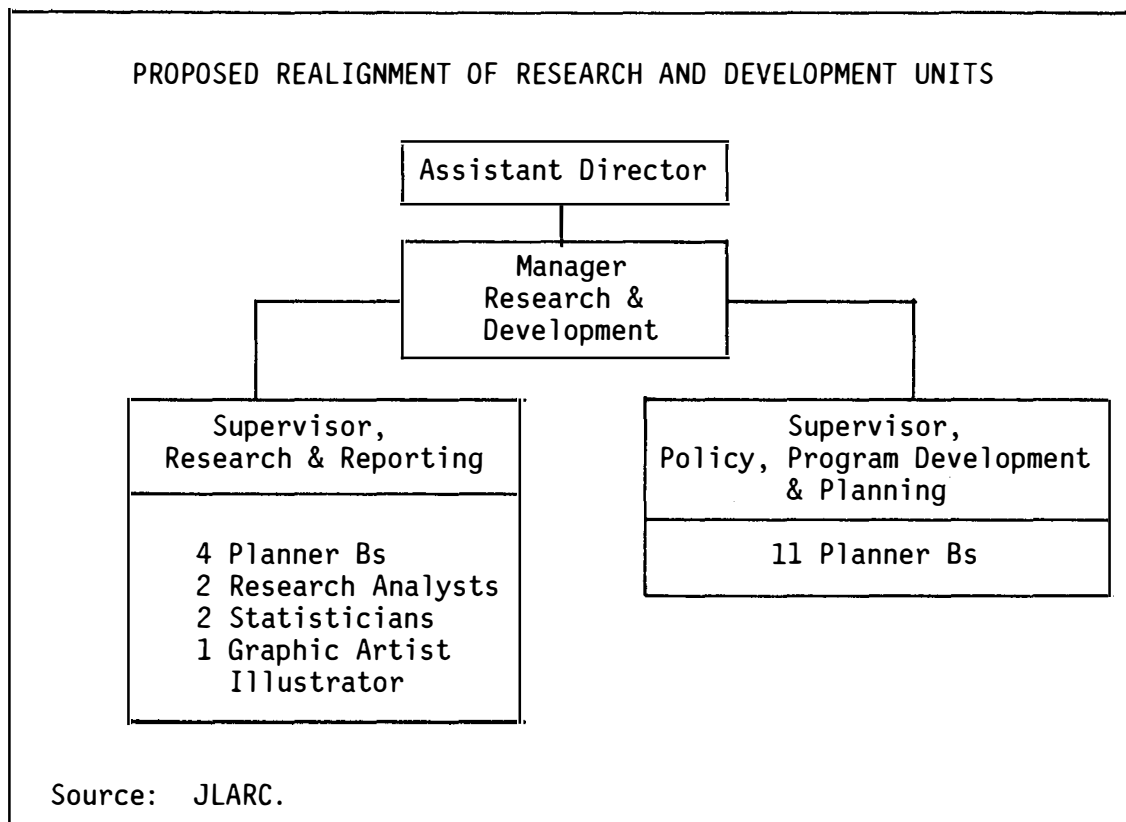
The similarity of assignments was reinforced by a statement of a previous assistant director of program development and evaluation, who told JLARC staff that he "saw no real reason why these units are separate." In addition, the managers of both the program development unit and the planning and policy development unit indicated that there was a substantial gray area in the two units' assignments. Although assignments of each unit are varied, there are a number of projects which could have been assigned to either of the units. Consequently the grounds for continuing to operate these units separately appear questionable.

The research and reporting unit contains staff with skills in data analysis and statistics. The unit also coordinates and reviews research conducted by department staff as well as research affecting DOC which is performed by outside professionals and students. The unit is also responsible for analytic tasks such as developing inmate population projections. These skills and activities appear complementary to the activities performed by the planning and policy development unit and by the program development unit.

It may be appropriate to consolidate the supervision of the activities performed by research and reporting, program development, and planning and policy development. Under this proposal these three research and development related units could be consolidated as sections under a single manager. This would result in the elimination of two manager positions for a potential savings of an estimated \$60,678 annual salary and fringes. Further economies may be available due to the consolidation of staff resources. Improved coordination between staff would also result from the proposed realignment.

As shown in Figure 5, the proposed realignment would result in a manager position responsible for two section supervisors. As two of the current units (research and reporting, and planning and policy

Figure 5



development) already contain supervisor positions, no new positions would be necessary. The project team method of organizing work, which is already used on a limited basis in these units, would ensure that intensive supervision and review are provided on projects by the team leader as well as by unit management.

Data Processing

Overview. The electronic data processing (EDP) unit contains 27 positions which develop and maintain the department's information systems. Thirteen of the positions perform data entry and production control tasks. Ten positions design and develop new systems and programs, three positions are involved with systems engineering matters, and a manager position heads the unit.

Appropriateness of Staffing. This level of staffing does not appear excessive. The unit manager has a span of control of two supervisors and one engineer. Other spans of control within the unit range from two to four, and appear appropriate given the technical nature of the work. The unit's annual volume of work is high, according to the manager, and includes handling approximately 280 changes to 12 major and other systems, and an estimated 250 *ad hoc* programming requests. Detailed weekly project logs are kept by staff of the EDP unit, which could provide a basis for developing work standards.

Adult Standards Development

Overview. The mission of the standards development unit is to (1) develop operational and administrative standards to be applied to the major adult institutions and field units, and (2) inspect and certify the extent of each facility's compliance with the standards. This unit, with one manager and one secretarial position, represents a DOC initiative to establish a "floor" or minimum level of performance which will be expected of the facilities.

Appropriateness of Staffing. Standards for major adult institutions and field units have now been developed, and the unit will soon begin coordinating teams which will inspect the facilities on a preliminary basis. Given the department's commitment to minimum standards for adult facilities, and the extensive coordination required to develop and implement the standards, one staff position with clerical support does not appear excessive.

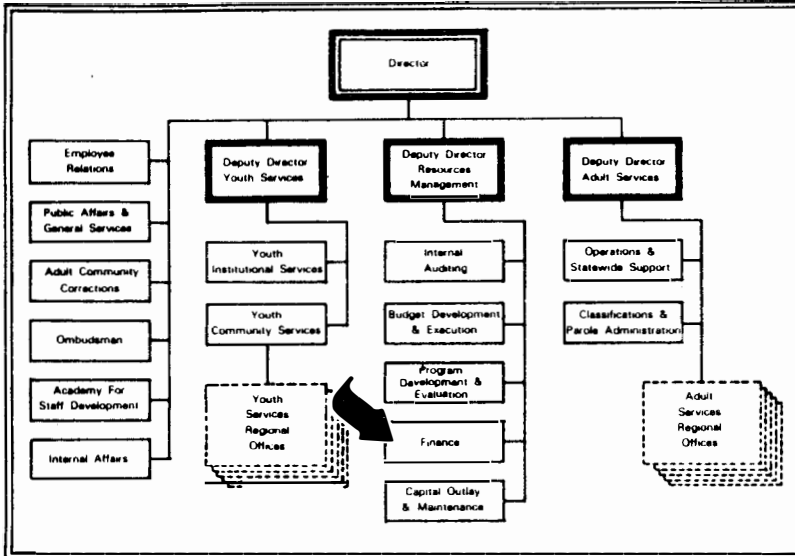
Certification

Overview. DOC handles inspection and certification of juvenile facilities and local jails in a similar fashion. Standards for these facilities have been in place for several years, having been revised most recently in early 1983. Inspections are conducted under *Code of Virginia* § 16.1-311, which directs the Board of Corrections to establish minimum standards for the construction, equipment, and staffing of residential care facilities for children in need of services, delinquent youth, and alleged delinquent youth. The *Code* also authorizes the Board to prohibit placement of youth in a facility which does not meet the standards. Minimum standards for local adult correctional facilities (jails) and lock-ups are required under *Code of Virginia* § 53.1-68.

Five planner B positions, a clerk typist, and a manager coordinate and participate in inspections of 359 adult and juvenile programs and facilities on a biennial basis. Teams of three members are used to conduct the inspections. The planner Bs recruit team members from throughout the department, arrange schedules and logistics, and prepare team findings in report form.

Appropriateness of Staffing. Due to the workload generated by the use of temporary teams, the certification unit does not appear to be overstaffed. According to the certification unit manager, each inspection requires an average of three days on-site for the entire team and 8 to 10 hours of overtime for certification staff. Although seven permanent positions are located in the certification unit, the manager estimates that the equivalent of 15 to 20 FTEs per year are utilized to accommodate the use of three-member inspection teams. The logistics of coordinating approximately 1,200 team members per year are extensive, according to the manager. For example, the manager estimated that 70 travel vouchers are generated monthly by the teams. Unit staff each coordinate and participate in approximately 30 certifications per year, totaling between 240 and 300 hours of annual overtime.

Finance



Consists of:

- General Accounting
- Grants and Reimbursements
- Financial Systems
- Institutional
- Fiscal Services

Total Staffing Level: 71

The assistant director for finance controls four units which have 69 positions. Two additional positions (the assistant director and a secretary) are located within the assistant director's office. The finance division's primary objectives are to provide control, coordination, and review of all departmental financial transactions, which appear to be appropriately centralized functions. The units meet these objectives by providing other department divisions with technical assistance and support services for the preparation and monitoring of revenues and budgeted expenditures.

Overview. The general accounting unit, with 30 authorized positions, provides financial services for central office functions, and to field units and learning centers for which automated bookkeeping activities can be more efficiently performed centrally. The unit processes invoices for payment and conducts bookkeeping activities such as reconciling CARS reports. The unit also publishes monthly financial reports and processes payrolls.

Eleven authorized positions in grants and reimbursements provide financial support for activities relating to community based residential and non-residential treatment programs. The unit processes block grants and reimbursements to local juvenile detention facilities and locally-operated court service units. This unit also provides support to all State-operated court service units, juvenile delinquency prevention programs, and special placements programs for children. Further, the unit provides construction and renovation reimbursement services for jails and juvenile detention facilities.

The financial systems unit has six authorized positions, which provide guidance and training on bookkeeping, accounting, pur-

chasing, and cash management systems, and which coordinate the development of new or improved systems. The unit also develops financial policy for the department, and trains department staff in accounting and financial systems.

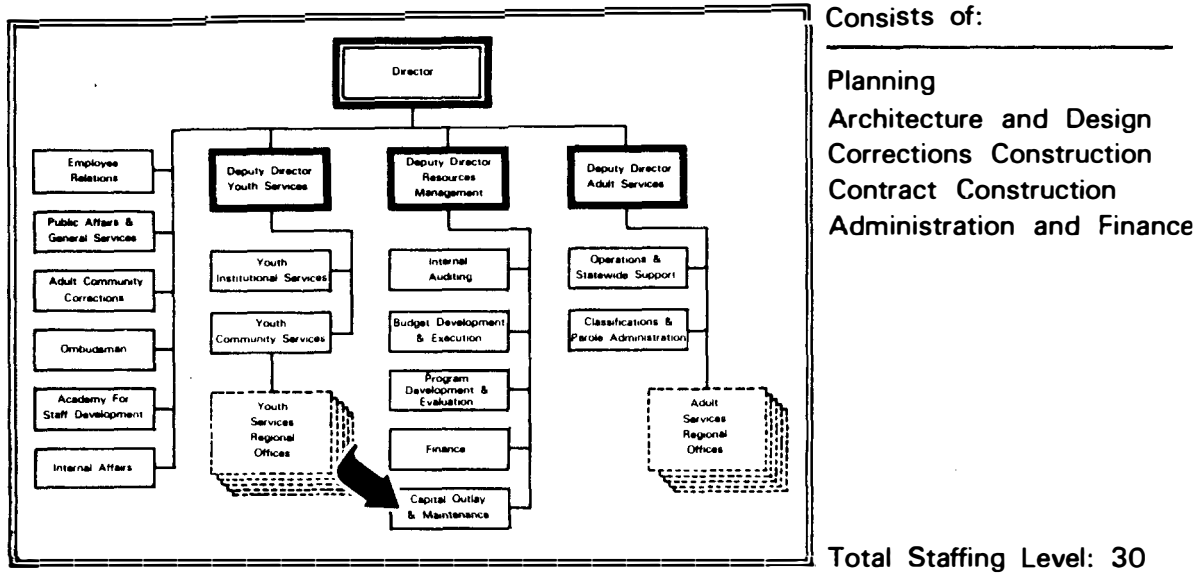
Institutional fiscal services' 22 authorized positions provide financial support to field units, work release programs, State-operated halfway houses, DOC's central pharmacy, and other adult services activities. Unlike general accounting, which is responsible for employee payrolls and automated bookkeeping for field units, this unit handles revenue from the Department of Highways and Transportation, proposes field unit budgets, and processes and maintains commissary accounts and inmate trust funds. In addition, the unit processes accounts relating to supervision fees for probation and parole clients, deposits for work release inmates, and transactions for the training academy and adult and juvenile federal grants programs.

Appropriateness of Staffing. Staffing under the assistant director for finance was reduced by 12 positions in FY 1983. Nine of these reductions were in the grants and reimbursements unit as a result of a change by the General Assembly in the method of funding local jails.

The division of finance's overall goal of providing centralized financial support services to other departmental units seems appropriate and compatible with the department's mission. Span of control within the division of finance seems appropriate. The assistant director's span of control consists of five positions -- the four unit managers and a clerk stenographer. The unit managers' spans of control average four positions. The present levels of control allow each supervisor the opportunity to monitor the activities within the units without excessive involvement in the work of subordinates.

At this time it is difficult to determine whether surpluses of staff exist in finance. None of the unit managers could provide workload measures, even though much of the units' work is readily quantifiable. Three of the four unit managers indicated that they and their staff rarely work overtime. The assistant director and the managers indicated that, in general, workloads are equally distributed among the units, and that they all have about the right amount of work to keep their personnel busy during a normal work period. A more detailed analysis of individual employees' duties appears needed, however, and could lead to identification of areas for further staffing efficiencies and improvements in productivity.

Capital Outlay and Maintenance



The capital outlay and maintenance division (CO) is responsible for managing DOC's multi-million dollar construction program. Currently, about 50 percent of all DOC construction projects are contracted to private firms, representing approximately 90 percent of DOC's capital outlay budget. The remaining projects are constructed with inmate labor or by other staff within the department. As of October 15, 1983, a total of 41 construction projects were in progress with an estimated value of \$107.7 million. Two new major adult institutions under construction in Augusta and Nottoway counties account for almost half of DOC's total FY 1984 capital outlay appropriations.

Overview. CO's 30 authorized staff positions are involved in all facets of DOC's construction program, including institutional needs assessments, project planning and financing, and architectural review and design. In addition to CO's full-time salaried staff, 22 restricted positions have been established to fill needed areas of professional construction expertise. Supplemental staff resources are also acquired through contracts bid for architectural design and construction services. The assistant director's office contains two positions.

The planning unit is comprised of three staff positions responsible for identifying and justifying projects proposed in DOC's capital outlay funding requests. The unit conducts biennial surveys of all DOC facilities to identify capital outlay needs. Cost estimates are calculated and projects are prioritized based on need.

Eight full-time architecture and design unit positions are assigned for reviewing and preparing plans and specifications for new

and renovation projects. Additional responsibilities include review and inspection of new local jails and juvenile detention homes, survey and inspection of projects under construction, limited in-house design, and coordination of the activities of other involved State agencies.

The corrections construction unit's mission is to provide rehabilitative work experience for inmates while offering less expensive construction alternatives to the department. As many as 200 inmates have been employed for corrections construction activities. Currently nine full-time and 22 restricted staff positions are assigned to the unit. Full-time positions are responsible for estimating, bidding, and ordering project materials and maintaining the construction heavy equipment and vehicle fleet. Additional foreman positions are funded out of each project. According to the assistant director of CO, projects selected for construction by this unit are based on (1) the amount of work, (2) the location, (3) the construction design, (4) the availability and skill level of inmates, and (5) the cost. Project costs usually range from \$25,000 to \$1.5 million.

The contract construction unit employs three staff. The manager has primary responsibility for ensuring that project schedules are completed on time and at cost. The manager conducts site inspections to monitor construction progress in addition to other duties such as reviewing and approving monthly payment requests. The two remaining positions provide expertise in the areas of fire safety and institutional water and wastewater treatment.

The administration and finance unit's five full-time staff are responsible for the accounting and payment of bills incurred by capital outlay construction projects. Payroll for inmates and restricted positions under the corrections construction unit is also handled by the A&F unit staff.

Appropriateness of Staffing. No significant staffing surpluses appear to exist. This may be due, in part, to staffing reductions which have occurred since 1978. Eight positions were lost due to budget reductions in 1982 and 1983, and an additional seven positions which were planned for the unit were abolished or never funded.

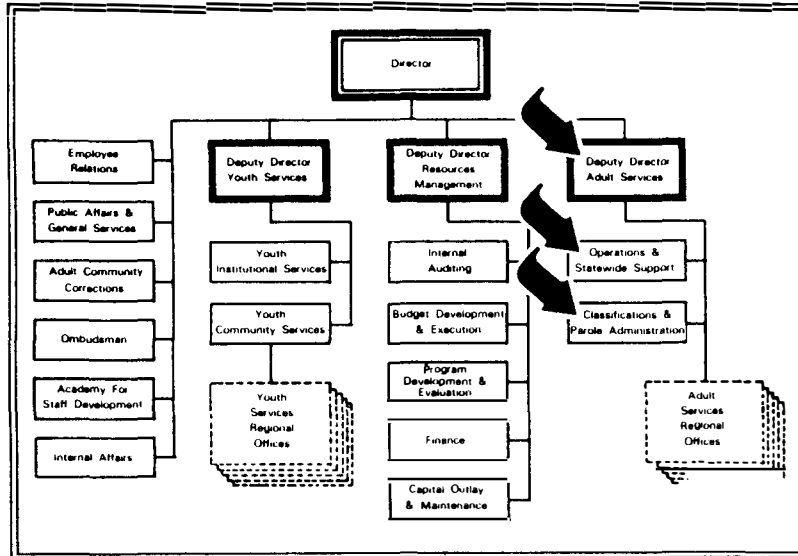
Although staffing cuts have significantly reduced employment levels within CO, it appears that current staff have compensated in order to carry out the assigned duties of the division. For example, the manager of contract construction is responsible for conducting on-site inspections for all contracted projects on a twice-monthly basis. The volume of projects, however, does not allow the position to fulfill this requirement. Consequently, staff from the architecture and design unit have picked up a portion of the inspection function to ensure that all projects are inspected.

Other staffing indicators, such as overtime and staff specialization, also suggest that CO is without excessive staff positions at this time. All CO managers interviewed by JLARC indicated that they

and their staffs worked a substantial amount of overtime hours. They indicated that most overtime occurred during peak workload times, although for some positions overtime was worked on a regular basis. For example, the CO planning manager indicated that each year his staff routinely worked approximately 10 overtime hours per week between May and August, to conduct capital outlay needs assessments and to prioritize capital outlay budget requests. Likewise, according to the manager, the administration and finance staff logged 5 to 10 overtime hours per week with some regularity in order to accommodate heavy workload periods or to do emergency work. CO staff overtime patterns were confirmed by the assistant director.

JLARC's forthcoming review of DOC's capital outlay function will further address the appropriateness of staffing and services currently provided by CO.

Adult Services Division



Consists of:

Operations and
Statewide Support
Classification and
Parole Administration

Total Staffing
Level: 325.5

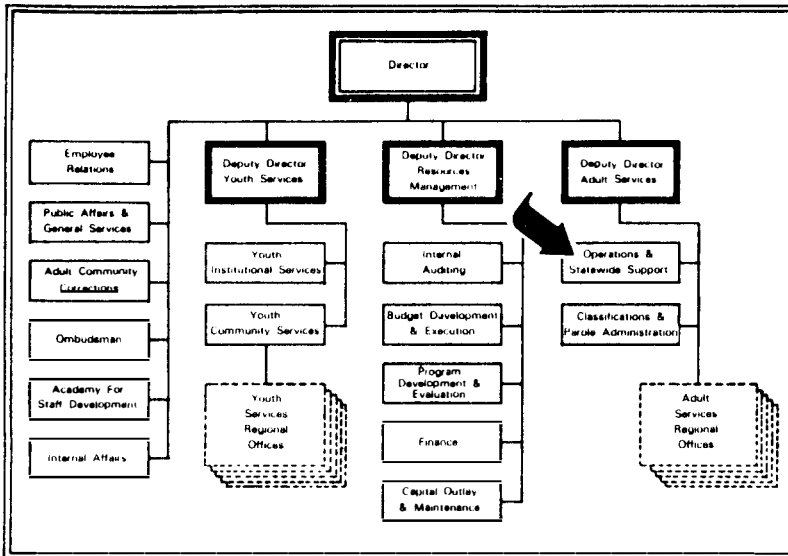
The adult services division consists of 5,982 positions, of which 325.5, or 5.4 percent, are considered central office staff. The adult services division contains two assistant directors: one for operations and statewide support, and one for classification and parole.

The central office component of the adult services division provides direction, support, and technical services in the areas of health administration, maintenance and sanitation, warehousing and supply delivery, and inmate records and classification. In addition, central coordination and administration of DOC's enterprises operations is carried out by staff within this division. The deputy director's office contains two positions, the deputy director and his secretary.

Although these activities are considered part of the adult services division, several units provide similar services to facilities and programs under the youth services division. According to department officials, these units were placed under the adult services division because the majority of their time and resources are directed toward activities related to adult institutions and community services.

Adult Services Division

Operations and Statewide Support



Consists of:

Health Services
Maintenance and Sanitation
Food Service
Enterprises
Agribusiness
Central Warehouse

Total Staffing
Level: 215.5

DOC has centralized the management and oversight of several institutional support services, including health services, maintenance and sanitation, food service, enterprises, agribusiness, and the central warehouse. These units are organized under the assistant director for operations and statewide support. There are 12 positions authorized within food service, agribusiness, and the assistant director's office.

Health Services Unit

A study committee appointed under HJR 77 (1978) recommended the establishment of a health service unit which would report to the department director. In 1979, DOC established a health services unit consisting of a health administrator, a chief physician, a chief of nursing services, and a pharmacist supervisor. The unit was responsible for all medical care provided within adult and juvenile correctional facilities. Mental health services for adult institutions were also part of the unit's responsibility, while the behavioral services unit served the juvenile facilities.

Overview. While medical personnel are directly supervised by the superintendent or warden at each correctional facility, technical assistance and administrative oversight are provided by the health administrator, chief physician, and chief nurse. These three positions act as a team to coordinate the various medical services provided within DOC. The health administrator is primarily responsible for preparing and balancing the statewide medical budget, approving requests for medical personnel, and establishing broad medical policy and procedures.

The chief physician assists the health administrator with these administrative tasks and has primary responsibility for monitoring the care provided by physicians at the institutions. The chief physician also has the additional duties of examining inmates who file medical grievances, recommending institutional placements based on the inmates' medical problems, and evaluating the medical validity of Workman's Compensation claims filed by DOC employees. The chief nurse provides in-service training, monitors the quality of nursing services, and resolves problems involving the nursing staff. The field units' medical bills and all charges from DOC's six-bed inpatient ward at MCV are monitored by the chief nurse. The type and timeliness of services provided by MCV, and the release of inmates back to the infirmary at the Penitentiary are closely supervised by the chief nurse to avoid unnecessary medical expenses. One secretary provides clerical support for these three positions.

The corrections pharmacy is authorized 10 full-time positions and one part-time position. Two full-time positions have been "loaned" to the Powhatan pharmacy, as they were no longer needed at the central location. The operation of the institutional pharmacies at Bland and Powhatan and the prescription requests of all DOC physicians are monitored by the pharmacist supervisor. The supervisor also oversees the re-use or destruction of all unused drugs returned by facilities in accordance with State Board of Pharmacy guidelines.

The pharmacy was established to monitor the purchase and use of drugs within DOC facilities and to take advantage of bulk rate savings on pharmaceuticals. The corrections pharmacy operates on a cost recovery basis. An original appropriation of \$50,000 was made in 1976 to establish the pharmacy. Since that time, the pharmacy has operated on the funds paid by corrections facilities for their drug purchases.

Appropriateness of Staffing. Health services staffing does not appear excessive given the services provided and the workload required of the 14 positions within the health services unit. No comprehensive workload measures were available, however, for these positions.

The provision of quality medical care is an important function for DOC. Inadequate care would breach the basic mission of the department. The health services unit helps ensure adequate medical care by establishing medical policies and procedures, and by monitoring medical service delivery and expenses for DOC's 48 adult and youth institutions. The unit also acts as a clearinghouse for medical questions and problem situations for the facilities.

According to the incumbents, the workloads of the health services units ranges from appropriate to excessive. An average of eight to nine hours of overtime per week was reported by one respondent. Other unit staff work overtime only occasionally. The part-time pharmacy position was established to handle high-volume days.

Only the positions of health administrator and pharmacist supervisor actually supervise positions. Both spans of control appear reasonable given the additional duties performed by each position. The health administrator supervises four positions in addition to his monitoring and technical assistance support to the correctional facilities. The pharmacist, who supervises seven positions, plans to increase his span of control by converting the pharmacies at Bland and Powhatan into satellite operations with the senior pharmacists reporting directly to him.

Pharmacy operations could be automated to improve efficiency, although staffing changes would probably not result. For example, inventory control, financial record-keeping, and patient profiles could be automated to improve the administrative efficiency of internal operations and to increase control over drugs prescribed for inmates. Automation has been considered by the health administrator, but there are no current implementation plans.

Maintenance and Sanitation

The maintenance and sanitation unit (M&S) primarily serves adult institutions. Some positions, however, provide maintenance-related services for youth institutions. The 32 staff positions assigned to M&S are organized into three basic functions:

- sanitation inspection and pest control,
- regional maintenance services, and
- central maintenance services.

Staff are primarily generalists able to perform a variety of maintenance activities. Specialized positions are utilized for power plant operation, water and wastewater treatment, heating, ventilation and air conditioning, and welding.

Overview. Sanitation inspection and pest control is headed by an institutional sanitation director with two sanitarians and five sanitation technicians. All positions work out of their homes and serve both youth and adult institutions. The sanitarians perform sanitation inspections of all institutions once every 45 days. Scheduled pest control services are carried out by the sanitation technicians.

Eight positions are assigned to regional maintenance services to serve the department's 26 field units. Although these positions are funded and considered staff to M&S, direction and supervision of work activities are primarily dictated by the regional office level. One or two maintenance staff are assigned to each region for regular and preventive maintenance activities with occasional light construction duties.

The remaining 16 positions are located centrally in the Richmond area to serve institutions statewide. These positions usually

specialize in one area of maintenance expertise such as electrical or power plant operations. Regular maintenance of several facilities is handled by in-house maintenance crews. M&S staff primarily deal with exceptional needs. An inmate roofing crew is also coordinated and supervised by central maintenance staff.

Appropriateness of Staffing. The adequacy of M&S staffing levels was difficult to determine due to a lack of centralized workload data for maintenance activities. JLARC's analysis of other indirect indicators of workload revealed that current staffing levels appear not to be excessive. Indicators include overtime, level of specialization, and range of responsibility.

Staff comprising the sanitation inspection, pest control, and central maintenance services have responsibility for carrying out their assigned duties for 48 DOC institutions and facilities statewide. Since positions are specialized, each staff member carries a significant volume of workload responsibility. For example, sanitarians conduct approximately 400 inspections annually based on a 45-day inspection cycle. According to the manager of M&S, many of these positions work 10 to 15 hours overtime on a regular basis, due primarily to the travel time required to cover all institutions statewide.

During JLARC interviews, the need for additional regional maintenance staff was suggested by some field unit superintendents, regional operations and training managers, and central M&S staff. Central M&S officials claimed that 19 additional regional maintenance positions are needed to conduct an effective preventive maintenance program for field units. The additional positions would achieve a level of approximately one maintenance position per field unit rather than the current ratio of one position for every three to four field units. Operations and training managers in the southeast and east central regions and field unit superintendents at Greenville, Harrisonburg, and Patrick Henry indicated a need for additional maintenance help. Some concurred with central M&S on employing one maintenance staff for each field unit. Others suggested utilizing community maintenance people or assigning one skilled inmate in maintenance to each field unit.

Although the need for more maintenance staff is an apparent concern for many department officials, others have suggested that current staffing levels are adequate. One regional operations and training manager felt he "could not justify the need for even one more position" in his region. The perceived need for maintenance positions varies statewide, indicating a lack of information to evaluate the overall maintenance needs of DOC facilities. Further review of staffing and operations of M&S appears necessary.

Enterprises

As the manufacturing unit of DOC, enterprises is responsible for overseeing 12 manufacturing operations. These operations consist

of 24 shops at the major institutions and field units (Table 7). The Appropriations Act authorizes a maximum employment level of 148 positions. However, DOC has initiated personnel procedures to create only 127 classified positions.

Table 7

ENTERPRISES AND EMPLOYMENT
October 1983

<u>Enterprise</u>	<u>Number of Shops</u>	<u>Number of Inmates Employed</u>	<u>Established Staff Positions</u>
Clothing	4	177	9
Woodworking	3	133	12
Metal crafts	3	72	9
License tags	1	25	3
Laundry	3	112	18
Meat processing	1	54	2
Printing	2	33	5
Sign reclamation	1	18	2
Footwear	1	56	2
Bus maintenance	1	29	4
Data services	2	36	5
Dental	1	7	1
Administration*	<u>1</u>	<u>43</u>	<u>55</u>
	24	795	127

*Inmates employed at central office and central warehouse.

Source: DOC Enterprises.

The six largest enterprises employ 72 percent of the 795 inmates currently working in enterprises, and generate 86 percent of all the revenue from enterprises. Revenues generated from the sale of manufactured products are entered into a State proprietary fund and appropriated back to DOC as a special fund based on operating expenses. Sales of products and services are limited by law to State agencies, local governments, and certain tax-supported agencies.

Overview. The enterprises unit is organized like many private industries. The enterprises manager oversees the entire operation and supervises seven positions: a controller; a purchasing supervisor; a general manager of production and control; a general manager of manufacturing; a general manager of planning and development; a general manager of sales and marketing; and a secretary.

Seventy-two positions are foremen, supervisors, and managers located at the various enterprise shops. These positions and the functions they perform were not included in the central office staffing review, as they will be assessed in conjunction with the JLARC review of institutional staffing.

During the past five years enterprise operations have grown substantially, as evidenced by the 128 percent increase in appropriations -- from \$5.4 million in FY 1978 to \$12.3 million in FY 1983. Staffing growth during this period was modest in comparison; 103 positions were devoted to enterprises in FY 1978, increasing 23 percent to the current 127 positions.

Appropriateness of Staffing. The present structure of DOC separates enterprises from other centralized administrative functions. However, the goals of enterprises are consistent with the department's objective of providing work for inmates and providing inmates the opportunity to obtain job skills. To meet these goals, enterprises attempts to develop industries with built-in production incentives that encourage inmates to work and develop the necessary skills to perform the work.

The enterprises manager, whose span of control of seven positions is larger than most DOC assistant directors, reports to the assistant director for operations and statewide support. In addition, enterprises performs its own finance and accounting functions, keeps its own inventories, has a separate purchasing and supply unit, and has a separate central warehouse. Span of control at the level below the enterprises manager ranges from one position supervised by the purchasing supervisor to 13 positions supervised by the manufacturing general manager. Span of control analysis did not reveal staffing efficiencies to be gained from any of the enterprise's units.

Workload measures are not used in enterprises, although production standards are used at the shops. Though work standards were not available, several central office units could readily establish such measures. Private industry has measures of productivity for its sales and marketing staff which could be adapted to fit enterprises' marketing staff.

A staffing concern identified during fieldwork for this report was the creation of the general manager position for enterprises planning and development. This unit was created to oversee planning for new industries and to develop new technology. A consultant who has been providing planning and development services is being phased out, according to the department. The need for a permanent employee to supervise planning and development services appears questionable because the employee in the position was spending most of his time with matters unrelated to planning and development.

An additional reason for establishing the planning and development unit was to provide better balanced workloads among the

enterprise units. However, managers who were previously responsible for the functions assigned to the new unit stated that they had no difficulties managing them in the previous arrangement. Most of the functions now assigned to the unit were previously carried out by other sections of enterprises. Personnel and warehouse operations are assigned to the new unit, for example, although they appear to contribute little to the unit's mission. In fact, the manager for planning and development told JLARC that he spends a majority of his time on warehouse operations, customer orders, and customer complaints.

The department has retained a consultant to provide planning and development services for an average annual cost (fees plus expenses) of \$46,500 for each of the past three fiscal years. DOC indicates it is currently phasing out the consultant. However, the 1984-86 enterprises budget request includes an increase in the contractual services subprogram, from which the consultant's fees are paid.

The planning and development services provided by the consultant are duplicative of the duties of the planning staff in enterprises. Two planners are responsible for developing plans for new industries, and for examining methods for increasing efficiency in existing industries. To avoid further duplication, the consultant's services should be terminated immediately with the two planners assuming responsibility in their assigned areas.

Shifting functions in order to create a new section does not appear appropriate, especially when the functions confuse the mission of the new section. If the intent was to expand enterprises' planning and development functions, then these functions alone should have been transferred to the new section if the workload justified the shift. The department should reassign the functions and staff now under the planning and development unit to the units where they were previously assigned. The manager position for planning and development should then be abolished. The consultant position should be abolished under any circumstances.

Central Warehouse

Overview. DOC's central warehouse currently functions as the major supply facility for goods and supplies purchased by field units, halfway houses, the Chesterfield Pre-Release Center, and the Fairfax County Jail. Warehouse staff are responsible for ordering, billing, and delivering supplies on a monthly basis. Approximately 65 percent of the 1800 items stocked by the warehouse are purchased through the Division of Purchase and Supply, Department of General Services. Current inventories include non-perishable food stuffs, inmate and correctional officer clothing, general supplies, and emergency parts such as plumbing and boiler fixtures, tires, and batteries.

Goods requisitioned from the Division of Purchase and Supply are picked up monthly by warehouse staff and transported to DOC's

central warehouse, where orders are sorted for each facility and re-loaded back onto delivery trucks. Orders received from the units are intended to maintain a 45-day supply stock.

Inventory control and accounting at the warehouse is performed manually. Ordering, billing, and purchasing are recorded on a series of forms, and inventories are stored on a kardex system. The entire stock at the warehouse is inventoried annually; clothing and foodstuffs are inventoried monthly.

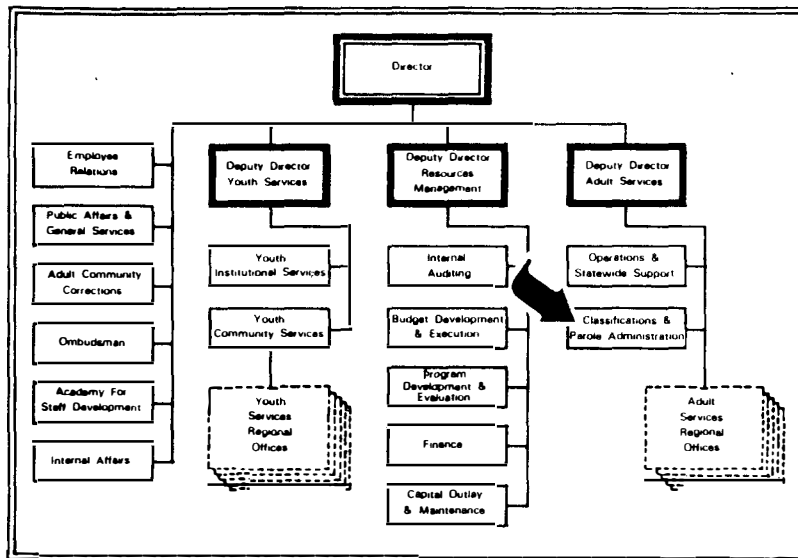
The manager of the central warehouse directly supervises eight staff positions including two clerks, five correctional officers and one storekeeper. Correctional officers perform jobs such as truck driver, office worker, and special delivery runner as well as supervising inmates assigned to the unit. Up to 15 inmates are provided daily for loading and stocking of supplies, truck driving, and inventory accounting.

Appropriateness of Staffing. JLARC's analysis of staffing at the central warehouse indicated that current levels appear not to be excessive. The amount of overtime, the limited storage facilities, and the use of inmates contribute to the need for current positions.

According to the manager of the central warehouse, each truck driver works 20 to 25 hours overtime weekly. The large geographical area served by the warehouse and the limited number of delivery trucks and drivers require additional hours to meet monthly delivery schedules. The limited storage facilities at the warehouse contribute to monthly inventory turnover -- keeping staff and inmates busy loading, transporting, ordering, and purchasing supplies. The manager indicated that updated warehouse facilities would result in more efficient operations and that fewer positions may be able to carry out the activities of the warehouse. For example, larger storage facilities would reduce the number of trips made to the Division of Purchase and Supply warehouse to pick up supplies. Modern loading docks would also reduce time spent loading and unloading delivery trucks.

The heavy reliance on inmate labor has apparently supplemented the need for more staff at the warehouse. Correctional officer positions are necessary to supervise inmate activities.

Classification and Parole Administration



Consists of:

Court and Legal Services
Classification
Criminal Records
Parole Release
Post Release
Interstate Compact

Total Staffing Level: 108

Responsibility for the adult classification system and administrative support to the Parole Board was placed under one assistant director for the first time during DOC's 1982 reorganization. This realignment gave classification and parole administration two goals:

- (1) to provide centralized administrative support for proper classification and institutional placement, maintenance of central criminal files, and accurate determination of good time allowances for all adults incarcerated within DOC facilities; and
- (2) to provide administrative support to the Parole Board in making parole release and revocation decisions, to ensure that parole conditions determined by the Board are properly enforced by district offices, and to administer the provisions of the Juvenile and Adult Interstate Compact.

The duties performed by the classification and parole administration units require centralized coordination and are thus appropriate central office activities. These duties include maintaining criminal records, providing information and support to the central classification board and the Parole Board, interpreting court orders to determine inmate time compensation formulas, and operating a single interstate compact authority.

Classification and parole administration is composed of six units with a total of 104 full-time positions (Table 8), plus an additional four positions in the assistant director's office. Four units

Table 8

STAFFING OF UNITS WITHIN CLASSIFICATION
AND PAROLE ADMINISTRATION
December 1983

<u>Unit</u>	<u>Full-time Authorized Positions</u>	<u>Full-time Temporary Positions</u>	<u>Total Unit Staffing</u>
Court and Legal Services	25	1	26
Classification	22	7	29
Criminal Records	26	12	38
Parole Release	15	1	16
Post Release	9	0	9
Interstate Compact	7	0	7
Assistant Director's Office	<u>4</u>	<u>0</u>	<u>4</u>
TOTAL	108	21	129

Source: DOC.

employ temporary employees for an equivalent of 21 additional full-time positions, which are addressed later in this chapter. The three units which primarily support the activities of adult institutions are court and legal services, classification, and criminal records. The Parole Board and the probation and parole districts are the primary clients of the remaining units -- parole release, post release, and interstate compact.

Court and Legal Services

Overview. The court and legal services unit is responsible for computing good time allowances for all inmates within the State system. The unit is divided into three sections. The first section employs five clerks who interpret court orders and determine jail credits. This information is used to create an initial time computation record on the computer. Six clerks work in a second section updating existing offender records based on new court orders, institutional adjustment committee reports, custody changes, and the granting or revocation of parole. Quality control is then performed by six clerks who verify the interpretation of legal documents and the data entries of the other clerks. One corrections records custodian supervises these three sections plus four clerk typists (including one temporary position) who handle all the filing of computer printouts and the incoming and outgoing mail transactions. The unit manager supervises the corrections records custodian, a secretary, a computer programmer, and a corrections rehabilitation counselor.

Appropriateness of Staffing. Staffing needs within court and legal services will decrease as the computation backlog is eliminated and a computerized distributive network for time computation is implemented. The General Assembly instituted new time computation formulas beginning in 1979 which were more complex than previous formulas. A backlog in computations resulted, and the unit was authorized overtime pay to eliminate it. Time computation is also being gradually decentralized to the major institutions. The complexity of interpreting court orders is expected to preclude complete relocation of time computation to the major institutions. The manager expects that two or three clerk positions will no longer be needed within this biennium due to the partial decentralization to the major institutions. Eventually field units will also use the computers within the major institutions to compute inmate time. This should further reduce the need for court and legal services unit staffing.

The unit manager is developing performance standards for each member of the unit. If standards are formulated based on productive rather than average levels of work, they may be useful in determining the continued need for staffing. It is the intention of the manager to base the standards on a "good" worker's productivity with adjustments based on experience in the position. Unit members are now submitting estimates of time required for particular tasks, and the manager is keeping records of the work actually being performed. The final performance standards should define productive rather than average work accomplishments.

While current unit staffing appears reasonable, the span of control within court and legal services may be excessive. Having only one supervisory position for 21 clerks in four different functional areas has resulted in the unit manager occasionally assisting his subordinate in supervisory tasks. The manager has requested an additional supervisory position. Given the backlog and other plans to decentralize and automate additional aspects of the process, a task analysis should be conducted to determine whether the position is needed.

Classification

The identification of inmates to be brought into the State system, their classification, and all reclassifications are the responsibilities of the classification unit. The classification unit consists of five sections.

Overview. The warrant section is responsible for identifying inmates to be brought into the State system and for making the initial custody and placement decisions for new inmates, parole violators, and escapees. A furlough coordinator within this section supervises nine employees including six temporary positions. The four central classification board members and four support positions comprise the classification section. They handle all reclassifications, which result from

incorrect initial classifications or changing circumstances. The population management section, with one supervisor and a clerk typist, has the administrative authority to transfer inmates and change custody classifications based on requests from department administration or inmates. The transportation section is comprised of one transportation supervisor and a clerk typist who coordinates all non-medical transfers between institutions. The work release section assesses and places inmates on work release and researches interstate compact cases. Four employees, including one temporary position, report to the work release supervisor. The classification manager supervises these five section supervisors and a clerk steno C.

Appropriateness of Staffing. Staffing within the classification unit does not appear excessive. Ensuring that inmates are properly classified is basic to the accomplishment of the department's mission. The spans of control within the unit seem appropriate. The unit's workload has increased by two institutions without any additional positions. The effect of future automation on the workload of the unit should be evaluated, however, as staffing requirements may be affected. Requests for additional positions should be reviewed with current plans to automate key functions in mind.

Criminal Records

The criminal records unit is responsible for maintaining centralized records on all adult inmates committed to DOC who are housed in institutions or local jails, or who are serving parole. A variety of tasks related to this record-keeping function are performed by the unit's two sections.

Overview. The inmate records section updates the Offender Based State Correctional Information System (OBSCIS), operates the Virginia Criminal Information Network/National Criminal Information Network (VCIN/NCIN), handles escape and extradition matters, receives inmate population reports, coordinates the court appearances of inmates, and produces the quarterly parole hearing docket. This section includes one supervisor and 15 clerical support staff. Six of the clerical positions are P-14s.

The file maintenance and storage section performs expungements and purges inactive files in addition to managing the active files. Projects requiring a record review are also handled by this section. A total of 17 clerks and clerk typists (six are temporary positions) report to the section supervisor. The criminal records manager supervises the two section supervisors, a clerk typist, a clerk stenographer, and the mail runner for the central office building.

Appropriateness of Staffing. The criminal records unit does not appear to be excessively staffed at this time. Staffing has remained stable despite the increase in the number of inmates and parolees. Overtime pay has been authorized as an exception to State policy

during the past year to allow the records section to catch up with entering data into OBSCIS. This backlog should be reduced when VCIN is equipped to automatically update OBSCIS information. Four employees worked a total of 16 to 20 overtime hours a week putting records onto OBSCIS, according to the unit manager. The unit also plans to computerize the parole hearing docket. Any effects of these automation improvements on unit staffing should be evaluated as they occur.

Parole Release

Overview. Assisting the Parole Board in preparation of cases and in the release of inmates is the primary function of the parole release unit. The unit's casework section employs seven counselors who prepare the cases to be reviewed by the Board, orient inmates concerning their parole, provide technical assistance to the district office staff, and monitor the accuracy of parole release information. One additional counselor is also involved in quality control assurance.

The data collection section, consisting of three positions, organizes statistical information from the probation and parole districts, prepares statistical reports, and notifies local officials of prisoner releases. Four additional positions (one of which is a temporary position) maintain the unit files and records, prepare parole release papers, process data base information, and perform other clerical duties. The unit manager directly supervises all employees except the counselor and typist, who report to the data collection coordinator.

Appropriateness of Staffing. The parole release unit does not appear to be excessively staffed. During the 1978 reorganization, five positions were eliminated from the unit, resulting in a reduction of services to the field offices. The Parole Board has also increased its demands on the unit. For example, the Board released 4,073 parolees in FY 1983, compared to 2,943 in FY 1982, while decreasing the target date for release of an inmate from 28 to 7 days after the decision to parole is made. Priorities were therefore established to determine which work activities would be continued. Having direct access to the OBSCIS data base would improve the efficiency of work activities, although staffing efficiencies may not result.

Post Release

Overview. Once parole has been granted and the individual has been released into the community, the post release unit is responsible to the Parole Board for ensuring the quality of supervision provided by the district offices. This unit reviews requests from the field for parole discharges, issuance of warrants due to serious violations, extraditions, and requests for exceptional travel. Requests which conform to Parole Board regulations are referred to the Parole Board for further action. The unit also evaluates casework services

being provided in the field, controls transfers between districts, and maintains records on the location of all active parolees. One warrant and extradition specialist, four parole officers, and three clerk typists report to the unit manager.

Appropriateness of Staffing. Staffing does not appear to be excessive in the post release unit. Unit staffing has not increased despite the steady rise in the number of parolees in the community. The unit has compensated for this increase by eliminating certain work activities such as training field officers. In addition, two volunteers have worked a total of 30 hours a week for the past year within the post release unit. The volunteers assist with paperwork generated within the unit. The manager stated that if this volunteer assistance were not available, one additional paid position would be needed.

Interstate Compact

Overview. Administration of the juvenile and adult interstate compact agreement in Virginia is the responsibility of the six employees within the interstate compact unit. The adult interstate compact, contained in *Code of Virginia* § 53.1-166 *et seq.*, provides for the supervision of probationers and parolees by other states while allowing Virginia officers to apprehend violators within those states without invoking extradition procedures. *Code of Virginia* § 16.1-323 *et seq.* contains the juvenile interstate compact. This compact allows for the supervision of delinquent probationers and parolees and the return of escapees and non-delinquent runaways. All states are signatory to both compacts.

Appropriateness of Staffing. Staffing does not appear excessive within the interstate compact unit. The unit manager supervises two interstate compact correspondents, two clerk stenographers, and one clerk typist. Clerical staff have been reduced gradually, and one correspondent vacancy has been frozen since 1978. The unit has compensated for these reductions in several ways. For example, a form containing 14 checklisted items related to transferring supervision of cases is now sent to other states. Previously, individual letters specifically detailing each case were prepared.

The training of local probation and parole officers regarding interstate compact requirements has also been eliminated by the unit. Local officers actually prepare cases for transfer and supervise cases received from other states. The elimination of training has resulted in increased contact with the field for specific problems and misunderstandings.

In summary, staffing of the six units within classification and parole administration does not appear excessive given current workloads and responsibilities. Staffing within the units has either remained constant while workload increased or has actually been

reduced. Automation potential does exist for four of the units. As automation advances are made, their effect on the need for staffing should be evaluated.

DOC'S MANPOWER CONTROL PROGRAM

The department's principal management control on staffing levels for each subordinate unit is the manpower control program (MCP). This program is essentially a listing of the department's 200 organizational units, which specifies a maximum employment level or ceiling for each unit. Ceilings are set and changes in staffing patterns are approved by DOC top management on the basis of historical staffing levels and management judgement. The employee relations unit monitors compliance with the program.

The MCP has been a useful tool for adjusting staffing in DOC units. It provides a single reference point for assessing how DOC distributes positions while staying within the maximum employment level set by the Appropriations Act.

The usefulness of the MCP as a controlling mechanism is limited by the department's lack of workload measures and data, as noted throughout this interim report. The lack of such data may mean that staffing levels and workload are balanced imprecisely. The lack of such data also hinders independent review of the need for administrative positions in the department. This means that the question of whether DOC's administrative functions are staffed at minimum levels cannot be determined at the present time.

To address these concerns DOC should develop a comprehensive manpower plan which specifies a minimum staffing level and which shows how the number and type of staff positions in the department match workloads. Where feasible, the plan should include workload measures for administrative positions and should specify staffing standards that are tied to workload measures. Timesheets filled out by each employee should be a part of the plan. Additionally, the plan should specify existing productivity levels and set goals for improving productivity.

Although DOC central administrative staffing appears to be without significant surpluses, the development of workload data based on task analyses of individual positions should facilitate more precise analysis and further staffing economies. This data could also be used to gauge the impact of additional major institutions (such as Nottoway and Augusta) on administrative staffing. As noted in this report, there are several administrative staff units for which workload data and standards could be readily developed. These units include staff under the assistant directors for finance, employee relations, and classification and parole administration.

The department's manpower plan should incorporate staffing standards currently available for direct service positions such as

adult parole and probation officers and court service staff. To be comprehensive, institutional positions should be included in the plan.

Temporary Positions

DOC uses temporary (P-14) employees for a variety of reasons. Generally, temporary positions are used when part-time rather than full-time assistance is needed. Other P-14 positions are filled only when an employee (such as a secretary) in a permanent position takes an extended leave of absence or terminates employment before a replacement can be hired. DOC's central office employed 76 temporary (P-14) employees for a total of 56 FTEs in October 1983.

While many P-14 positions are used because temporary or part-time assistance is needed, at least 25 positions actually have full-time, ongoing job responsibilities. Some of these full-time P-14 positions have been filled for several years. This practice conflicts with Rule 8 of the Department of Personnel and Training (DPT) policy and procedures manual, which states:

No person regularly employed on a continuing basis shall be paid at an hourly or per diem rate for longer than twelve months without being offered a salaried appointment unless the hourly employment is less than full-time or the employee waives, in writing, appointment to a salaried position.

A compensation analyst within DPT indicated that this provision is not actively monitored by his agency.

Some DOC units employ "permanent, full-time" P-14s to augment the manpower control program ceiling. The cost of retaining temporary employees in these positions may be greater than using permanent, full-time employees. The assistant director of classification and parole administration and two of his managers indicated that the use of P-14s in their units actually results in serious inefficiencies despite the fact that temporary employees are generally paid less and are not entitled to fringe benefits. According to the assistant director, the high turnover rate and the subsequent training costs associated with the use of P-14s actually result in higher personnel costs and lower productivity for the unit. He estimated that the turnover rate for temporary employees is four times higher than for permanent employees. Of the 14 temporary positions within classification and parole administration which require specialized training, eight have become vacant since January 1983 (Table 9). The on-the-job training period for these temporary positions ranged from three weeks to six months.

The two unit managers stated that the temporary positions will continue to be needed despite future automation. Requests for reallocation of these positions from temporary to permanent were made in previous years but rejected, according to the managers. The manager

Table 9

TEMPORARY EMPLOYEES REQUIRING SPECIALIZED TRAINING
October 1983

<u>Unit</u>	<u>No. of Positions</u>	<u>Training Period</u>	<u>Positions Vacated Since January 1983</u>
Classification	9	3 weeks	6
Criminal Records	<u>5</u>	2 to 6 months	<u>2</u>
Total	14		8

Source: DOC.

of court and legal services "exchanged" four P-14 positions for a single permanent position which, according to the manager, has resulted in increased unit productivity. The P-14s had not been trained to perform the more specialized tasks as they could not be relied on to stay in the unit, the manager noted. Another manager explained that P-14s generally do not have the career orientation of permanent employees and therefore have less incentive to be productive.

The assistant director of classification and parole administration also indicated that fewer positions would be needed if additional temporary positions could be "exchanged" for permanent positions. He estimated that 16 permanent positions could do the work now being performed by the 21 temporary positions. DOC's manpower plan should address the practice of using P-14s in positions which require specialized training. The plan should specifically address the costs associated with continual training of temporary employees as compared to the costs of using permanent salaried positions for the same duties. The productivity of temporary employees compared to permanent employees should also be considered.

CONCLUSIONS AND RECOMMENDATIONS

The JLARC review of DOC's central office found that, in general, central office units appear to be without significant surpluses of staff positions. Because a task analysis of individual positions was not conducted, this interim review is not conclusive that each staff position is fully and appropriately utilized. However, the systematic and comprehensive nature of the JLARC review, which sought convergence among a variety of staffing indicators, would have identified any significant staffing surpluses within the central office. The review did find several opportunities to improve the utilization of DOC's central office staffing resources. Further review is needed in a number of areas in order to develop final recommendations.

Recommendation (1). DOC should consolidate the supervision of the functions performed by the units of research and reporting, program development, and planning and policy development. Only one manager would be needed instead of the current three. Further economies may result from a task analysis of the positions in the consolidated unit.

Recommendation (2). DOC should implement the February 1982 recommendations of the State Internal Auditor relating to (1) the realignment of the internal audit unit so that the manager reports directly to the director of the department, and (2) removal of the unit's on-going responsibility for reviewing and correcting financial records prior to audit. The potential need for additional internal audit positions identified in the report should be considered, but only after certain duties are transferred out of the unit.

Recommendation (3). The functions and staff now under the planning and development unit should be reassigned to their previous locations. The manager position for planning and development should then be abolished. The consultant position retained by enterprises should also be abolished.

JLARC's recommendation to abolish the manager position for planning and development was intended to clear up an organizational arrangement where a manager spent a greater portion of his time in matters unrelated to his unit's mission than he spent on the position's intended purpose. The recommendation did not include abolishing the planning and development functions of enterprises.

The Director of Corrections has stated that enterprises planning was in flux during 1983 and going through developmental stages. In addition, the DOC response has provided a more detailed description of the planning and development manager's duties and goals than was previously available. Consequently, it appears that the situation has changed significantly since the JLARC fieldwork occurred. The recommendation will therefore be held in abeyance until 1985, when a follow-up review may be made of this position. An improved enterprises planning function should be in place by that time. Several steps should be taken to ensure this improvement occurs:

1. Compatible functions should be assigned to the planning and development unit.
2. The warehouse function should be taken out of the program and development unit and placed in a more appropriate unit.
3. The consultant's services should be terminated.
4. Personnel transactions should be completed to fund the program and development manager's position from self-generated funds.

5. Action should be underway on at least the ten specific tasks requiring the attention of the program and development manager.

Recommendation (4). DOC should develop, for use in the 1986-88 biennium, a comprehensive manpower plan which specifies a minimum staffing level and which shows how the number and type of staff positions in the department match workloads. The plan should specify staffing standards that are tied to workload measures. The plan should also specify existing productivity levels and set goals for improving productivity.

Recommendation (5). DOC's manpower plan should address the practice of using P-14 temporary positions where specialized training is required. The plan should specifically compare the costs of continual training with the costs of using permanent salaried employees for the same duties. DOC's use of P-14 temporary positions should conform to State policy.

III. STAFFING IN THE REGIONAL OFFICES

DOC has had a partially regionalized structure since the early 1970s. At that time, regional offices were established in six locations to house various youth services and probation and parole staff. Regional superintendents of adult field units were also established to oversee field unit operations, although the superintendents were actually housed in the central office.

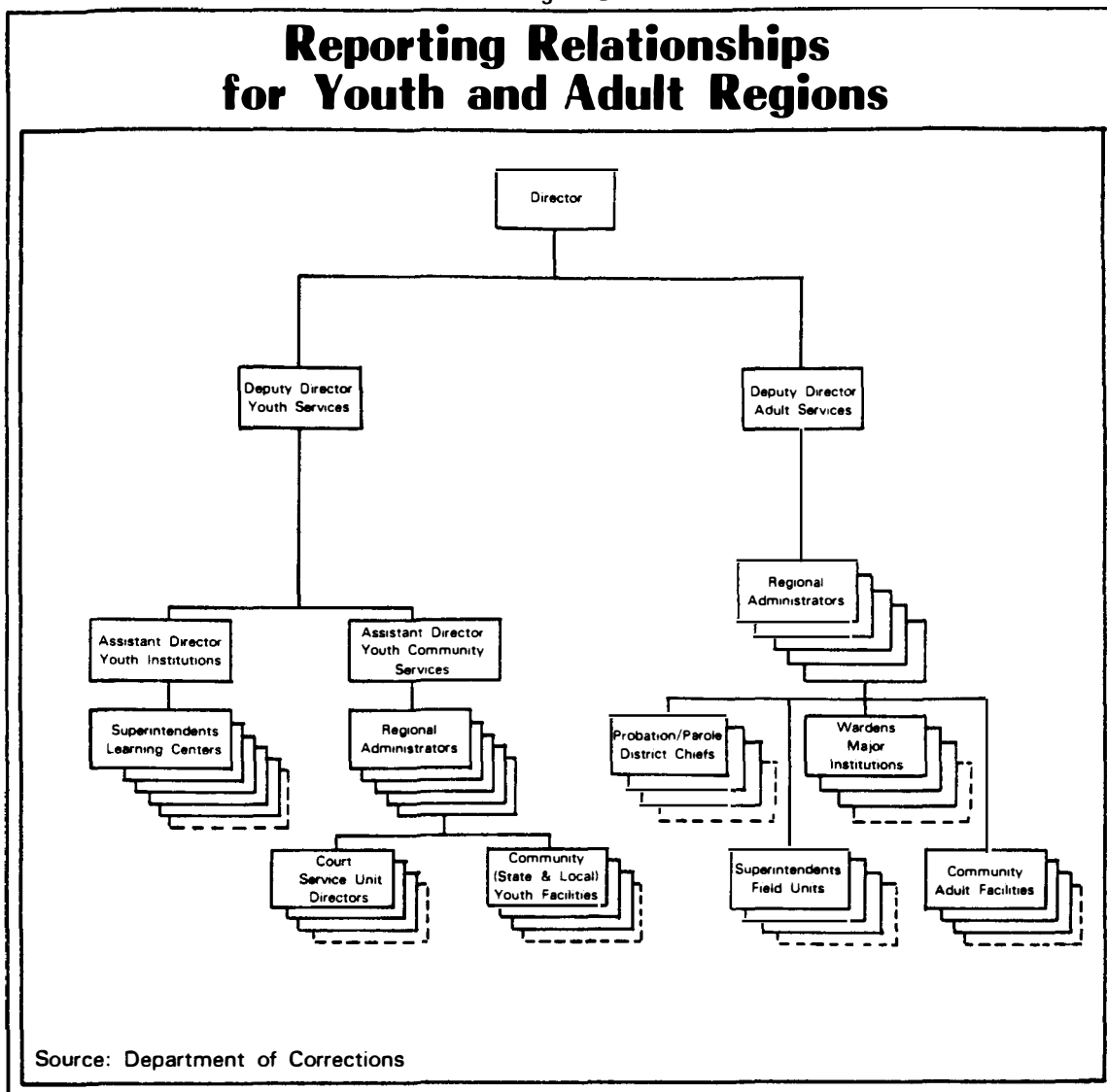
The major adult institutions were brought under the purview of a regional administrative staff in 1978. At that time, 53 staff positions which worked primarily with adult institutions were abolished in the central office. The six regional offices which had been previously established were reduced to five and relocated in Roanoke, Lynchburg, Fairfax, Richmond, and Suffolk. All regional staff were co-located in these new offices. The new position of adult services regional administrator was assigned supervisory responsibility for the major adult institutions as well as the field units. A separate regional administrator (RA) position was established in each regional office to handle a variety of community service programs. This position became the youth services RA position in 1982.

Impetus for the 1978 realignment was documented in DOC's 1978 master plan, "Corrections Options for the Eighties." According to that document, there were major advantages for the department in establishing the new regional structure:

When properly organized, regionalized service delivery systems can capitalize on the fiscal and management strengths of state government while reducing the potential for insensitive responses to local needs which sometimes occur in centralized bureaucracies.

DOC's current regional structure is illustrated in Figure 6. On the adult services side, RAs supervise the wardens of the major adult facilities, the field unit and work release superintendents, and the probation and parole district chiefs. The adult services RAs report to the deputy director of adult services in the central office. The youth services RAs supervise the directors of State-operated court service units, which support juvenile and domestic relations courts, and the directors of State-operated community youth facilities. The youth services RAs report to the assistant director of youth community services in the central office. The major youth institutions -- learning centers -- are supervised by the assistant director of youth institutions, housed in the central office. The youth services regional offices have little formal role with the learning centers.

Figure 6



Currently the five adult services regional offices have a staff of 51 positions. The five youth services regional offices have a total of 30 positions. The FY 1984 combined budget for both adult and youth services regional offices is \$2.6 million. Also housed at the regional offices are 24 positions funded and in most cases supervised by their central office counterparts.

The current regionalized structure of DOC has not been comprehensively reviewed since it was established. Several correctional facilities have been added since that time, others have ceased operations, and supervisory responsibility for still others has been shifted between regions. In addition, the mandate for the JLARC interim report

specifically calls for a review of regional office staffing. Consequently, this report contains an assessment of the regionalized structure of the department.

JLARC REVIEW

The interim JLARC review of DOC's regional offices focuses on three principal questions:

- Is there a need for a level of management between the facilities and programs and the top agency management in the central office?
- Is there a need for five regional offices to house this middle level of management?
- Are the regional offices appropriately staffed?

The initial step in the JLARC analysis of DOC's regions was to identify comprehensively and systematically the functions in which regional staff participate. Structured interviews were conducted with each of the five adult services RAs and with each of the five youth services RAs. To gain additional insight into the regional offices, interviews were conducted with five learning center superintendents, five court service unit directors, five parole and probation district chiefs, five field unit superintendents, and wardens at six major adult institutions.

Detailed interviews were then held with each regional manager and with each RA. These interviews focused on the individual's duties and responsibilities, workload, supervision, travel time and scheduling for visiting facilities and programs, overtime, and other related items. Documentation of staff activities was obtained where available.

To clarify the roles of the adult services regional staff who primarily interact with the major institutions and field units, structured interviews were conducted with 23 wardens and superintendents. Thirteen were chosen because regional staff stated that they personally visited these facilities more than the others in the region. Consequently, respondents at those facilities should be the most knowledgeable about regional staff activities at the institutions and field units.

A variety of additional information was collected and developed about regional staff utilization. Workload data, budgets and expenditure plans, organizational charts, position descriptions, and a variety of internal reports and memos were collected and reviewed. Interviews with DOC's top managers also focused on the utilization of and need for regional staff.

THE NEED FOR THE REGIONAL LEVEL OF MANAGEMENT

When the decision was made by the department in 1978 to bring the major adult institutions into a regional structure, the adult services regional level of management was established between the wardens and superintendents on the one hand, and the top central office management of adult services on the other. A similar regional management structure was also established for community and prevention services.

By 1982, all youth and adult regional services were co-located in five offices statewide. Currently, each office houses two regional administrators and their respective staffs -- one for adult services and one for youth services.

According to the director, consolidation of authority over facilities and programs at the regional level assisted in achieving several organizational objectives. These objectives included:

- reducing the span of control of top management, and eliminating one level of management;
- delegating specific decision-making authority to the regional administrators;
- improving uniformity and compliance with departmental policies and procedures;
- improving DOC visibility and communications throughout the State; and
- reducing the total time spent by DOC staff traveling to the subordinate units, consequently increasing the time available to spend with operations, programs, and activities.

It appears that the regional level of management has, on balance, achieved these objectives.

Span of Control

Prior to the establishment of co-located regional offices, there were separate chains of command for field units, major institutions, probation and parole, and youth services. For example, there were two levels between field unit superintendents and the deputy director. Within the division of adult services, one associate director supervised the major institutions, and a separate associate director supervised the three regional field unit superintendents, who in turn each supervised ten field units. Assigning the adult services RAs authority over both types of facilities thus eliminated one level of

management, the regional superintendents of field units. This resulted in only one level of management between the deputy director and the wardens and superintendents.

The five adult services RAs currently have spans of control which range from one to five major institutions and from three to eight field units. This compares with the prior associate director's span of eleven major institutions, and the regional field unit superintendents' spans of ten.

A key advantage of a smaller span of control is that the adult services RAs can spend more time with each subordinate unit and hence may potentially exercise greater management control than under the previous DOC structure. Although it did not explicitly endorse the regional concept, the Crime Commission in the mid-1970s emphasized the need for stronger management control over the institutions and field units. The importance of a more limited span of control under the regional structure continues to be emphasized by DOC staff, as indicated in the following comments from interviews with JLARC staff.

A regional staff member commented that the regions provide a more manageable level of supervision over DOC units and allow for more immediate response to individual unit needs. "Regional management has a vested interest in the region's units - if they fail, we fail. Regions can provide regional units moral support because of personal involvement in day-to-day activities."

* * *

A field unit superintendent stated that regions were "the best thing that ever happened to the field units." None of the recent improvements in staffing and physical facilities would have occurred without the regions, he thought. The RAs are aware of what is going on in the facilities, according to the superintendent, "and you can't lie to the RA like you could to Richmond, because the RA knows what is going on in the facilities."

* * *

A warden noted that prior to the establishment of regions the associate director was able to make only infrequent visits, whereas the RA visits more often and so gets a better first-hand view of the institutions. The warden also stated that having an RA allows more communication than there would be between the central office and institutions. He felt that the RA is "very aware" of what goes on in the facility.

Delegation of Authority

To achieve the objectives of the regional management structure, significant decision-making authority was delegated to the RAs. The intent of assigning authority to the adult services RAs, according to the director, was to enable the RAs to make as many decisions as possible, thereby reducing the involvement of central office staff in relatively routine matters. This was accomplished in at least 12 areas, detailed in Appendix D, which cover such functions as personnel, purchasing, budgeting, and management of inmate populations.

The case of budgeting illustrates the level of authority assigned to the regional administrators:

DOC policy #6-15 requires that RAs approve all fund transfers between units, and they may be designated by the deputy director to approve fund transfers between programs within a unit. According to DOC's budget manager, RAs are expected to use their discretion in managing funds allocated to units within the region to achieve the goals and mission of the department. All regional budget revisions are subject to the review of the budget unit to ensure that requested funds are available and that transfers are carried out in accordance with departmental and State procedures.

Uniformity and Compliance

Another objective that the regional level of management has addressed is the improvement of uniformity and compliance with State and DOC policies and procedures. According to the director, regional office staff would be better positioned than central office staff to balance special or local needs with the need for uniform policies and procedures statewide. Because regional staff could spend more time with each facility, they could provide more extensive technical assistance on compliance with departmental policy.

Both the current and the previous department directors have stated that the regional role in ensuring uniformity and compliance is being achieved. They agreed that the regional staff have helped to eliminate the practice of some wardens and superintendents considering their facilities to be their own "fiefdoms" to run as they pleased.

Of the 37 adult services regional staff interviewed during this review, 17 (or 46 percent) cited improved uniformity of services and operations as a positive result of establishing the regional level of management. Additional support for this objective came from some facility managers. For example, one warden noted:

It used to be that institutions and field units were like little kingdoms. They weren't in compli-

ance with State policies. Since the regions were set up, things are more uniform around the State -- an inmate will now be treated the same wherever he is. The wardens now know that someone (in the regional office) will be watching them.

During the course of the JLARC review a dissenting opinion on this point was also expressed by some DOC employees. A field unit superintendent, for example, stated:

The regional office is not valuable to my unit. The extra level of management just slows up the system. It really has not been an improvement over the old system. Regional office staff have no influence over day-to-day operations of my unit. I just don't see the use in having a regional office and it would not hurt my operations if it went away.

Although the precise extent of this view was not measured, it appeared to be held by a minority of staff.

Visibility and Communication

According to the director, the decision to create the regional level of management was also intended to improve the visibility of the department and to improve communications with local media, legislators, and officials. Thus, persons desiring information about the department would not have to contact the central office in Richmond, which might be removed from a particular event at a facility in both distance and knowledge. Instead, they could contact the RA, who would be more likely to know the details about facilities and problems, and who would have sufficient authority to resolve many issues.

Another facet of improved communications occurred, according to the director, because DOC top management could rely on one individual in each region -- the RA -- for information about operations and activities in all subordinate units in that region. This is a significant improvement over the prior arrangement which, again according to the director, often required a central office employee to travel to the facility, investigate a situation, and then report back.

Opinion again appears to be divided about whether the regions have achieved the objective of improving visibility and communications within the department. An indication of the division of opinion was expressed by a field unit superintendent:

In this superintendent's opinion, the system worked better before the regional structure. "When there was one superintendent in Richmond with two assistants, the assistant would spend the night when visiting and really find out what was going on," he

said. "The new regional positions don't really know what's going on," according to the superintendent, who also said he very seldom has contact with anyone in the regional office except the food operations manager. To this superintendent having a regional office just means that his mail arrives one day later. He said he still has to go directly to Richmond to straighten out problems with the budget or personnel.

Because only a few DOC staff identified problems with communications, it would appear that communication is adequate within the department. However, the extent to which the regions have improved communications could not be demonstrated conclusively during this review.

Travel Time

Creation of regional offices was expected to reduce the amount of time spent by DOC staff traveling to the facilities. As a consequence, the director has noted that staff would be able to spend more time on location, reviewing procedures and practices, and "fixing problems before they occur." In most cases, regional staff could also respond more quickly to emergency situations at institutions and other facilities than staff who had to travel from Richmond.

To compare travel time to the adult facilities from the regional offices with travel time from Richmond, data concerning number of on-site visits and time spent traveling to facilities was collected from RAs, regional managers of operations and training, and regional managers of support services. Total time spent traveling to facilities was then calculated for these positions on an annual basis and converted into full-time equivalent positions (FTEs). For comparison purposes, the time needed to travel from Richmond to visit each facility an equal number of times per year was estimated.

If these regional adult services institutional staff positions were eliminated, the maximum amount of travel time required to maintain the current level of on-site visitation would increase from 3.30 FTEs to 5.36 FTEs statewide. Table 10 contains the estimates, and indicates that currently the three key regional positions spend a maximum of 0.49 to 1.00 FTE per region traveling to facilities. If these positions were transferred to Richmond and continued to visit facilities at the current pace, travel time could be expected to increase significantly in all but the east central region (where a regional office is already located in Richmond).

To summarize, establishment of the regional level of management has addressed important management objectives. These objectives include reducing top management's span of control, decentralizing some decision-making authority, improving uniformity and compliance, and reducing travel time needed to monitor operations and activities at

Table 10

CHANGE IN MAXIMUM TRAVEL TIME IF
REGIONAL OFFICES WERE ELIMINATED*
(In FTEs)

	<u>From Regional Offices (current)</u>	<u>From Richmond,</u>	<u>Difference</u>
Western	.49	1.42	+ .93
Central	1.00	1.55	+ .55
Northern	.61	.69	+ .08
East Central	.54	.54	--
Southeast	<u>.66</u>	<u>1.16</u>	<u>+ .50</u>
Statewide Total	3.30	5.36	+2.06

*Based on current visitation and travel schedules of adult services RAs, operations and training managers, and support service managers.

One FTE = 1,736 hours.

Source: Regional staff; JLARC estimates.

facilities and programs. The regions may also have improved communication and visibility of the department, although evidence considered as part of this interim review was not conclusive.

Criteria for Establishing Regional Boundaries

DOC's 1978 master plan, "Corrections Options for the Eighties," identified several constraints on the establishment of regions, including:

- honoring existing city, county, and judicial district boundaries;
- equalizing, insofar as possible, the workloads of the regions;
- including a population center capable of supporting community-based human services; and
- encompassing a geographical area of reasonable proportions with coterminous boundaries for all DOC services.

Some of the criteria originally used in determining the regional boundaries appear of limited value in determining how many

regional offices are needed. Workload factors used in the 1978 master plan may have overemphasized considerations such as the location of the sentencing court. The plan noted:

The primary criterion was the sanctity of existing boundaries for counties, cities, and judicial districts (which are the same for both juvenile and adult). Every effort was also made to follow planning district boundaries. However, while these boundaries overlap extensively, there are several instances where they do not adhere to existing judicial districts. A decision had to be made on which boundaries most often and most seriously affected corrections service delivery. Because of this agency's unique daily relationship with and dependence upon judicial action, the decision was made that corrections regions should maintain the sanctity of the judicial districts in the Commonwealth.

It is not clear from the document why these boundaries should constrain the regional staff who interact primarily with the major institutions and field units. Because most localities do not contain either type of facility, it appears relatively less important that these localities be included within the same DOC regions for all purposes.

The department's master plan also notes:

Secondly, the natural demographic configuration of the State was considered. This involved an effort to create regions which were homogeneous in terms of geography, lifestyle, and social characteristics of the general population, and presumably of the department's client population from the area. This will allow for regional corrections staff to have a basic understanding of and communication with those they supervise.

However, the planning document provides no evidence for how the "lifestyle and social characteristics of the general population" were defined or measured. Consequently, it is not clear that the regions as established meet this criterion. Nor is it the case that regional staff supervise clients from the geographic area. For example, while DOC's client population from the area may tend to share certain characteristics, the master plan does not establish that clients are assigned to facilities based on region of origin. In fact, adult offenders are placed at facilities based upon a variety of other characteristics, chief of which is the individual's security classification or custody assignment.

The third factor considered in developing the regions was "the client-load of the department:"

Three groups were assessed for impact. They were: felons confined on June 30, 1977 by committing court; cases under probation and parole supervision on June 30, 1977 by county or city of origin; and children received into care at the Reception and Diagnostic Center, FY 1977, by county/city of origin.

These indicators may overemphasize the importance of the location where offenders and clients entered the corrections system. The planning document does not clarify how these measures are related to regional office staffing. The need for the youth services regional offices is discussed later in this chapter.

For the current review a variety of workload indicators were assembled, using responses from regional staff to identify which indicators accurately reflect their workloads. Key measures identified by regional staff included employment levels and the inmate populations in the facilities. Table 11 displays the indicators. Actual workload as measured by these indicators reveals significant disparities among regions. In fact, based on JLARC's review of workload and travel time it appears that DOC could improve workload distribution and realize significant savings by cutting back to four regions.

Options For More Equitable Workload Distribution

On balance, having a level of management between DOC's top management and its facilities and programs appears to facilitate the achievement of management objectives set out by the department. The need for five regional offices is less clear, however. Better distribution of regional workload could be accomplished by redefining the current regional boundaries for both youth and adult services. By eliminating the central regional office and redistributing its facilities between the four remaining regions, the resulting workloads would be significantly more balanced than at present, and travel time statewide would increase by only a small amount.

JLARC Regional Proposals. JLARC staff developed three alternative regional proposals. Proposal one results in the most equally balanced distribution of workload within each function, while proposal two achieves the most balanced workload among regions. Proposal three offers coterminous boundaries for both adult and youth community services; and significant improvements in workload distribution can be achieved in two of the four functional areas. Specific workload assignments are detailed in Appendix E, and discussed in this chapter under each functional position. Adoption of any of these proposals would result in significant savings. Those positions housed at the central regional office but funded or supervised by their central office counterparts (a regional training specialist, a community corrections specialist, an ombudsman, and two maintenance staff) should be retained and distributed among the remaining regions based on need.

Table 11

WORKLOAD INDICATORS FOR YOUTH AND
ADULT SERVICES REGIONAL STAFF
(FY 1983)

	<u>Western</u>	<u>Central</u>	<u>Northern</u>	<u>East Central</u>	<u>Southeast</u>	<u>Total</u>
<u>Adult Services</u>						
Major Institutions	2	2	1	5	4	14
Max. Emp. Levels	399.5	707	302	1,680.5	1,075.5	4,164.5
Average Daily Inmate Pop.	600	684	510	2,914	2,063	6,771
Field Units*	5	8	9	5	4	31
Max. Emp. Levels	152	244.5	255	142	96	889.5
Average Daily Inmate Pop.	381	717	783	505	306	2,692
Probation & Parole Districts	6	8	9	6	9	38
Local Jails	28	19	24	10	14	95
Rated Inmate Capacity	1,054	701	1,161	1,334	1,414	5,664
<u>Adult Services Total</u>						
Subordinate Units	41	37	43	26	31	178
Institution Max. Emp. Level	551.5	951.5	557	1,822.5	1,171.5	5,054
Total Inmate Pop.	2,035	2,102	2,454	4,753	3,783	15,127
<u>Youth Services</u>						
Court Service Units	7	5	8	5	9	34
State and Local Youth Facilities	14	9	14	11	19	67
<u>Youth Services Total</u>						
Subordinate Units	21	14	22	16	28	101

*Includes Work Release Centers.

Source: Statistical Summary, FY1983; Manpower Control Program, July 31, 1983;
1983 Directory, Division of Youth Services.

JLARC's proposed changes in regional boundaries redefine DOC's regions into larger geographical areas with an increased number of facilities in most regions, consequently increasing total travel time for some regional positions. Under the three JLARC proposals, workload is distributed among the regions on a more equitable basis than currently exists without significantly affecting travel time. In addition, the northern adult services regional office in Fairfax could be relocated to the site of the former Woodbridge Work Release Unit to reduce travel time to facilities in that region. Use of the Woodbridge site for a regional office has been under review by the department.

The chief objective of JLARC's first proposal is to reasonably balance the principal workload of each regional position among four regions while minimizing travel time. Achieving this objective resulted in separate boundaries for each regional function under proposal one.

In response to this proposal, the department stated that differing boundaries for the different DOC functions could lead to confusion in localities. Although DOC has presented no evidence that coterminous boundaries are essential to its administrative efficiency or to effective service delivery, two options are presented which would implement a four-region structure with coterminous regional boundaries.

Proposal two defines four regions with coterminous boundaries for adult community services and four regions with coterminous boundaries for youth community services. Proposal three identifies four regions with coterminous boundaries for both adult and youth community services. Major adult institutions and field units are not included within these alternatives because localities have no responsibility for their operations. Consequently only one proposal for adult institutions is presented.

Travel Time. Current and proposed travel time estimates are shown in Table 12. As shown, under the JLARC proposals maximum statewide travel time increases between 0.59 to 0.71 FTE across 32 regional staff positions. Travel time increases would be more than offset by annual savings of approximately \$466,826, which would result from closing one regional office.

Travel time calculations were based on two types of information JLARC collected from regional staff personnel: (1) the estimated number of trips made to each facility adjusted to an annual basis, and (2) one-way travel time to each facility from the regional office. Current travel patterns were applied to facility assignments resulting from the new regional boundaries to calculate differences in travel time.

Due to limitations in the data, travel time calculations were performed using a "one trip per facility" method. Each trip to a facility was considered a single round trip from the regional office. The analysis also assumed that current patterns of travel will continue, and represent an appropriate level of visitation. The result of

Table 12

TRAVEL TIME ESTIMATES
FOR JLARC PROPOSALS
(In FTEs)

Functional Positions	Current	Proposal 1	Proposal 2	Proposal 3
<i>Adult Services</i>				
Adult RAs Operations & Training	3.31	3.39	3.39*	3.39*
Support Services				
Probation & Parole	1.16	1.18	1.30	1.50
Local Jails	1.77	2.03	1.97	1.76
SUB-TOTAL	6.24	6.60	6.66	6.65
<i>Youth Services</i>				
Youth RAs	0.43	0.47	0.49	0.49
Court Services	0.66	0.72	0.75	0.75
Youth Facilities	1.48	1.61	1.62	1.62
SUB-TOTAL	2.57	2.80	2.86	2.86
TOTAL	8.81	9.40	9.52	9.51
Statewide Change from Current Assignments	NA	0.59	0.71	0.70

*Regional assignments for major institutions and field units are the same as for Proposal 1.

Source: Regional staff; JLARC estimates.

the "one trip per facility" calculations is a maximum estimate of time spent in travel. Based on the number of trips to each facility, the overall analysis also represents the maximum time which could have been spent in travel by staff in each region. Using this approach, differences in required travel can be determined.

This method was adopted although interviews with regional staff revealed that many of them visit several facilities on one trip. For example, the central region operations and training manager makes

institutional visits in three circuits - visiting two to three facilities each trip. Using the "one trip per facility" method, this position would theoretically spend approximately 28 percent of his total time in travel. Actual travel time based on "circuit" visiting was approximately 12 percent of his total time. The one trip per facility method thus is not a representation of actual travel time. It can, however, be used to accurately predict maximum differences in travel time, if all travel estimates (including current) are calculated from a common base, such as the number of visits.

Because data used in the estimates represents the maximum possible time spent in travel, the difference between current and adjusted time is illustrative of the maximum increase (not the actual increase) in travel time which could occur under the proposed change in regional boundaries.

REGIONAL OFFICES OF ADULT SERVICES

The regional offices of adult services contain staff with line authority and coordination responsibilities for the two basic adult service programs: major institutions and field units, and community services. The chief administrative official of the regional offices is the adult services regional administrator (RA), who is the direct supervisor of institutional wardens, field unit superintendents, parole and probation district chiefs, and the regional staff.

The RA has a team of specialists who assist with the subordinate units. Two regional manager positions (an operations and training manager and a support services manager) assist the RA with a variety of administrative and technical matters, and interact extensively with wardens and superintendents. A local jails manager works with the local sheriffs, ensuring that jails meet the standards set by the Board of Corrections. A manager for probation and parole monitors, assists, and helps supervise the district offices and staffs. A food services manager inspects food preparation and food service in the field units and institutions, and provides some training in these matters.

Several other positions work out of the adult services regional offices. CDI specialists, ombudsmen, training specialists, and maintenance positions are housed in the regional offices, and perform tasks associated with their respective central office units as discussed in Chapter II. A regional manager for programs and planning, also a part of the regional structure as originally established, was phased out in 1980-82. Current staffing is shown in Table 13.

Institutional Workload of the Adult Services Regions

Employment levels and the size of the inmate population, rather than the number of facilities, appear to more accurately measure the work demands of the regional administrator, the support services

Table 13

STAFF POSITIONS AT ADULT SERVICES REGIONAL OFFICES
July 1983

<u>Regional Staff Positions</u>	<u>Regions</u>				
	<u>Western</u>	<u>Central</u>	<u>Northern</u>	<u>East Central</u>	<u>South- east</u>
Regional Administrator	1	1	1	1	1
Operations and Training Manager	1	1	1	1	1
Support Services Manager	1	1	1	1	1
Regional Jail Manager	1	1	1	1	1
Probation and Parole Manager	1	1	1	1	1
Food Operations Manager	1	1	1	1	1
Administrative Assistant	-	1	1	-	-
Clerical Staff	4	3	3	5	4
<u>Positions Funded by Central Office</u>					
Community Corrections Specialist (CDI)	1	1	1	1	1
Ombudsman	1	1	1	2	1
Maintenance Staff	2	2	2	1	1
Regional Training Specialist	<u>0.5</u>	<u>0.5</u>	<u>0.5</u>	<u>0.5</u>	<u>0.5</u>
Total	14.5	14.5	14.5	15.5	13.5

Source: DOC.

manager, and the operations and training manager. For example, most of the RAs stated that they "manage by exception" and become personally involved in only the more difficult problems. Consequently, the east central RA, with more than 3,000 inmates and 1,700 employees, could expect to handle more "exceptions" than the northern RA who has 500 inmates and 300 employees. Actual workload as measured by the number of inmates and institutional employees varies greatly.

Focusing on the major institutions and field units, which generate most of the workload for the regional positions under review here, reveals a similar excessive imbalance. The east central region has five major institutions with a total of 1,680.5 employees. By contrast the western and northern regions each have fewer than 400 employees at major institutions. The number of employees and inmates at field units is also out of balance between the regions -- from 96 employees and 306 inmates in the southeast region to 255 employees and 783 inmates in the northern region.

More direct measures of variation in the regional staff's workload are available. For example, regional staff are required to investigate and prepare a written response to each grievance that

reaches the regional level. A review of inmate and employee grievances indicates that the largest volume of such grievances arose in the east central region (Table 14). The western region handled the fewest inmate and employee grievances. The differences between regions is extensive -- the east central region handled far more inmate grievances and employee grievances than the western region.

Table 14

GRIEVANCES AND ASSAULTS*

	<u>Inmate** Grievances</u>	<u>Employee Grievances</u>	<u>Assaults at Facilities</u>
Western	192	17	54
Central	657	23	86
Northern	218	22	26
East Central	902	170	151
Southeast	<u>500</u>	<u>57</u>	<u>131</u>
	2,469	289	448

*Inmate grievances resolved January 1983 to February 1984. Employee grievances filed July 1982 - December 1983. Assaults at institutions and field units in FY 1983.

**Includes both grievances reviewed and grievances resolved at Level 3 - RA or assistant director for parole and classification. Although data is not kept by region, the assistant director estimates that he resolved 85 or 12% of the 696 inmate grievances received at this level during January - June 1983.

Sources: DOC's Response to JLARC Staff Report, April 11, 1984.

Another workload measure, assaults at major institutions and field units in FY 1983, also indicates regional workload disparities. Regional staff are required to report serious incidents such as assaults as soon as possible to the deputy director. As shown in Table 14 the number of assaults varied from as few as 26 in the northern region to 151 in the east central region during FY 1983.

The apparent disparity in the workloads between regions was confirmed during JLARC interviews with regional office staff. When asked how they felt about their regions' workloads, the RAs in the east central and southeast regions said they had too many facilities. By contrast, the northern and western RAs suggested they could handle more facilities. Consequently the workload as perceived by adult services regional office staff tends to confirm the actual workload disparity between regions.

Shifts in Workload. During FY 1982, DOC acknowledged regional workload imbalances by assigning additional facilities to the northern region. The Staunton Correctional Center, located in the western region, was assigned to the northern regional office. Although this gave the northern region one major institution, the change also increased travel time from the regional office significantly, since Staunton is 87 miles from the western regional office in Roanoke and 137 miles from the northern regional office in Fairfax. In another change the Culpeper field unit, located 106 miles from its regional office in Lynchburg, was assigned to the northern regional office in Fairfax, 50 miles from Culpeper. These changes have not significantly improved the imbalance of facilities and programs between the five regions.

If the current discrepancy in regional workloads is not addressed, a similar disparity between regions could persist to FY 1986. The planned additions of Nottoway Correctional Center to the east central region and Augusta Correctional Center to the western region, and the planned closing of Deep Meadow in the east central region will perpetuate regional workload disparity. The east central region may then be responsible for almost three times the number of employees and inmates assigned to the northern region and about twice the employees and inmates in the other regions (Table 15).

Table 15

EXPECTED REGIONAL WORKLOAD
DISTRIBUTION IN FY 1986

<u>Region</u>	<u>Number of Inmates</u>	<u>% of Total</u>	<u>Number of Employees</u>	<u>% of Total</u>
Western	1,731	16%	911	16%
Northern	1,260	12	557	10
Central	1,401	13	951	17
East Central	3,769	36	1,970	35
Southeast	<u>2,369</u>	<u>23</u>	<u>1,171</u>	<u>21</u>
	10,530	100%	5,560	100%

Source: JLARC analysis of DOC data.

Proposed Workload. Table 16 shows the proportions of employees and inmates which would exist in each region by FY 1986 under JLARC's regional proposal for institutions. Included in these figures are the planned additions of Nottoway and Augusta Correctional Centers (each with 750 inmates and 360 employees), the anticipated closing of Deep Meadow Correctional Center (with 400 inmates and 212.5 employees), and the addition of one inmate at Patrick Henry and 33 inmates and seven fewer employees at Woodbridge Work Release Centers. While the

Table 16

EXPECTED REGIONAL WORKLOAD
UNDER PROPOSED REGIONAL
BOUNDARY CHANGES (FY 1986)

<u>Proposed Regions</u>	<u>Number of Inmates</u>	<u>Percent of Total</u>	<u>Number of Employees</u>	<u>Percent of Total</u>
Western	2,187	21%	1,063.5	19%
Northern	1,853	18%	977.5	18%
East Central	3,683	35%	1,942	35%
Southeast	<u>2,807</u>	<u>27%</u>	<u>1,578.5</u>	<u>28%</u>
Total	10,530	100%	5,561.5	100%

Source: JLARC analysis of DOC data.

east central region would still have the highest workload, the other three regions' workload would be more equally distributed under the JLARC proposal than currently anticipated by FY 1986. Although the redistribution of workload would increase in three regions, existing regional manpower could be expected to accommodate the increases if staff in other regions were expected to work at the pace already established by the east central regional staff. DOC's current five-region structure and the JLARC staff's four-region proposal are shown in Figure 7.

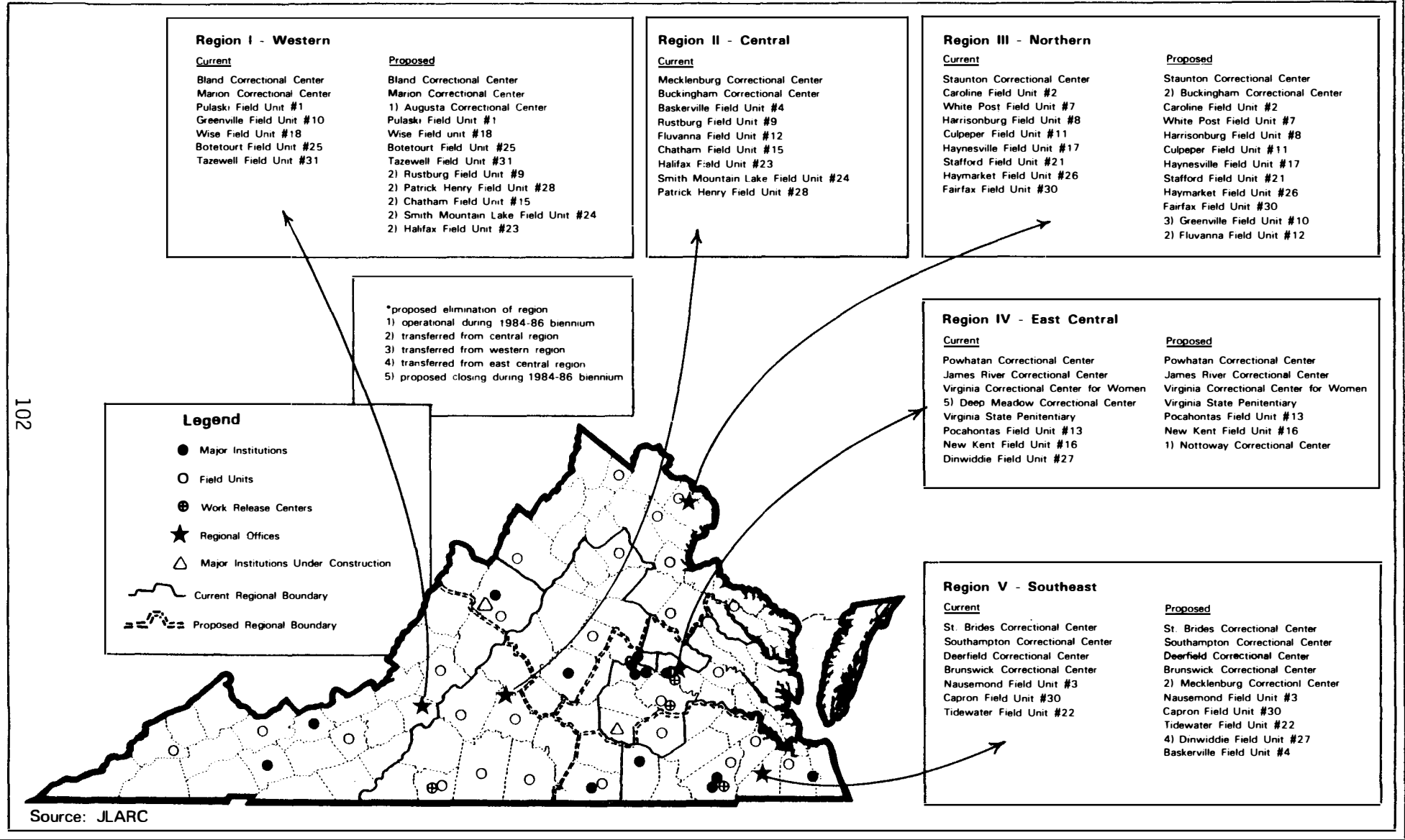
Travel Time. Based on information JLARC obtained from the regional staff, a moderate increase in some individuals' travel time could result from the proposed redefinition of regional boundaries. However, total statewide travel for these positions would only increase slightly. Table 17 shows the composite "current" and "proposed" full-time equivalents (FTEs) now allocated to travel by each region's regional administrator, operations and training manager, and support services manager. Increases in travel time within regions appear moderate.

Regional Probation and Parole Workloads

Regional probation and parole managers provide technical assistance, monitoring, supervision, and resource coordination for probation and parole district staffs. The managers' supervisory tasks include hiring, evaluating, and holding staff meetings with district chiefs. The managers also work with local officials, law enforcement agents, judges, and human service agencies to coordinate delivery of services to persons on probation and parole. Regional managers also hold preliminary hearings on parole violations to determine whether to refer the case to the Parole Board.

Figure 7

Current and Proposed Regional Distribution of Adult Facilities



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Source: JLARC

Table 17

CURRENT AND PROPOSED MAXIMUM TRAVEL TIME
ADULT SERVICES REGIONAL INSTITUTION SUPPORT STAFF*
(IN FTEs)

<u>Region</u>	<u>Current Travel</u>	<u>Proposed Travel</u>	<u>Difference</u>
Western	.49	.80	+ .31
Central	1.01	--	-1.00
Northern	.61	.93	+ .32
East Central	.54	.60	+ .06
Southeast	<u>.66</u>	<u>1.06</u>	<u>+ .40</u>
Statewide Total	3.31	3.39	+ .09

*One FTE = 1,736 hours.

Source: Regional staff; JLARC estimates.

As Table 11 indicated, the current distribution of probation and parole districts between the regions ranges from six in the western and east central regions, to nine in the northern and southeast regions. The number of cases handled by probation and parole districts reflects the workload of the districts to a greater extent than the workload of the regional probation and parole managers. Interviews with managers indicated that they primarily have contact with the district chiefs, and considered the chiefs to be the principal source of their workload. Two managers stated that they felt they could adequately manage "a few more" probation and parole districts than at present, while three felt they currently have "about the right amount" of districts.

Probation and parole district assignments under the proposals are compared with current placements in Figure 8. As shown, proposals one and two would provide a better workload balance than the current arrangement. A range of seven to eleven districts occurs under proposal three. Appendix E details proposed district assignments to regions if the existing central region were eliminated and its districts realigned. It appears that maximum travel time statewide would change only slightly under the proposals (Table 18). The statewide increase in travel time for these positions ranges from 0.02 to 0.34 FTE.

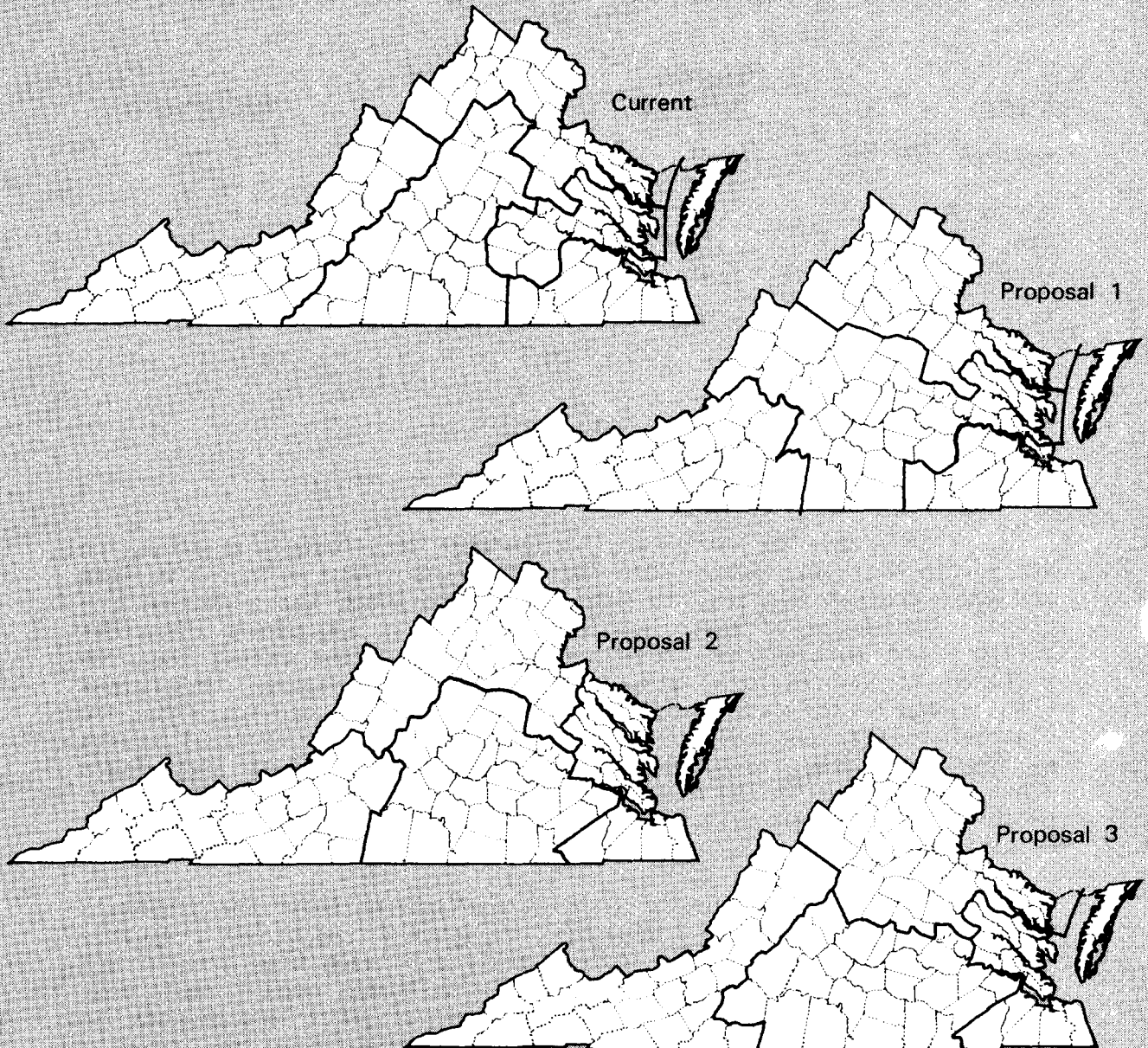
Workload of Regional Jail Managers

Each regional office has a manager position to monitor and assist the operators of local jails. These managers regularly inspect the jails in their respective regions to ensure compliance with the local facility standards adopted by the Board of Corrections. They

Figure 8

Current and Proposed Regional Assignments

Probation and Parole Managers



Probation and Parole District Assignments

Region	Current	Proposal 1	Proposal 2	Proposal 3
Western	6	9	8	7
Central	8	—	—	—
Northern	9	10	10	11
East Central	6	10	9	10
Southeast	<u>9</u>	<u>9</u>	<u>11</u>	<u>10</u>
	38	38	38	38

Table 18

CURRENT AND PROPOSED MAXIMUM TRAVEL TIME
 PROBATION AND PAROLE MANAGERS*
 (In FTEs)

Region	Current	Proposal 1	Proposal 2	Proposal 3	Difference
Western	.15	.31	.20	.18	+ .03 to .16
Central	.40	--	--	--	-.40
Northern	.18	.22	.24	.34	+ .04 to .16
East Central	.15	.37	.52	.67	+ .22 to .52
Southeast	<u>.28</u>	<u>.28</u>	<u>.34</u>	<u>.31</u>	.00 to +.06
Statewide Total	1.16	1.18	1.30	1.50	+ .02 to .34

*One FTE = 1,736 hours.

Source: Regional Staff; JLARC estimates.

assist sheriffs in meeting these standards, and serve on certification teams that inspect jails and certify compliance on a biennial basis. Regional jail managers also assist in the transfer of inmates from jails to the State reception and diagnostic centers and perform other jail-related duties.

According to these regional managers, their level of involvement with jails varies, depending primarily on the staffing level and staff expertise at the jails. For example, one manager stated that he spent an "inordinate amount of time" assisting sheriffs in rural areas, as these sheriffs have few if any support staff, and may have more limited expertise than jail staff in more urbanized areas. Conversely, larger jails in urban areas require less of the regional managers' time. Adding smaller jails to the east central and southeast regions -- where the managers stated they could handle more facilities -- would provide a more equitable distribution of workload.

The current workload of these positions is significantly imbalanced, as indicated in Table 11. The east central region, for example, contains ten jails. By contrast, the western region contains 28 jails.

The workload distribution of the four-region proposals is shown in Figure 9. Proposals 1 and 2 would significantly reduce the variation in the total jails per region. Under the proposals total statewide travel time for these regional managers would range from a decrease of 0.01 FTE to an increase of 0.26 FTE (Table 19). Estimates of travel time under the proposals assumed that jails would be visited by the regional managers as often as they are under the current five regions.

Table 19

CURRENT AND PROPOSED MAXIMUM TRAVEL TIME
REGIONAL JAIL MANAGERS*
(In FTEs)

<u>Regions</u>	<u>Current</u>	<u>Proposal 1</u>	<u>Proposal 2</u>	<u>Proposal 3</u>	<u>Difference</u>
Western	.55	.53	.50	.59	-.05 to +.04
Central	.27	--	--	--	-.27
Northern	.12	.40	.42	.13	+.01 to +.30
East Central	.24	.39	.54	.55	+.15 to +.31
Southeast	<u>.59</u>	<u>.71</u>	<u>.51</u>	<u>.49</u>	-.10 to +.12
Statewide Total	1.77	2.03	1.97	1.76	-.01 to +.26

*One FTE = 1,736 hours.

Source: Regional staff; JLARC estimates.

Potential Savings

Under each of the proposed reconfigurations, the need for the central regional office of adult services would be eliminated. Nine positions -- an RA, an operations and training manager, a support services manager, a food services manager, a probation and parole manager, a local jails manager, and three clerical positions -- would be eliminated. Annual salary savings would amount to an estimated \$218,361. Approximately \$60,000 in annual building rental, overhead, utilities, and expenses would also be avoided.

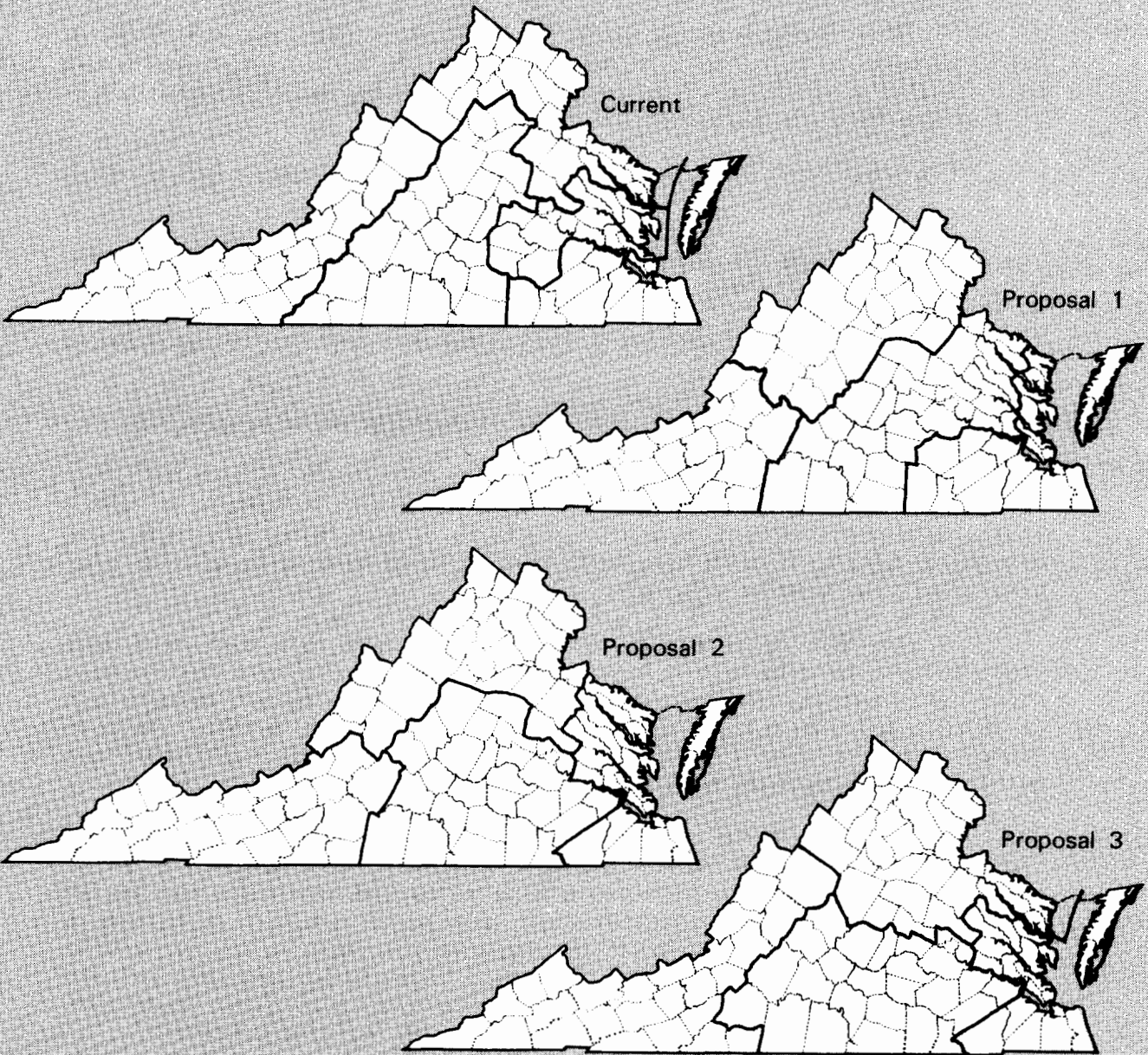
Additional savings would result if the northern regional office were located more centrally in order to reduce travel time to institutions. Currently under study by DOC is the option of moving the northern regional office from Fairfax to the facility formerly used as a work release unit at Woodbridge. Currently, DOC is paying \$73,152 per year to rent the Fairfax office. The capital outlay required to renovate the Woodbridge facility for office use is estimated at \$246,000. Consequently the costs of the move to Woodbridge would be offset by office rental costs avoided in approximately four years.

Food Operations

Food preparation and service comprise a large resource within the department. Virtually all institutional facilities operated by the department, as well as locally-operated jails and youth group homes, provide food to residents. Over 30,900 meals are prepared and served each day by the department's kitchens. Department-wide there are 239.5 full-time staff positions devoted to carrying out these activities, and

Figure 9

Current and Proposed Regional Assignments Regional Jail Managers



Local Jail Assignments

Region	Current	Proposal 1	Proposal 2	Proposal 3
Western	28	30	28	32
Central	19	—	—	—
Northern	24	23	24	25
East Central	10	23	24	24
Southeast	<u>14</u>	<u>19</u>	<u>19</u>	<u>14</u>
	95	95	95	95

an additional 10 full-time positions in the regional and central offices which train staff and inspect kitchens at the institutions, field units, and learning centers.

The food operations director, the only certified dietician in the department, is located in the central office and is responsible for both adult and youth services food operations. The major responsibilities of the food operations director are:

- providing nutritionally balanced meals, both regular and therapeutic;
- assisting in the establishment of department-wide food services policies;
- reviewing and approving food purchases and kitchen equipment; and
- identifying and assisting in conducting training programs for institutional staff.

The director is also responsible for performing a number of other tasks, such as coordinating with the RAs in establishing priorities and assigning tasks, monitoring purchases of USDA commodities, and preparing all food service reports.

At the correctional institutions there are 140 personnel responsible for food operations. Institutional personnel are responsible for a variety of functions including the planning and preparation of meals, and supervising inmates who cook and serve meals. Institutional personnel are also responsible for controlling inventories and maintaining appropriate health and safety standards.

Regional Food Operations Managers. Overseeing food operations at the regional level are six regional food operations managers -- five in adult service regional offices and one under the assistant director for youth institutions. The adult regional offices each house one regional manager position which is responsible for overseeing food services at all major institutions, field units, and work release centers in the region. The youth services regional food operations manager is responsible for services at the eight learning centers.

Though referred to as regional managers, these positions have no formal line authority or supervisory responsibilities over any personnel. According to DOC policy, the regional managers are co-supervised by the food operations director in the central office and by the respective RAs. In practice, however, the regional managers appear to be primarily supervised by the regional support services managers, although the managers actually carry out their duties with minimal supervision. One regional food operations manager noted that he was physically in the regional office no more than one or two days per month. Another manager did not know that the central office food operations director had any responsibility over him.

Duplication of Inspections. There appears to be extensive duplication of the key functions of the regional food operations managers. For example, six other types of positions in DOC also inspect food preparation and service at facilities for compliance with sanitation and safety standards. These positions include:

- the department's sanitarians,
- the director of food operations,
- the regional administrators,
- the regional support services managers,
- the regional operations and training managers, and
- the institutional food operations managers.

Some DOC staff have acknowledged such duplication. For example, one manager stated, "the regional administrator requested that I not write up my findings because there were too many people inspecting the facilities."

DOC has two sanitarians certified by the Board of Sanitarian Examiners who inspect DOC facilities for compliance with sanitation standards. These positions, along with DOC's chief sanitarian, conduct the inspections required under the *Code of Virginia* §53.1-5. These sanitarians currently inspect each entire facility, including the kitchen, every 45 days, which is more frequently than most public restaurants are inspected. The State Health Department and two local health departments indicated that sanitation inspections at restaurants serving food to the public are scheduled every 120 days.

DOC appears to have adequately staffed the sanitation inspection function by means of the two certified sanitarians. Eliminating the inspections performed by the regional food operation managers would not appear to significantly impact food preparation or service at the facilities, yet it would free up an average of 45 percent of the current managers' time.

Training. Employee training is the second most time-consuming function of the regional food operations managers. Managers reported that they spend 35 percent of their time, on the average, training field unit personnel to supervise food operations. A large part of this training is due to high turnover in the positions assigned to these duties. Regional managers noted that correctional officers frequently resign within a few months of being assigned to food service supervision. The turnover rate in one region, for example, was estimated to be as high as 180 percent annually.

Extensive training is also needed because field unit correctional officers typically have no prior food service experience. By contrast, managing food services at major institutions is assigned to staff specifically hired for their food service expertise, thereby reducing the need for training. They are required to be experienced in inventory control, food preparation, and other aspects of food service. Several field unit superintendents noted that having a qualified food service supervisor could substantially improve their units' food ser-

vices operations and reduce food costs. One superintendent estimated that the equivalent of the supervisor's annual salary would be saved each year. Of the 26 field units operated by the department, only six have a permanently assigned food services supervisor.

Other Duties. A variety of other duties are performed by the regional food operations managers, including coordination of food purchases, menu preparation, personnel selection, and review of equipment purchase requests. These activities on the average take about 15 to 20 percent of the managers' time. At least one of these tasks -- menu preparation -- is a minor duty for the managers, since it is carried out almost entirely by the director of food operations in the central office and the institutional food operations managers. Regional managers primarily assist institutional staff with menus for special diets.

Recommendation. DOC should eliminate the five regional food operations manager positions in the adult services division. The major functions performed by the positions do not appear to be essential and are duplicative of functions performed by other department personnel.

To accomplish this goal, DOC should consider making several changes to ensure adequate food services coverage at the institutions and field units.

The first change to consider is redefining the job description of one security position at each field unit to require prior experience in food service. This would acknowledge current job assignments and ensure that prior food service training is required of all applicants. This would also reduce the need for the extensive on-going food service training currently provided by the regional food operations managers, and would provide for that position to remain in a security classification.

DOC should also consider using the food operations managers at the major institutions to provide technical assistance where necessary to regional field units. Three regions have two food operations manager Bs located at facilities, and the northern region, with only one major institution, has one manager B. According to DOC job descriptions, these positions are equally qualified with the regional food operations managers -- they have the same job descriptions, their skill levels are required to be the same, and they are in the same pay grades. The various minor duties of the regional food service managers, such as reviewing equipment and food purchase requests, could be assumed by the regional support services managers.

Finally, responsibility for the inspection of food services operations could be solely assigned to DOC's two facility sanitarians and the director of food operations. As noted previously, sanitarians currently inspect each field unit, including the kitchen, every 45 days. This frequency and level of inspection appears sufficient and

would eliminate the need for inspections by regional food service managers. In addition, the director of food operations would continue to inspect facilities on a semi-annual basis.

Administrative Support Staff

Each adult services regional office has several positions which provide secretarial and administrative support to the regional staff. Efficiencies in these functions are possible.

Administrative Assistants. In two regional offices, a staff position has been assigned the duties of administrative assistant to the RA. These positions originated from a departmental personnel action in 1980, when both regions' program and planning manager positions were eliminated. Apparently to compensate the northern region for the loss of this position, a corrections planner B position was authorized, at pay grade 10. The regional administrator assigned this position the duties of administrative assistant. The central region was not authorized an additional position. Instead, the regional administrator "borrowed" a clerk stenographer D position, at pay grade 6, from Mecklenburg Correctional Center and assigned administrative assistant duties to the position. Recently the position was returned to Mecklenburg, and a similar position was "borrowed" from Buckingham Correctional Center. Although regional program and planning manager positions were eliminated from the other three regions in 1982, no "compensating" positions were assigned to these regional offices.

The administrative assistant positions were apparently originally intended to take over key responsibilities of the eliminated program manager positions. This intent has not been achieved. In fact, the tasks that have been assigned to the administrative assistants duplicate many tasks that in other regions are assigned to other existing regional positions. For example, in the northern region the position's duties primarily include:

- assisting the regional jail manager with inmate classification and providing technical assistance to local sheriffs;
- acting as the regional office manager by processing all regional staff personnel actions and paperwork; and
- investigating employee grievances.

In the other adult services regional offices, these duties are performed by the regional jail manager, the regional administrator's secretary, and the operations and training manager, respectively.

In the central region, the administrative assistant's duties primarily include:

- conducting background investigations for inmate adjustment committee appeals;
- investigating inmate grievances; and
- coordinating rehabilitation programs at the regional facilities.

The first two activities are performed in other regions by the operations and training managers. Coordination of rehabilitation programs is not assigned to any position in other regions.

While the administrative assistant positions may originally have been intended to compensate for the loss of manager positions, the other three regions have since lost their programming and planning positions with no compensating personnel actions. It would appear that if the other regions, two of which have a significantly heavier workload than either the northern or the central regions, can operate without administrative assistants, the administrative assistant positions are not necessary in the northern and central regions.

DOC should eliminate the two positions serving as administrative assistants to the northern and central adult services regional administrators. These positions perform tasks assigned to manager positions in the other regions, and are located in regions with relatively light workloads. In addition, the remaining three regional administrators appear to function adequately without assistant positions.

Secretarial Support. Each adult services regional office has a complement of three to five secretarial positions. As Table 20 illustrates, this represents an average of one secretarial position for every 2.8 administrative positions, which is a higher ratio than for DOC central office administrative positions.

Some regional manager positions generate little typing. For example, the regional food operations managers spend most of their time out of the regional offices -- one reported being in the office no more than one or two days per month. Consequently, the adult services regional offices appear more heavily staffed with secretaries and clerk-typists than may be necessary. Efficiencies may be possible by pooling secretarial support within the adult service regional offices or by pooling secretarial support between the adult and youth services regional staffs, which are co-located in the same office suites.

DOC should examine the potential for reducing the number of secretarial positions in each adult services regional office. Two secretarial positions in each office should be adequate. As many as nine positions should be eliminated and secretarial pools established with the co-located youth services regional offices.

In conclusion, the regional level of management in adult services appears to be excessively staffed. The central regional

Table 20

SECRETARIAL SUPPORT IN ADULT SERVICES REGIONAL OFFICES*
1983

	<u>Administrative Positions</u>	<u>Secretarial Positions</u>
Western	10.5	4
Central	11.5	3
Northern	11.5	3
East Central	10.5	5
Southeast	9.5	4
	<u>53.5</u>	<u>19</u>

*Regional training specialists counted as half-time positions on adult side.

Source: DOC.

office could be closed through the realigning of regional facilities and operations in adjoining regions, resulting in a reduction of ten positions. As many as 13 additional positions could also be eliminated from the regional level. Table 21 indicates the potential savings. If all these recommendations were implemented, as many as 23 positions and \$501,776 would be cut from the adult services regional offices.

REGIONAL OFFICES OF YOUTH SERVICES

Unlike the adult services division, the five regional offices of the youth services division are not responsible for supervising major residential facilities. Instead, they are chiefly responsible for:

- overseeing youth-serving residential facilities to ensure that they comply with minimum standards;
- assisting and supervising court service unit directors, who in turn manage juvenile probation and aftercare services; and
- developing and monitoring locally-operated delinquency prevention programs.

One position in each regional office handles each of these duties. In addition, a youth services regional administrator supervises the three regional staff positions and has formal authority over directors of State-operated court service units (CSUs) and over State-operated group home directors. Table 22 shows the distribution of positions by region.

Table 21

POTENTIAL ADULT SERVICES REGIONAL OFFICE STAFFING EFFICIENCIES

	<u>Positions</u>	<u>Estimated Savings*</u>
Regional Administrator	1	\$ 39,635
Operations & Training Manager	1	30,339
Support Services Manager	1	30,339
Food Operations Manager	5	116,080
Probation and Parole Manager	1	30,339
Adult Local Jails Manager	1	30,339
Administrative Assistant	2	39,470
Clerk-Typist	11	125,235
Office Rent & Expenses**	--	<u>60,000</u>
TOTAL	23	\$501,776

*Salary estimates based on mid-point of each pay scale, plus 18 percent for fringe benefits. The pay scale of a Clerk Typist B was used for that estimate.

**Based on FY 1983 total operating budget minus estimated salary savings.

Source: JLARC estimates.

Table 22

STAFF POSITIONS IN YOUTH SERVICES REGIONAL OFFICES
July 1983

<u>Position Title</u>	<u>Western</u>	<u>Central</u>	<u>Northern</u>	<u>East Central</u>	<u>South-east</u>
Regional Administrator	1	1	1	1	1
Manager Court Service Unit	1	1	1	1	1
Manager of State and Local Youth Facilities	1	1	1	1	1
Juvenile Delinquency Prevention Specialist	1	1	1	1	1
Regional Training Specialist*	0.5	0.5	0.5	0.5	0.5
Secretarial	<u>2</u>	<u>2</u>	<u>2</u>	<u>2</u>	<u>2</u>
	6.5	6.5	6.5	6.5	6.5

*Position Funded by Academy for Staff Development and Supervised by the RAS.

Source: DOC.

The youth services RAs report to the assistant director for community services, located in DOC's central office. The eight major juvenile residential institutions (learning centers) are supervised by the assistant director for youth institutions, who is located in the central office. Figure 6 illustrates these reporting relationships.

The regional level of management for youth programs pre-dates the adult services regional offices. DOC established regional offices in the early 1970s to supervise State-operated youth homes and to provide technical assistance and consultation to probation houses, juvenile detention homes, and other community-operated residential care programs in which the department participated financially. At that time there were six regional offices -- located in Norfolk, Richmond, Falls Church, Harrisonburg, Roanoke and Abingdon -- each headed by a regional coordinator.

In 1978 one youth services regional office was eliminated, and the remaining offices co-located with the adult services regional offices. Although regional staff for both youth and adult services are housed in the same office suites, they remain almost entirely independent of each other. A regional training specialist position is shared between the youth and adult sides. Secretarial positions and other staff resources are occasionally shared.

JLARC assessed the utilization of staff in the youth services regional offices. The research effort paralleled the review of adult services regional staffs, which was discussed in the prior section. Structured interviews were conducted with individuals in each position under review, and a variety of information was collected and reviewed concerning workload, duties, supervisory responsibilities, and potential efficiencies. The proposed four-region structures were also applied to the youth services regional offices.

Workload of Regional Offices of Youth Services

Current youth service regions, according to DOC's 1978 master plan, evolved from a workload measure which was used to set boundary lines. Workload on the youth side was measured by the number of children received into care at the Reception and Diagnostic Center (RDC) during FY 1977 by locality of origin. The plan went on to say that "among the alternatives considered, [this plan] provides the most equal distribution of population to be served within each region, and would therefore allow for comparable staffing and services in each."

The number of children received by the RDC appears to have little bearing on the workload of the youth services RA, the local facilities manager, or the court service manager. As with the measures used on the adult side, this indicator over-emphasizes the locality of origin. In addition, staff of the youth services regional offices do not provide services directly to children, but rather to facilities

and programs. Consequently, there is little connection between the number of children received at the RDC and the workload of the regional offices.

Youth services regional office staff indicated that regardless of the number of clients served by a subordinate unit or the number of staff it employs, their workload is primarily generated by the unit and its respective administrator. Youth services regional staff, for example, determine a facility's adherence to standards regardless of the number of children or employees in the facility.

A more direct measure of workload appears to be the number of subordinate units under the purview of the youth services regional office staff. Nine of the fifteen (or 60 percent) youth services regional staff indicated they could handle more units without significantly impacting current service levels. By increasing the workload of these positions, DOC could realize substantial savings.

DOC could eliminate one regional youth services office and three youth regional office positions, dividing their units between the four remaining regions. Time spent traveling to each region's subordinate units would increase in some cases, although total travel time spent by these positions statewide would increase by only small amounts, based on JLARC estimates. The savings realized by closing one youth services regional office would significantly outweigh the costs incurred through increased travel time.

Workload of the Court Service Managers

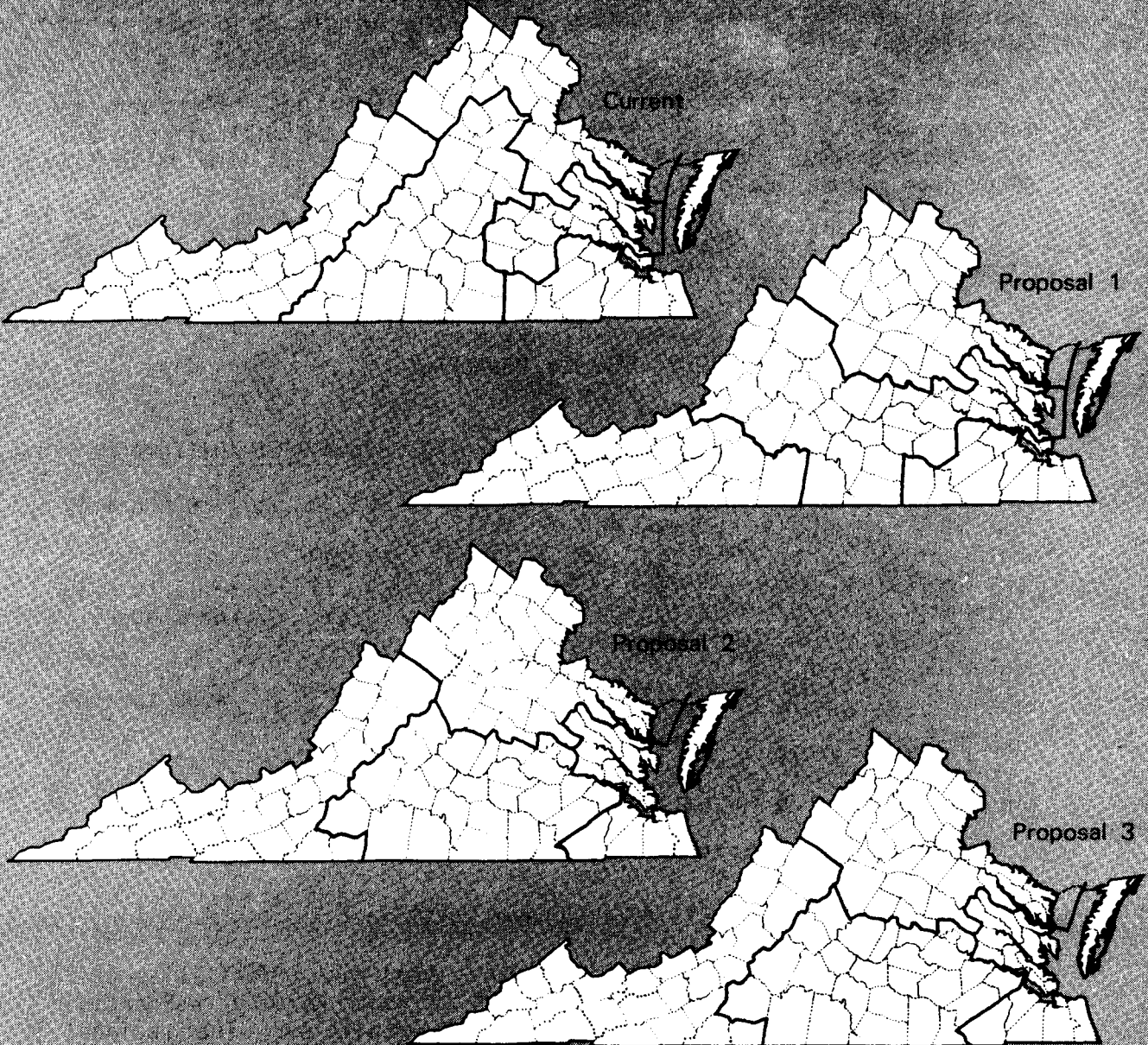
There are 27 State and seven locally operated court service units providing juvenile probation and aftercare services. Staff in the court service units perform intake, supervision, counseling, and general case management services. Juveniles are generally placed on probation or aftercare for an indeterminate period of time. The juvenile court judge must approve the release of a juvenile from probation, while the director of the court service unit approves the aftercare discharge.

Regional managers of court service units review budgets and manpower utilization, ensure units meet certification standards, interpret policy, and help develop programs. The supervision performed by these managers includes selecting and evaluating directors of State-operated court service units. Community relations activities of the managers include contacting and working with local officials, judges, law enforcement agents and other human service providers.

During interviews, regional managers of court service units indicated that seven to nine was the appropriate number of court service units for a manager. Currently, managers are responsible for five to nine units. The proposed four-region structures attempt to balance the number of court service units in each region. The proposed structures are shown in Figure 10, and detailed in Appendix E.

Figure 10

Current and Proposed Regional Assignments Court Services Managers



Court Service Unit Assignments

Region	Current	Proposal 1	Proposal 2	Proposal 3
Western	7	8	8	8
Central	5	—	—	—
Northern	8	9	9	9
East Central	5	8	8	8
Southeast	<u>9</u>	<u>9</u>	<u>9</u>	<u>9</u>
	34	34	34	34

JLARC staff calculated the impact on travel time of eliminating one region. "Proposed" travel time calculations are based on the number of visits currently made to each court service unit by the regional court service managers using the single trip method of calculation.

The "current" and "proposed" time spent by court service managers traveling to the units and back to the regional offices are indicated in Table 23. As illustrated, statewide travel time estimates range from an increase of 0.06 to an increase of 0.09 FTE.

Table 23

CURRENT AND PROPOSED MAXIMUM TRAVEL TIME
COURT SERVICE MANAGERS*
(In FTEs)

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>Proposal 2</u>	<u>Proposal 3</u>	<u>Difference</u>
Western	.30	.27	.32	.32	-.03 to +.02
Central	.06	--	--	--	-.06
Northern	.11	.13	.13	.13	+.02
East Central	.02	.15	.13	.13	+.11 to +.13
Southeast	<u>.17</u>	<u>.17</u>	<u>.17</u>	<u>.17</u>	no change
Statewide Total	.66	.72	.75	.75	+0.06 to +.09

*One FTE = 1,736 hours.

Source: Regional staff; JLARC estimates.

State and Local Youth Facilities Manager Workload

Regional managers of State and local youth facilities primarily provide oversight and supervision to youth-serving residential facilities operated by the State and by localities. The regional managers indicated that statewide, a total of 67 facilities require routine assistance.

The primary duty of these positions is to ensure the facilities' compliance with minimum standards prescribed by the Board of Corrections under *Code of Virginia* §16.3-311 and 312. All five incumbents indicated that they often found noncompliance with standards, and all agreed that on-site supervision of the programs and certification of compliance with the standards were the most important duties of the position. The managers reported that to carry out these duties, they spend at least 20 hours per week in contact with the subordinate facilities.

Three of these regional managers felt they could handle some additional facilities without significantly impacting service delivery to the facilities presently under their supervision. Currently, managers work with 9 to 19 facilities in each respective region. Under JLARC's proposed four-region structures, the regional managers' workload would range from 15 to 21 facilities (Figure 11). Specific facility assignments are shown in Appendix E.

The method used to calculate travel time was similar to the method used for court service unit managers. As illustrated in Table 24, the total time spent in travel statewide would increase by 0.10 to 0.22 FTE.

Table 24

CURRENT AND PROPOSED MAXIMUM TRAVEL TIME
STATE AND LOCAL YOUTH FACILITIES MANAGERS*
(In FTEs)

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>Proposal 2</u>	<u>Proposal 3</u>	<u>Difference</u>
Western	.39	.46	.42	.42	+.04 to +.07
Central	.46	--	--	--	-.46
Northern	.10	.22	.22	.22	+.12
East Central	.35**	.73**	.78**	.78**	+.38 to +.43
Southeast	<u>.18</u>	<u>.20</u>	<u>.20</u>	<u>.20</u>	.02
Statewide Total	1.48	1.61	1.62	1.62	+.10 to .22

*One FTE = 1,736 hours.

**East central region figures include extenuating circumstances which resulted in staff visiting one facility fifteen times per month. Under normal circumstances these figures would be much lower, according to regional personnel.

Source: Regional staff; JLARC estimates.

Youth Services RAs' Workload

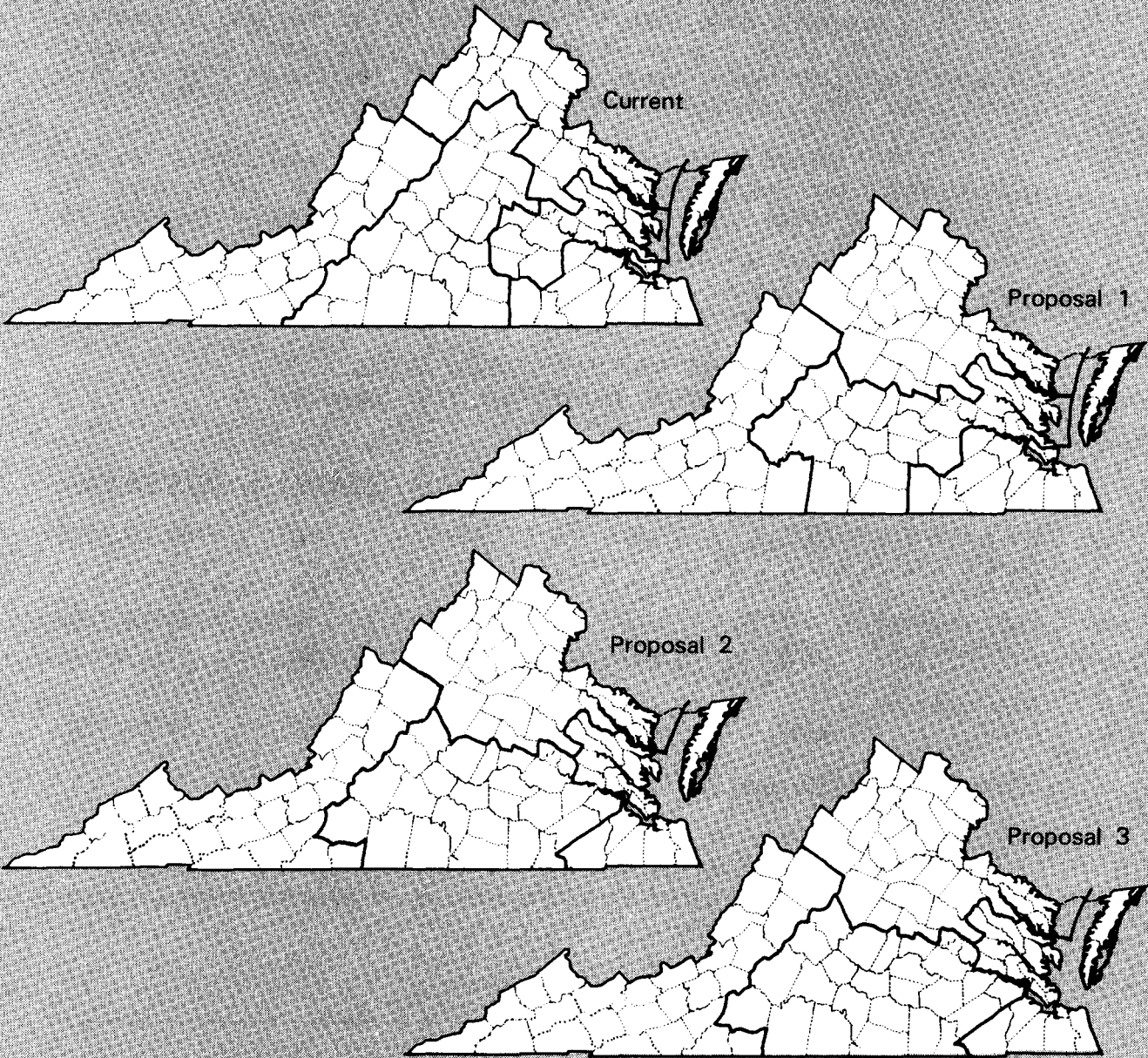
The five regional offices in the youth services division are each headed by a regional administrator (RA). These positions are responsible for direct supervision of the regional office staff, State-operated court service unit directors, and State-operated group home directors. Youth RAs perform several duties in addition to supervision, including:

- establishing a working relationship with judges and local officials;

Figure 11

Current and Proposed Regional Assignments

State and Local Youth Facilities Managers



State and Local Youth Facility Assignments

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>Proposal 2</u>	<u>Proposal 3</u>
Western	14	16	15	15
Central	9	—	—	—
Northern	14	16	16	16
East Central	11	16	16	16
Southeast	<u>19</u>	<u>19</u>	<u>20</u>	<u>20</u>
	67	67	67	67

- interpreting departmental and divisional guidelines;
- conferring with the deputy director, other department officials, and local citizens concerning the changing needs of youth;
- other duties as assigned by the deputy director of youth services; and
- evaluating and visiting regional programs and facilities.

An important contribution of the youth services regional administrator position stems from its location between the assistant director for community services and the regional managers. This location means that the RA serves as the regional focus of communication with the DOC central office, and as a channel for the interpretation of departmental and divisional policy and guidelines. The assistant director indicated that this arrangement also facilitates his supervision of regions, because he can hold one person accountable for all activities in each region.

Youth services RAs serve as a link for coordination between localities and DOC. Most RAs indicated that they assist managers in resolving problems with localities, which is important because many of the programs are administered by the localities. Local facility managers have extensive contacts with local officials, for example, since many of the facilities they oversee are funded and administered by localities.

The youth services RAs' span of control covers the youth regional managers and the State-operated facilities and units which they assist. Under the four-region proposal, youth services RA workloads would increase in proportion to the increased workloads of each manager. During JLARC interviews, four of the five youth services RA's indicated that they could handle an increased number of facilities.

Travel time statewide for the RAs would remain virtually unchanged. Table 25 represents the maximum time spent traveling by RAs currently and under the proposed four-region structures.

DOC should eliminate the central regional office of youth services, and divide the region's facilities and programs among the remaining four regions. As proposed, this realignment could occur with only a relatively small impact on the statewide travel time of the remaining regional youth services staff.

Juvenile Delinquency Prevention Specialists

The Delinquency Prevention and Youth Development (DP&YD) Act, *Code of Virginia §53.1-250 et seq.*, authorizes the department director to make grants to counties and cities for the purposes of (1) promoting efficiency and economy in the delivery of youth services, and (2)

Table 25

CURRENT AND PROPOSED MAXIMUM TRAVEL TIME
 YOUTH SERVICES REGIONAL ADMINISTRATORS*
 (In FTEs)

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>Proposal 2</u>	<u>Proposal 3</u>	<u>Difference</u>
Western	.20	.21	.21	.21	+.01
Central	.05	--	--	--	-.05
Northern	.04	.06	.06	.06	+.02
East Central	.05	.11	.13	.13	+.06 to +.08
Southeast	<u>.09</u>	<u>.09</u>	<u>.09</u>	<u>.09</u>	no change
Statewide Total	.43	.47	.49	.49	+.04 to .06

*One FTE = 1,736 hours

Source: Regional staff; JLARC estimates.

providing support to localities "seeking to respond positively to the growing rate of juvenile delinquency." In the current year, \$732,730 is appropriated to the program. These funds are used to reimburse up to 75 percent of the total local program budget. There are 21 local programs receiving funds under the Act (Table 26), for an average annual grant of about \$35,000.

DOC has a total of six positions titled juvenile delinquency prevention specialist, five of which are located in the regional offices. These positions primarily monitor existing local programs and

Table 26

STATE-FUNDED DELINQUENCY PREVENTION PROGRAMS

<u>Region</u>	<u>Number of Programs</u>
Western	8
Central	4
Northern	3
East Central	4
Southeast	<u>2</u>
Total	21

Source: DOC.

work with localities to develop new programs. Under standards adopted by the Board of Corrections, regional specialists meet quarterly with local program personnel to monitor compliance with regulations and with the statutory requirements. Regional specialists also provide technical assistance to the local programs.

Two additional positions are associated with the program. A juvenile delinquency prevention specialist position located under the assistant director for youth community services in the central office provides general oversight and coordination for the entire program. A finance officer under the resources management directorate in the central office spends part of his time handling financial transactions with the local programs.

Regulations adopted by the Board of Corrections require that the local programs include six elements in order to qualify for State funds:

- Conduct at least every five years an assessment of the needs of youth in the area.
- Develop an annual comprehensive plan which states objectives for promoting a positive youth environment and preventing delinquency.
- Promote interagency coordination through working agreements with other youth-serving agencies.
- Ensure that a public education program related to the needs of youth is conducted.
- Maintain a directory of youth resources in the area.
- Ensure the provision of a telephone information and referral service 40 hours a week.

Most local programs also provide a variety of additional activities. These range from advocating the increased use of community diversion by court service units, to helping establish neighborhood recreation centers, to placing kids in part-time jobs. Table 27 highlights some of the activities sponsored by the local programs.

The DP&YD program could be adequately administered with fewer DOC staff positions. Four of the five DOC regional specialists said they could handle more local programs without significantly affecting their existing workload. The essential work of the positions requires a total of 2.21 FTEs, according to the department. The delinquency prevention specialists also monitor 19 VISTA sites under an agreement with the federal ACTION agency. According to DOC, VISTA monitoring requires 0.35 FTE. Consequently, 2.56 FTEs are required for essential duties under the DP&YD Act and the VISTA program (Table 28).

Table 27

SELECTED HIGHLIGHTS OF DELINQUENCY
PREVENTION PROGRAMS
August, 1983

Newport News	Mayor's Youth Commission; Service System Forum; Rent-a-Teen (75 placements); Teen Pregnancy Issues Coalition.
Richmond	Comprehensive Youth Employment Project with Chamber of Commerce; Youth Week; Evaluative Criteria for 63 Working Agreements; Legislative Advocacy.
Lynchburg	School Drop-out Prevention Project; Middle & Elementary School Resource Counselor Project (400 clients); School & Court Intake Diversion Counseling (100 clients); Employment Skills Seminars
Alexandria	Coordinating Council of Youth Serving Agencies; Youth Advocacy Issues and Position Papers; Court Diversion Unit (120 clients); Job Club (450 job referrals); Executive Forum; Parent/Youth Empowerment Model
Pittsylvania County	Coordinate Emergency Shelter Care System; Direct Counseling (75 clients); Speaker's Bureau; Youth Employment Project
Roanoke	Neighborhood Partnership Program in Schools; Reviews and Critiques of all Roanoke City's youth related projects and grants
Charlottesville/ Albemarle County	School Dropout Tracking and Services; Professional Training Forums; Privately Funded Youth Employment Program (200 job placements)
Colonial Heights	Youth Advisory Council's Skating Rink; Fund Raising Project; Concerned Parents Organization; Child Abuse and Neglect Theatrical Project

Source: DOC.

Table 28

STAFF TIME REQUIRED FOR
DELINQUENCY PREVENTION SPECIALISTS

<u>DP&YD Act</u>	<u>FTE Required</u>
Monitoring	0.39
Certification, Evaluation, Application & Budgetary Supervision	0.20
Technical Assistance	1.17
State Level Supervision	0.45
<u>VISTA Site Monitoring</u>	<u>0.35</u>
Total	2.56

Source: DOC Response to JLARC Staff Report, January 27, 1984.

The department has assigned these duties to 6.0 FTE positions, which appears excessive. Three positions should be sufficient to carry out the essential duties under the DP&YD Act, to monitor the VISTA programs, and to perform additional assistance and development activities.

Additional economies may be available. For example, while monitoring is required under the Act, the policy of conducting quarterly monitoring was set by the Board of Corrections. A lesser monitoring requirement would mean an even lower level of staffing for the delinquency prevention program.

According to prevention specialists, most of their time is spent developing new local programs. These efforts have had some success, since three new programs have received State funding since 1982. Several localities currently appear interested in starting delinquency prevention programs and applying for State funds. However, funds have not always been available for additional programs. Consequently this aspect of the specialists' work, from a State perspective, may be optional when additional funding is unavailable.

It would appear that a reduction of as many as three regional positions could be achieved without significantly affecting the program. Eliminating the three positions could save approximately \$76,146 per year. Funding associated with the eliminated positions could be used for new local programs or returned to the general fund.

Secretarial Staff

Each regional office of youth services has two full-time secretarial positions. In at least one region this level of staffing appears excessive, as one secretarial position in the northern region actually works for the adult services community diversion specialist. Although this position will be reduced to a half-time youth services position in July 1984, it appears that the youth side does not currently generate sufficient work to justify the position.

This example suggests that two secretarial positions for four management positions in each regional office may be excessive. The regional administrator, managers, and prevention specialists do not generally generate extensive typing and filing requirements. In fact, according to the incumbents, two manager positions are out of the regional office a minimum of two days per week, which usually reduces the amount of typing to be done.

The recommended elimination of three delinquency prevention specialists would further reduce the need for secretarial support in the regional offices. With only two manager positions and the youth services RA remaining, one full-time secretarial position should be sufficient. Eliminating one secretary in each youth services regional office would represent a reduction of five positions, for an annual savings in salaries and fringes of approximately \$56,925.

In conclusion, it appears that the central regional office of youth services could be eliminated with only minimal impact on programs and on travel time statewide. This would result in a reduction of six positions, a savings in salaries and fringes of approximately \$148,465, and additional savings in office expenses of approximately \$40,000 annually. Three regional delinquency prevention specialist positions could be eliminated, for a savings of \$76,146. Five secretarial positions could also be abolished, for a savings of approximately \$56,925. The net effect of these actions would be a reduction of 12 positions from the youth services regional offices, and an annual savings of approximately \$284,769.

CONCLUSIONS AND RECOMMENDATIONS

Establishment of the regional level of management has addressed important management objectives. These objectives include reducing top management's span of control, decentralizing some decision-making authority, improving uniformity and compliance, and reducing travel time needed to monitor operations and activities at facilities and programs. On the adult services side, three regional positions have been key to these improvements: the regional administrators, the regional managers of operations and training, and the regional managers of support services. The regional food operations managers do not appear to make a unique contribution, however.

The regional offices of the youth services division appear to have more staff positions than necessary to carry out the major tasks of the division. Functions required under the Delinquency Prevention and Youth Development Act as well as VISTA monitoring could be adequately handled by three positions instead of the six currently assigned to the program. The current level of secretarial staffing in the regional offices also appears excessive.

A review of regional workloads concluded that DOC could eliminate the central regional office. This action would help resolve current imbalances in regional workloads. Travel time would change only slightly statewide, and would be more than offset by a total savings of approximately \$466,826 annually.

If all recommended efficiencies were achieved, as many as 43 positions would be eliminated at an annual savings of approximately \$883,474 in salaries, fringes, and related expenses (Table 29).

Recommendation (6). DOC should eliminate one adult services and one youth services regional office and redistribute the workload among the remaining regions. Priority consideration should be given to balancing the workload of the regions with travel time incurred by the regional staff, and secondly to equalizing the number of facilities in each region. Consideration should be given to the proposals discussed in this chapter.

Recommendation (7). The five regional food operations manager positions in the adult services division should be eliminated. In conjunction with the elimination of these positions, DOC should consider (1) redefining the job description of one security position at each field unit to require prior food service experience; (2) assigning the food operations managers at the major institutions the responsibility of providing technical assistance to the regional field units; (3) assigning responsibility for the inspection of food service operations to DOC's two facility sanitarians and the director of food operations; and (4) delegating the remaining duties of the regional managers, such as reviewing equipment and food purchase requests, to the regional support services managers.

Recommendation (8). DOC should eliminate the two positions serving as administrative assistants to the northern and central adult services regional administrators. These positions perform tasks assigned to manager positions in the other regions, and are located in regions with relatively light workloads. In addition, the remaining three regional administrators appear to function adequately without assistant positions.

Recommendation (9). DOC should eliminate three regional juvenile delinquency prevention specialist positions.

Recommendation (10). Each adult services regional office should have only two secretarial positions. Reductions to only one

Table 29

Potential DOC Staff Efficiencies

	Estimated Position Reductions	Estimated Annual Savings ¹
CENTRAL OFFICE POSITIONS		
Program Development & Evaluation Manager	2	\$60,678
Enterprises Planning & Development Manager	1	36,251
Classification & Parole Administration (P-14 positions)	5	NA ²
SUBTOTAL	8	\$96,929
ADULT SERVICES REGIONAL POSITIONS		
Regional Administrator	1	\$ 39,635
Operations & Training Manager	1	30,339
Support Services Manager	1	30,339
Food Operations Manager	5	116,080
Probation and Parole Manager	1	30,339
Regional Jail Manager	1	30,339
Administrative Assistant	2	39,470
Clerk-Typist	11	125,235
Office Rent & Expenses ³	—	60,000
SUBTOTAL	23	\$501,776
YOUTH SERVICES REGIONAL POSITIONS		
Regional Administrator	1	\$ 39,635
Court Service Manager	1	30,339
State & Local Youth Facilities Manager	1	30,339
Delinquency Prevention Specialist	3	76,146
Clerk Typist	6	68,310
Office Rent & Expenses ³	—	40,000
SUBTOTAL	12	\$284,769
TOTAL	43	\$883,474

¹Salary estimates based on mid-point of each pay scale, plus 18 percent for fringe benefits. The pay scale of a Clerk Typist 8 was used for that estimate.

²Savings data unavailable as costs related to training and lower productivity could not be estimated.

³Based on FY 1983 total operating budget minus estimated salary savings.

Source: JLARC estimates.

secretarial position in each youth services regional office should also be accomplished. DOC should consider pooling secretarial staffs between youth and adult services regional offices.

IV. APPENDIXES

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APPENDIX A

APPROPRIATIONS ACT (HB 30)
PASSED BY THE 1984 SESSION

- Item 545.1. Pursuant to Section 30-58.1, *Code of Virginia*, the Joint Legislative Audit and Review Commission is directed to conduct a study of manpower utilization in the Department of Corrections. The study shall examine the utilization and need for existing or anticipated central office and regional staff. An interim report shall be submitted to the Governor and the General Assembly prior to the 1984 Session. Other parts of the study, to be completed prior to subsequent sessions, shall include a review of security and non-security manpower, plans to increase manpower in relation to projected growth in the adult inmate population, and the effectiveness of the Department's capital outlay planning process and prison design. The final report to the Governor and General Assembly shall be submitted prior to the 1986 Session and shall include recommendations for improved manpower and facilities utilization.
- Item 621.1. Pursuant to Section 30-58.1, *Code of Virginia*, the Joint Legislative Audit and Review Commission is directed to conduct a study of manpower utilization in the Rehabilitative School Authority. The study shall be accomplished in conjunction with the manpower utilization study of the Department of Corrections. An interim report shall be submitted to the Governor and General Assembly prior to the 1984 Session and a final report with recommendations for improved manpower facilities utilization prior to the 1986 Session.

APPENDIX B

POSITIONS IN DOC AUTHORIZED BY STATUTE AND CASE LAW

<u>Positions (Number Prescribed)</u>	<u>Citation</u>	<u>Provisions</u>
Correctional officers (Increase by 50), and Treatment staff (Increase unspecified)	<u>Stotler v. Lukhard (#292-70-R)</u>	Challenge to overall living conditions at Southside State Farm (now Powhatan Correctional Center).
Medical Staff (Increase unspecified)	<u>Ferebee v. Brown (#095-72-R)</u>	Challenge to quality of medical services at Southside State Farm and Penitentiary
Correctional officers (increase by 121)	<u>Nelson v. DeHart (#73-422-R)</u>	Challenge to overall living condi- tions at Penitentiary.
Director of Corrections (1)	Section 53.1-8, 9	Department of Corrections to be under management and supervision of the Director. Appointment by Governor to a term coincident with that of the Governor and to serve at the Governor's pleasure.
Additional Staff (Discretionary)	Section 53-1-10	Director to employ "such personnel as may be necessary to carry out provi- sions of Title 53.1," within the limits of appropriations.
Heads of divisions and regional offices (Discretionary)	Sections 53.1-12	Director to establish such divisions and regional offices "as may be neces- sary" and appoint heads thereof in accord with Personnel Act.
Internal Investigations Unit (Discretionary up to 7)	Section 53.1-16	Director may designate the supervisor and no more than six members of the internal investigations unit to have same powers as law enforcement officer in investigations of allegations of criminal behavior affecting Department operations.
Architects (Discretionary)	Section 53.1-19	Director may employ "architects and other experts or hold competitions for plans and designs" of facilities.
Physicians (Discretionary)	Section 53.1-33	Licensed physician required to examine each person received into custody.
Court Service Unit Staff (Discretionary)	Section 16.1-233	Director empowered to establish court service units and to "appoint such employees as he may find necessary to carry out properly the responsibil- ities of the Department" for such units.
State and Local Youth Facilities Manager (Discretionary)	Section 16.1-311, 312	Board directed to prescribe minimum standards for youth-serving resi- dential facilities, Board or its agents authorized to visit and inspect such facilities.

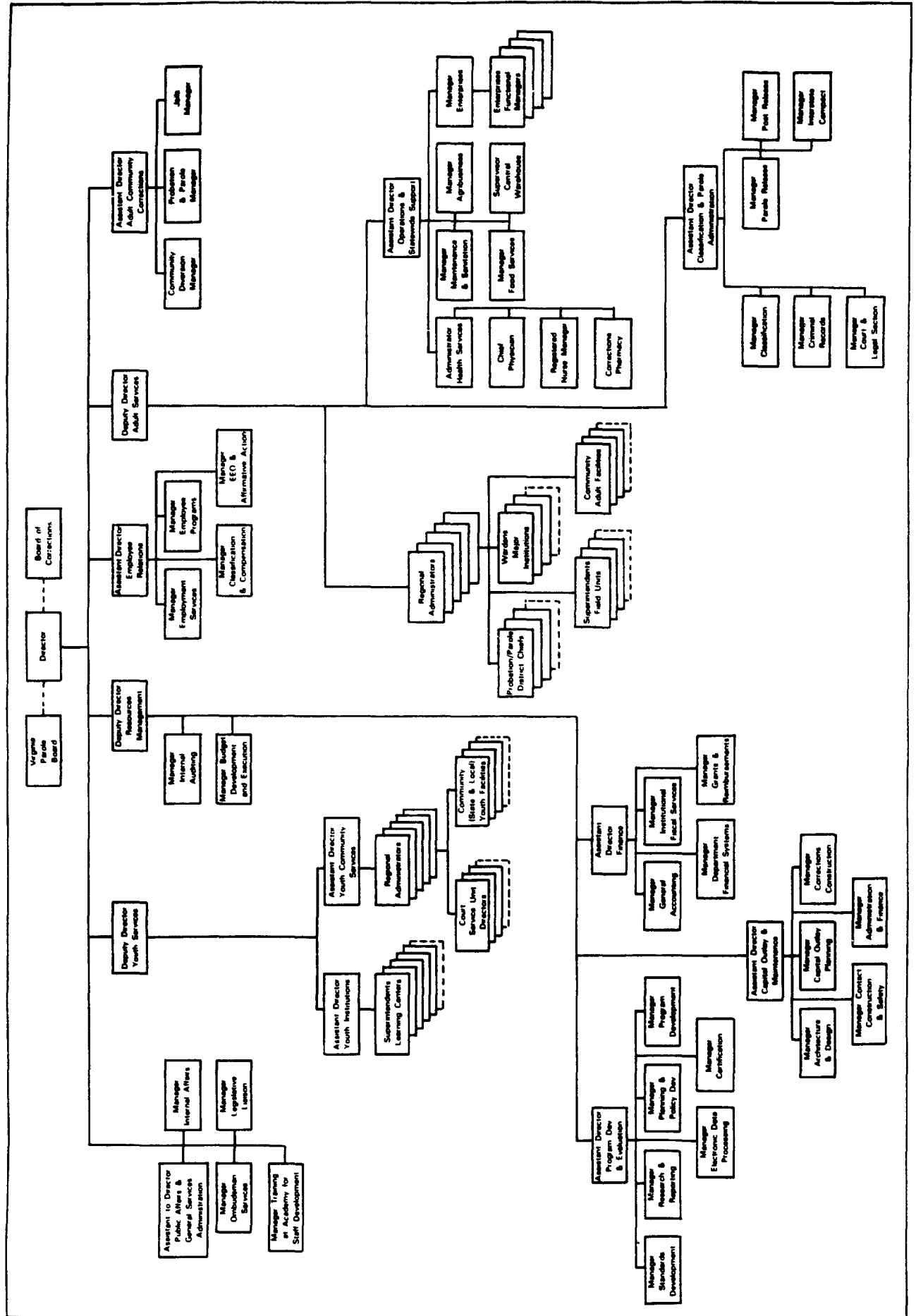
APPENDIX B
(continued)

POSITIONS IN DOC AUTHORIZED BY STATUTE AND CASE LAW

<u>Positions (Number Prescribed)</u>	<u>Citation</u>	<u>Provisions</u>
Compact Administrator (1)	Section 16.1-325	Governor authorized to designate an officer to be administrator of the interstate compact relating to juveniles, Section 16.1-323.
Parole Board (5)	Section 53.1-134	Parole Board to consist of five members appointed by the Governor to staggered terms. Board "shall function as part of the Department of Corrections."
Secretary of Parole Board (1)	Section 53.1-135	Parole Board may elect one of its members or some other person to act as Secretary of the Board.
Probation and Parole Officer (Minimum of one per district--38 districts currently)	Section 53.1-142	At least one probation and parole officer required in each parole district.
Halfway House Staff (Discretionary)	Section 53.1-177	Director "authorized to employ necessary personnel for these facilities".
Youth Facility Staff (Discretionary)	Section 53.1-237,247	Department authorized to establish, staff, and maintain facilities for the rehabilitation, training, and confinement of children committed to the Department. Superintendents of such facilities authorized.
Behavioral Services Unit Director (1)	Section 53.1-244	Department to employ as director of the unit "a clinically competent person," and such other medical, technical, and clinical personnel skilled in the treatment of physical and mental diseases of children as may be desirable for the operation of such unit."
Delinquency Prevention and Youth Development (Discretionary)	Section 53.1-251	Director authorized to appoint necessary agents to carry out programs.
Correctional officers (increase by 70), and Treatment staff (Increase unspecified)	<u>Cagle v. Hutto</u> (#80-0156-R)	Challenge to overall living conditions at Powhatan Correctional Center.
Mental Health Physican (1)	<u>Brown v. Procnier</u> (#81-0853-R)	Challenge to living conditions at Mecklenburg Correctional Center.

*Section citations are to *Code of Virginia*. Case citations are to U.S. District Court docket numbers.

Virginia Department of Corrections



APPENDIX D

AUTHORITY DELEGATED TO ADULT SERVICES REGIONAL ADMINISTRATORS

<u>Subject</u>	<u>Reference*</u>	<u>Provision</u>
Personnel	DP 5-7.6(4)	"The appropriate RA may disapprove an intra-divisional transfer or demotion...."
Personnel	DP 5-7.12(b)	"Appointment of an applicant who was previously employed by the Department must be approved by the appropriate RA."
Personnel	DP 5-11.6(d)	"any employee other than central office employees may be removed, suspended, demoted or transferred with the written approval of the RA."
Personnel	DP 5-40.3	"Temporary transfers of positions between units must be approved by the RA...."
Employee Grievances	DP 5-17.6	"The third step shall be heard as follows: -- in central office units by appropriate assistant director or chief of operations -- in all other instances, by the RA."
Inmate Grievances	DP 4-14.6	"Level 3 - RA... this is the last level of appeal (except in special cases)."
Budgeting	DP 6-15	RA to approve all fund transfers between units, and may be designated by the Deputy Director to approve fund transfers between programs within a unit.
Purchasing	DP 7-15 Attachment #1	RA approves all purchases over \$5000 made by field units, major institutions, learning centers, CSU's, P&P offices, state-operated community youth homes, and purchases over \$500 for regional offices.

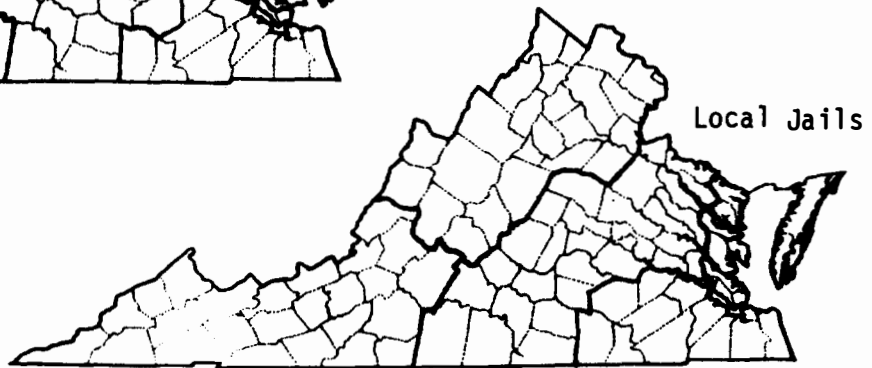
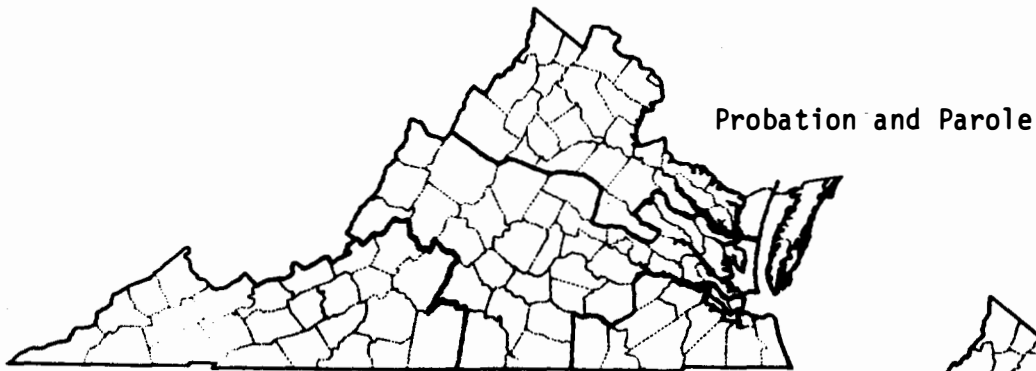
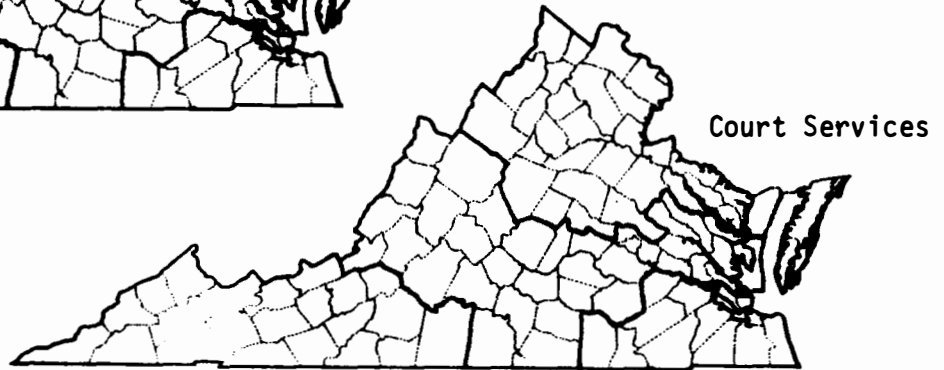
APPENDIX D
(Continued)

<u>Subject</u>	<u>Reference*</u>	<u>Provision</u>
Policy	DP 1-3.3	"Whenever a RA finds it necessary to issue, modify, or suspend policy quickly and/or temporarily, he/she may do so in the form of a Policy Memorandum."
Inmate Discipline	DGL 861 J-4(i)	"If an inmate appeals (adjustment committee decisions) to the RA, the RA shall investigate and render a decision no later than 30 working days after receipt." (formerly responsibility of Deputy Director for Adult Services)
Inmate Transfers	DGL 444(c)	"the regional administrator may (emergency) transfer inmate provided the coordinator is contacted as soon as possible. The authorizing RA will be held responsible for assuming this authority...." (previously was the authority of a major institution or regional superintendent)
Inmate Transfers	DGL 825 E	"The RA may authorize the transfer of a prisoner from one institution to another within each respective region based on program and security considerations. Such transfers will <u>not</u> be subject to review and approval by the CCB." (previously was authority of associate director and regional superintendents)

*References are the Adult Services division guidelines (DGL) and department policy (DP).

Source: DOC

JLARC REGIONAL PROPOSAL ONE



Proposal one defines separate regional boundaries for each of the community-based functions carried out by DOC. This proposal results in the most equally balanced workload distribution within each function and requires the smallest increase in travel time.

APPENDIX E

REGIONAL ASSIGNMENTS FOR PROBATION AND PAROLE
UNDER PROPOSAL 1

Western Region - 9 districts

District 14 - Danville
15 - Roanoke
16 - Wytheville
17 - Abingdon
18 - Wise
20 - Bedford
22 - Collinsville
28 - Christiansburg
37 - Rocky Mount

Northern Region - 10 districts

District 10 - Arlington
11 - Front Royal
21 - Fredericksburg
25 - Warrenton
26 - Culpeper
29 - Fairfax
33 - Warsaw
35 - Manassas
36 - Alexandria
39 - Harrisonburg

East Central Region - 10 districts

District 1 - Richmond
5 - Urbanna
7 - Petersburg
9 - Charlottesville
12 - Staunton
13 - Lynchburg
24 - Farmville
27 - Chesterfield
32 - Henrico
34 - Williamsburg

Southeast Region - 9 districts*

District 2 - Norfolk
3 - Portsmouth
4 - Accomack
6 - Suffolk
19 - Newport News
23 - Virginia Beach
30 - Hampton
31 - Chesapeake
38 - Emporia

Note: New District assignments are underlined.

*No change from current probation and parole district responsibility.

Source: JLARC

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR LOCAL JAILS
UNDER PROPOSAL 1

WESTERN REGION - 30 Jails

Counties
Alleghany
Bedford
Bland
Botetourt
Buchanan
Carroll
Dickenson
Floyd
Franklin
Giles
Grayson
Henry
Lee
Montgomery
Patrick
Pulaski
Roanoke
Russell
Scott
Smyth
Tazewell
Washington
Wise
Wythe

Cities
Bristol
Clifton Forge
Radford
Roanoke
Martinsville

Jail Farms
Martinsville

NORTHERN REGION - 23 Jails

Counties
Albemarle/Charlottesville
Arlington
Amherst
Augusta
Bath
Clarke
Culpeper
Fairfax
Fauquier
Frederick
Highland
Loudoun
Nelson
Orange
Page
Prince William

Cities
Alexandria
Fredericksburg/Rappahannock

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR LOCAL JAILS
UNDER PROPOSAL 1

<u>Rockbridge</u>	
Rockingham	
Shenandoah	
Stafford	
Warren	
<u>EAST CENTRAL - 23 Jails</u>	
<i>Counties</i>	<i>Cities</i>
<u>Appomattox</u>	<u>Danville</u>
<u>Campbell</u>	<u>Lynchburg</u>
<u>Caroline</u>	Petersburg
<u>Chesterfield</u>	Richmond
Essex	Williamsburg
<u>Halifax</u>	
<u>Hanover</u>	
<u>Henrico</u>	<i>Jail Farms</i>
<u>Louisa</u>	<u>Danville</u>
<u>Lunenburg</u>	Petersburg
<u>Mecklenburg</u>	
<u>Nottoway</u>	
<u>Pittsylvania</u>	
<u>Prince Edward</u>	
<u>Richmond</u>	
<u>Westmoreland</u>	
<u>SOUTHEAST REGION - 19 Jails</u>	
<i>Counties</i>	<i>Cities</i>
Accomac	Chesapeake
<u>Brunswick</u>	Hampton
<u>Dinwiddie</u>	Newport News
Greenville	Norfolk
<u>Lancaster</u>	Portsmouth
<u>Middle Peninsula RSC</u>	Suffolk
<u>Northampton</u>	Virginia Beach
<u>Northumberland</u>	
<u>Southampton</u>	
Sussex	<i>Jail Farms</i>
<u>York</u>	Newport News

Note: New jail assignments are underlined.

Source: JLARC

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR COURT SERVICE UNITS
UNDER PROPOSAL 1

Western Region - 8 units

Unit 21 - Martinsville
22 - Rocky Mount
23 - Salem
23A- Roanoke
27 - Pulaski
28 - Abingdon
29 - Pearisburg
30 - Wise

Northern Region - 9 units

Unit 15 - Fredericksburg
16 - Charlottesville
17 - Arlington
18 - Alexandria
19 - Fairfax & Falls Church*
20 - Warrenton & Leesburg
26 - Winchester
31 - Manassas

East Central Region - 8 units

Unit 9 - Providence Forge
10 - Appomattox
11 - Petersburg
12 - Chesterfield
13 - Richmond
14 - Henrico County
24 - Lynchburg
25 - Staunton

Southeast Region - 9 units**

Unit 1 - Chesapeake
2 - Virginia Beach
2A- Accomac
3 - Portsmouth
4 - Norfolk
5 - Franklin
6 - Hopewell
7 - Newport News
8 - Hampton

Note: New Unit assignments are underlined.

*Actually represents two different court service units.

**No change from current court service unit responsibility.

Source: JLARC staff

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS
OF STATE AND LOCAL YOUTH FACILITIES
UNDER PROPOSAL 1

Western Region - 16 units

Discovery House, Roanoke	Abraxas House, Staunton
Youth Haven, Roanoke	Shenandoah Detention Home, Staunton
Roanoke Sanctuary	Waynesboro Group Home
Abingdon Group Home	Roanoke Outreach Detention Home
Wise Group Home	
Highlands Detention Home, Bristol	
New River Valley Detention Home, Christiansburg	
Roanoke Detention Home	
Russell Co. Group Home	
<u>Gateway Boys Home, Jonesville</u>	
<u>Anchor House I, II, Martinsville</u>	
<u>W.W. More Home for Juveniles, Danville</u>	

Northern Region - 16 units

Arlington Community Youth Home	Fairfax Detention Outreach
Braddock House, Winchester	Prince William Detention Outreach
Fairfax Girl's Community Youth Home	Braddock FOG Home, Winchester
Loudoun Emergency Shelter Home	<u>Boys and Girls Attention Homes, Charlottesville</u>
Fairfax Boys Probation Home	
Northern Virginia Detention Home, Alexandria	
Rappahannock Detention Home, Fredericksburg	
Prince William Detention Home, Fairfax	
Fairfax Less Secure Detention Home	
<u>Charlottesville Family Group Home System</u>	
Northern Neck Group Home, Warsaw (proposed)	
Fairfax County Juvenile Detention Center	

East Central Region - 16 units

Exodus House, Richmond
Crossroads, Williamsburg
Stepping Stone, Richmond
Oasis House, Richmond
Henrico Post-Dispositional Program, Henrico
Richmond Group Home System
Yorktown Family Group Home System

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS
OF STATE AND LOCAL YOUTH FACILITIES
UNDER PROPOSAL 1

Chesterfield Detention Home
Richmond Detention Home
Henrico Detention Home
Henrico Emergency Shelter Home
Crossroads, Lynchburg
Opportunity House, Lynchburg
SPARC, Lynchburg
Lynchburg Detention Home
Southside Regional Group Home, South Boston

Southeast Region - 19 units

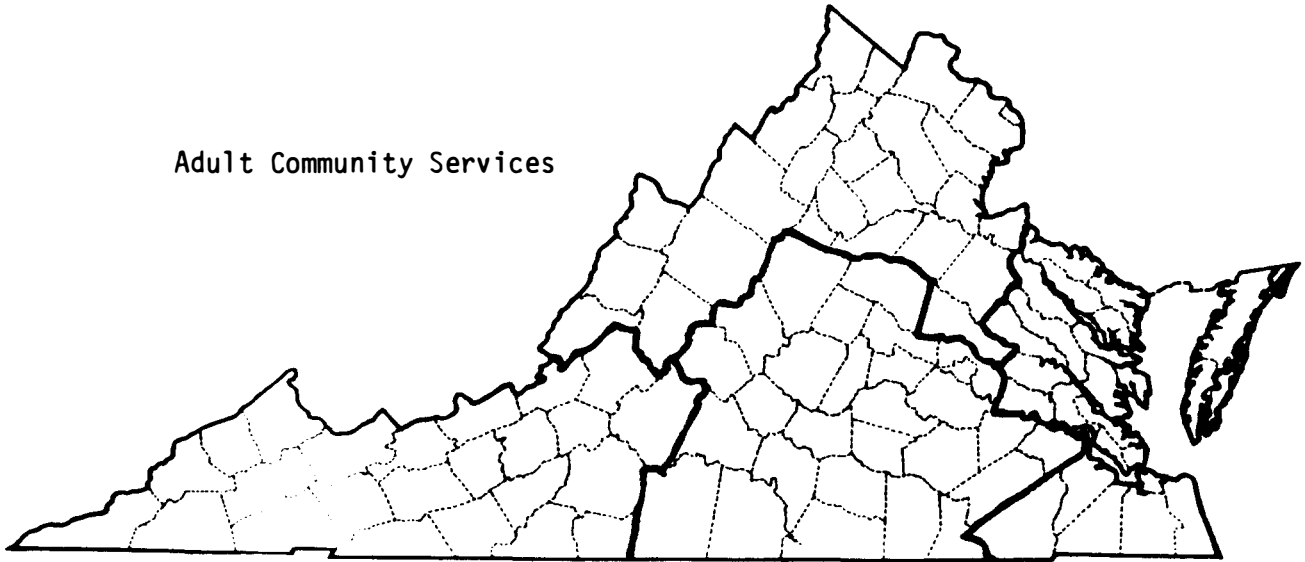
Hampton Place, Norfolk	Newport News Detention Outreach
Chesapeake Boy's Home	Norfolk Detention Outreach
Lake House, Norfolk	Virginia Beach Regional Group Home
Portsmouth Boy's Home	Kempsville Place, Norfolk
Stanhope House, Norfolk	Truxton - Paige Group Home, Norfolk
Crisis Intervention Home, Virginia Beach	Virginia Beach Less Secure Detention Home
Pendleton Child Service Center, Virginia Beach	
Centerville Group Home, Chesapeake	
Crater Detention Home, Disputana	
Newport News Detention Home	
Norfolk Detention Home	
Tidewater Detention Home	
Newport News Less Secure Detention	

Note: Underscored facilities are new assignments to the region.

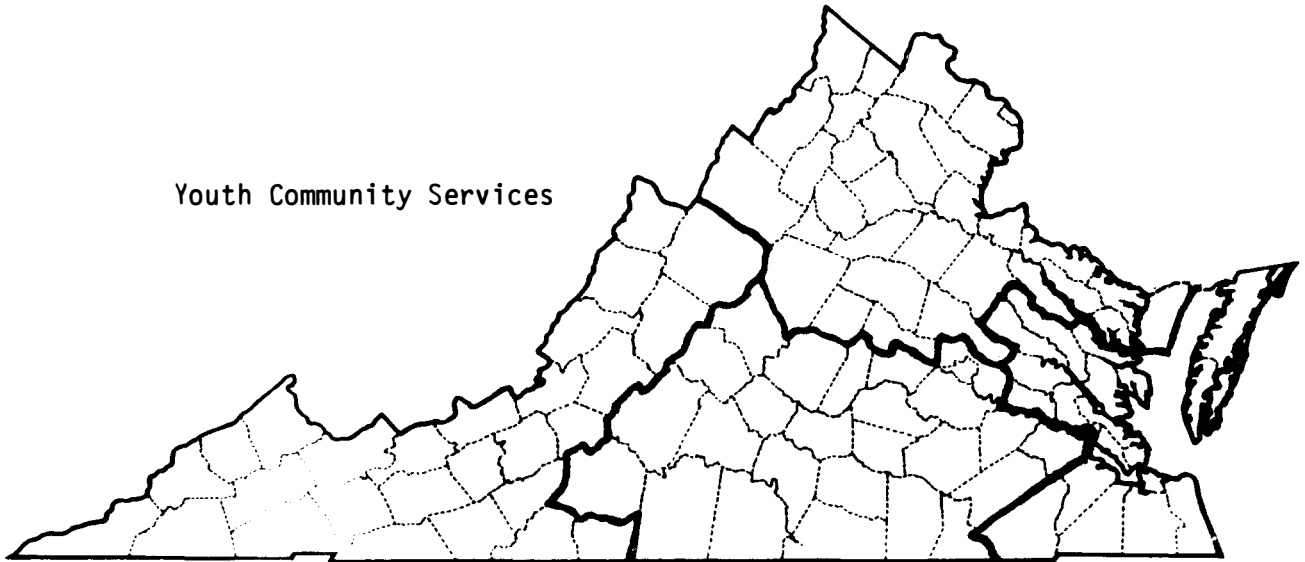
Source: JLARC

JLARC REGIONAL PROPOSAL TWO

Adult Community Services



Youth Community Services



Proposal two defines four regions with coterminous boundaries for adult community services and four regions with coterminous boundaries for youth community services. Of the three proposals, proposal two achieves the most balanced workload between regions.

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR PROBATION AND PAROLE
UNDER PROPOSAL 2

Western Region - 8 districts

District 15 - Roanoke
16 - Wytheville
17 - Abingdon
18 - Wise
20 - Bedford
22 - Collinsville
28 - Christiansburg
37 - Rocky Mount

Northern Region - 10 districts

District 10 - Arlington
11 - Front Royal
12 - Staunton
21 - Fredericksburg
25 - Warrenton
26 - Culpeper
29 - Fairfax
35 - Manassas
36 - Alexandria
39 - Harrisonburg

East Central Region - 9 districts

District 1 - Richmond
7 - Petersburg
9 - Charlottesville
13 - Lynchburg
14 - Danville
24 - Farmville
27 - Chesterfield
32 - Henrico
38 - Emporia

Southeast Region - 11 districts

District 2 - Norfolk
3 - Portsmouth
4 - Accomack
5 - Urbanna
6 - Suffolk
19 - Newport News
23 - Virginia Beach
30 - Hampton
31 - Chesapeake
33 - Warsaw
34 - Williamsburg

Note: New District assignments are underlined.

Source: JLARC

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR LOCAL JAILS
UNDER PROPOSAL 2

WESTERN REGION - 28 Jails

Counties

Bedford
Bland
Botetourt
Buchanan
Carroll
Dickenson
Floyd
Franklin
Giles
Grayson
Henry
Lee
Montgomery
Patrick
Pulaski
Roanoke
Russell
Scott
Smyth
Tazewell
Washington
Wise
Wythe

Cities

Bristol
Radford
Roanoke
Martinsville

Jail Farms

Martinsville

NORTHERN REGION - 24 Jails

Counties

Alleghany
Arlington
Augusta
Bath
Caroline
Clarke
Culpeper
Fairfax
Fauquier
Frederick
Hanover
Highland
Loudoun
Orange
Page
Prince William
Rockbridge

Cities

Alexandria
Clifton Forge
Fredericksburg/Rappahannock

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR LOCAL JAILS
UNDER PROPOSAL 2

Rockingham
Shenandoah
Stafford
Warren

EAST CENTRAL - 24 Jails

Counties
Albermarle/Charlottesville
Amherst
Appomattox
Brunswick
Campbell
Chesterfield
Dinwiddie
Greensville
Halifax
Henrico
Louisa
Lunenburg
Mecklenburg
Nelson
Nottoway
Pittsylvania
Prince Edward
Sussex

Cities
Danville
Lynchburg
Petersburg
Richmond

Jail Farms
Danville
Petersburg

SOUTHEAST REGION - 19 Jails

Counties
Accomac
Essex
Lancaster
Middle Peninsula RSC
Northampton
Northumberland
Richmond
Southampton
Westmoreland
York

Cities
Chesapeake
Hampton
Newport News
Norfolk
Portsmouth
Suffolk
Virginia Beach
Williamsburg

Jail Farms
Newport News

Note: New jail assignments are underlined.

Source: JLARC

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR COURT SERVICE UNITS
UNDER PROPOSAL 2

Western Region - 8 units

Unit 21 - Martinsville
23 - Salem
23A- Roanoke
25 - Staunton
27 - Pulaski
28 - Abingdon
29 - Pearisburg
30 - Wise

Northern Region - 9 units

Unit 15 - Fredericksburg
16 - Charlottesville
17 - Arlington
18 - Alexandria
19 - Fairfax & Falls Church*
20 - Warrenton & Leesburg
26 - Winchester
31 - Manassas

East Central Region - 8 units

Unit 6 - Hopewell
10 - Appomattox
11 - Petersburg
12 - Chesterfield
13 - Richmond
14 - Henrico County
22 - Rocky Mount
24 - Lynchburg

Southeast Region - 9 units

Unit 1 - Chesapeake
2 - Virginia Beach
2A- Accomac
3 - Portsmouth
4 - Norfolk
5 - Franklin
7 - Newport News
8 - Hampton
9 - Providence Forge

Note: New Unit assignments are underlined.

*Actually represents two different court service units.

Source: JLARC staff

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS
OF STATE AND LOCAL YOUTH FACILITIES
UNDER PROPOSAL 2

Western Region - 15 units

Discovery House, Roanoke	Abraxas House, Staunton
Youth Haven, Roanoke	Shenandoah Detention Home, Staunton
Roanoke Sanctuary	Waynesboro Group Home
Abingdon Group Home	Roanoke Outreach Detention Home
Wise Group Home	
Highlands Detention Home, Bristol	
New River Valley Detention Home, Christiansburg	
Roanoke Detention Home	
Russell County Group Home	
Gateway Boys Home, Jonesville	
<u>Anchor House I, II, and Family Group Home, Martinsville</u>	

Northern Region - 16 units

Arlington Community Youth Home	Fairfax Detention Outreach
Braddock House, Winchester	Prince William Detention Outreach
Fairfax Girl's Community Youth Home	Braddock FOG Home, Winchester
Loudoun Emergency Shelter Home	<u>Boys and Girls Attention Homes, Charlottesville</u>
Fairfax Boys Probation Home	
Northern Virginia Detention Home, Alexandria	
Rappahannock Detention Home, Fredericksburg	
Prince William Detention Home	
Fairfax Less Secure Detention Home	
<u>Charlottesville Family Group Home System</u>	
Northern Neck Group Home, Warsaw (proposed)	
Fairfax County Juvenile Detention Center	

East Central Region - 16 units

Exodus House, Richmond
Stepping Stone, Richmond
Oasis House, Richmond
Henrico Post-Dispositional Program
Richmond Group Home System

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS
OF STATE AND LOCAL YOUTH FACILITIES
UNDER PROPOSAL 2

Chesterfield Detention Home
Richmond Detention Home
Henrico Detention Home
Henrico Emergency Shelter Home
Southside Regional Group Home, South Boston
Crossroads, Lynchburg
Opportunity House, Lynchburg
SPARC, Lynchburg
Lynchburg Detention Home
W. W. Moore Home for Juveniles, Danville
Crater Detention Home, Disputana

Southeast Region - 20 units

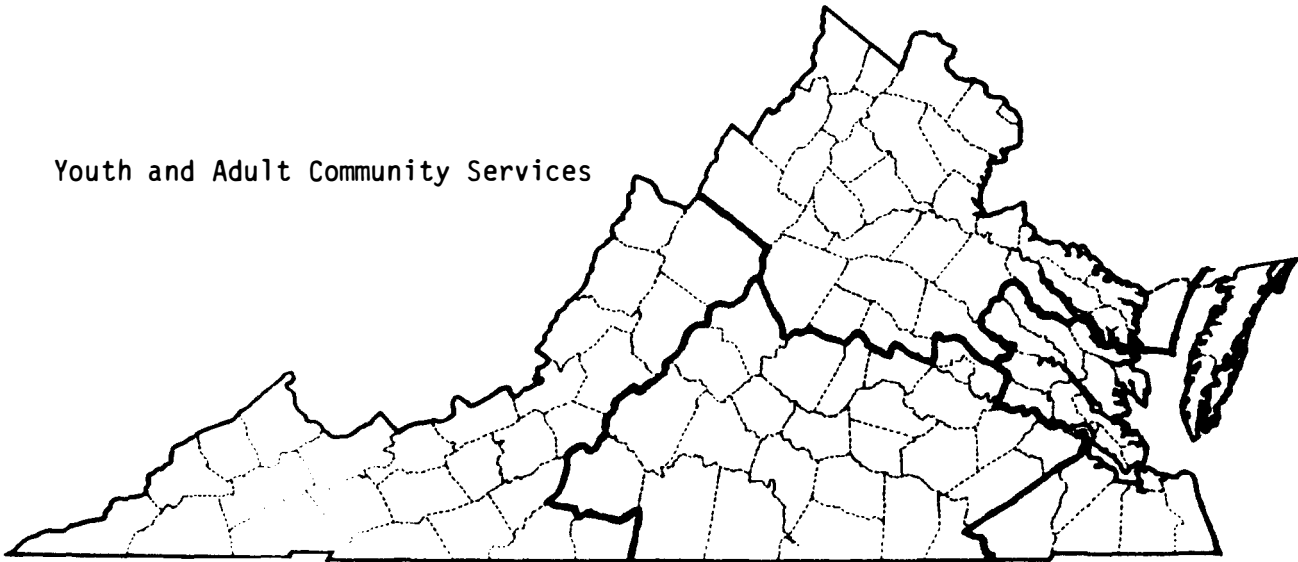
Hampton Place, Norfolk	Newport News Detention Outreach
Chesapeake Boy's Home	Norfolk Detention Outreach
Lake House, Norfolk	Virginia Beach Regional Group
Portsmouth Boy's Home	Home
Stanhope House, Norfolk	Kempsville Place, Norfolk
Crisis Intervention Home,	Truxton-Paige Group Home,
Virginia Beach	Norfolk
Pendleton Child Service Center,	Virginia Beach Less Secure
Virginia Beach	Detention Home
Centerville Group Home, Chesapeake	
Newport News Detention Home	
Norfolk Detention Home	
Tidewater Detention Home	
Newport News Less Secure	
Detention	
<u>Crossroads, Williamsburg</u>	
<u>Yorktown Family Group Home</u>	
<u>System</u>	

Note: Underscored facilities are new assignments to the region.

Source: JLARC

JLARC REGIONAL PROPOSAL THREE

Youth and Adult Community Services



Proposal three offers four regions with coterminous boundaries for both youth and adult community services. Improved workload distribution is achieved in two of the four functional areas.

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR PROBATION AND PAROLE
UNDER PROPOSAL 3

Western Region - 7 districts

District 12 - Staunton
15 - Roanoke
16 - Wytheville
17 - Abingdon
18 - Wise
22 - Collinsville
28 - Christiansburg

Northern Region - 11 districts

District 9 - Charlottesville
10 - Arlington
11 - Front Royal
21 - Fredericksburg
25 - Warrenton
26 - Culpeper
29 - Fairfax
33 - Warsaw
35 - Manassas
36 - Alexandria
39 - Harrisonburg

East Central Region - 10 districts

District 1 - Richmond
7 - Petersburg
13 - Lynchburg
14 - Danville
20 - Bedford
24 - Farmville
27 - Chesterfield
32 - Henrico
37 - Rocky Mount
38 - Emporia

Southeast Region - 10 districts

District 2 - Norfolk
3 - Portsmouth
4 - Accomack
5 - Urbanna
6 - Suffolk
19 - Newport News
23 - Virginia Beach
30 - Hampton
31 - Chesapeake
34 - Williamsburg

Note: New District assignments are underlined.

Source: JLARC.

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR LOCAL JAILS
UNDER PROPOSAL 3

WESTERN REGION - 32 Jails

Counties

Alleghany

Augusta

Bath

Bland

Botetourt

Buchanan

Carroll

Dickenson

Floyd

Giles

Grayson

Henry

Highland

Lee

Montgomery

Patrick

Pulaski

Roanoke

Rockbridge

Russell

Scott

Smyth

Tazewell

Washington

Wise

Wythe

Cities

Bristol

Clifton Forge

Radford

Roanoke

Martinsville

Jail Farms

Martinsville

NORTHERN REGION - 25 Jails

Counties

Albemarle/Charlottesville

Arlington

Caroline

Clarke

Culpeper

Essex

Fairfax

Fauquier

Frederick

Hanover

Lancaster

Louisa

Loudoun

Northumberland

Orange

Cities

Alexandria

Fredericksburg/Rappahannock

APPENDIX E
(Continued E)

REGIONAL ASSIGNMENTS FOR LOCAL JAILS
UNDER PROPOSAL 3

Page
Prince William
Richmond
Rockingham
Shenandoah
Stafford
Warren
Westmoreland

EAST CENTRAL - 24 Jails

Counties
Amherst
Appomattox
Bedford
Brunswick
Campbell
Chesterfield
Dinwiddie
Franklin
Greensville
Halifax
Henrico
Lunenburg
Mecklenburg
Nelson
Nottoway
Pittsylvania
Prince Edward
Sussex

Cities
Danville
Lynchburg
Richmond
Petersburg

Jail Farms
Danville
Petersburg

SOUTHEAST REGION - 14 Jails

Counties
Accomac
Middle Peninsula RSC
Northampton
Southampton
York

Cities
Chesapeake
Hampton
Newport News
Norfolk
Portsmouth
Suffolk
Virginia Beach
Williamsburg

Jail Farms
Newport News

Note: New jail assignments are underlined.

Source: JLARC

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS FOR COURT SERVICE UNITS
UNDER PROPOSAL 3

Western Region - 8 units

Unit 21 - Martinsville
23 - Salem
23A- Roanoke
25 - Staunton
27 - Pulaski
28 - Abingdon
29 - Pearisburg
30 - Wise

Northern Region - 9 units

Unit 15 - Fredericksburg
16 - Charlottesville
17 - Arlington
18 - Alexandria
19 - Fairfax & Falls Church*
20 - Warrenton & Leesburg
26 - Winchester
31 - Manassas

East Central Region - 8 units

Unit 6 - Hopewell
10 - Appomattox
11 - Petersburg
12 - Chesterfield
13 - Richmond
14 - Henrico County
22 - Rocky Mount
24 - Lynchburg

Southeast Region - 9 units

Unit 1 - Chesapeake
2 - Virginia Beach
2A- Accomac
3 - Portsmouth
4 - Norfolk
5 - Franklin
7 - Newport News
8 - Hampton
9 - Providence Forge

Note: New Unit assignments are underlined

*Actually represents two different court service units.

Source: JLARC staff

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS
OF STATE AND LOCAL YOUTH FACILITIES
UNDER PROPOSAL 3

Western Region - 15 units

Discovery House, Roanoke	Abraxas House, Staunton
Youth Haven, Roanoke	Shenandoah Detention Home, Staunton
Roanoke Sanctuary	Waynesboro Group Home
Abingdon Group Home	Roanoke Outreach Detention Home
Wise Group Home	
Highlands Detention Home, Bristol	
New River Valley Detention Home, Christiansburg	
Roanoke Detention Home	
Russell County Group Home	
Gateway Boys Home, Jonesville	
<u>Anchor House I, II, and Family Group Home, Martinsville</u>	

Northern Region - 16 units

Arlington Community Youth Home	Fairfax Detention Outreach
Braddock House, Winchester	Prince William Detention Outreach
Fairfax Girl's Community Youth Home	Braddock FOG Home, Winchester
Loudoun Emergency Shelter Home	<u>Boys and Girls Attention Homes, Charlottesville</u>
Fairfax Boys Probation Home	
Northern Virginia Detention Home, Alexandria	
Rappahannock Detention Home, Fredericksburg	
Prince William Detention Home	
Fairfax Less Secure Detention Home	
<u>Charlottesville Family Group Home System</u>	
Northern Neck Group Home, Warsaw (proposed)	
Fairfax County Juvenile Detention Center	

East Central Region - 16 units

Exodus House, Richmond
Stepping Stone, Richmond
Oasis House, Richmond
Henrico Post-Dispositional Program
Richmond Group Home System

APPENDIX E
(Continued)

REGIONAL ASSIGNMENTS
OF STATE AND LOCAL YOUTH FACILITIES
UNDER PROPOSAL 3

Chesterfield Detention Home
Richmond Detention Home
Henrico Detention Home
Henrico Emergency Shelter Home
Southside Regional Group Home, South Boston
Crossroads, Lynchburg
Opportunity House, Lynchburg
SPARC, Lynchburg
Lynchburg Detention Home
W. W. Moore Home for Juveniles, Danville
Crater Detention Home, Disputana

Southeast Region - 20 units

Hampton Place, Norfolk	Newport News Detention Outreach
Chesapeake Boy's Home	Norfolk Detention Outreach
Lake House, Norfolk	Virginia Beach Regional Group Home
Portsmouth Boy's Home	Kempsville Place, Norfolk
Stanhope House, Norfolk	Truxton-Paige Group Home, Norfolk
Crisis Intervention Home, Virginia Beach	Virginia Beach Less Secure Detention Home
Pendleton Child Service Center, Virginia Beach	
Centerville Group Home, Chesapeake	
Newport News Detention Home	
Norfolk Detention Home	
Tidewater Detention Home	
Newport News Less Secure Detention	
<u>Crossroads, Williamsburg</u>	
<u>Yorktown Family Group Home System</u>	

Note: Underscored facilities are new assignments to the region.

Source: JLARC

APPENDIX F

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 full text of the Department of Correction's response. JLARC's comments regarding certain parts of the Department's response have been inserted at the appropriate places.

Appropriate corrections resulting from the written comments have been made in the final report. Page references in the agency response may not correspond to page numbers in this report.

DEPARTMENT OF CORRECTIONS RESPONSE

EXECUTIVE SUMMARY

The staff of the Joint Legislative Audit and Review Commission has recommended in its draft reports a number of changes in the Department's operating procedures and a reduction in personnel with no accompanying decrease in responsibility. The Department believes that at present it has no more than minimum staff necessary to carry out its public safety-oriented mission "to provide appropriate supervision of persons entrusted to (its) care, to meet their basic human needs, and to make available programs that will promote positive attitudinal and behavioral change."

The 1978 DOC reorganization which, among other things, established the present uniform regional structure (replacing a previous hodge-podge of regions with varying degrees of responsibility and effectiveness among the several divisions) resulted in a reduction of approximately 75 positions. Budget-mandated cuts in the 1982-84 biennium have abolished an additional 176.5 positions. In addition, the Department has had other budget reductions in the last two bienniums that have precluded it from filling 343 previously authorized positions other than the abolished positions.

Also, the Department will reduce its work force in 1984-86 by an additional 201 positions (as a result of the administration budget enacted by the General Assembly), plus 10.5 positions resulting from legislative adoption of recommendations in the initial JLARC Staff Exposure Draft.

It is true that in the upcoming biennium, the Department will add some 700 positions needed to operate the new Nottoway and Augusta correctional centers (a number partially to be offset by an additional reduction of 208 positions at Deep Meadow, slated for decommissioning). However, operation of these new institutions represents an additional service requiring added supervisory responsibility at the regional and central office levels. New institutions with new administration and staff require a significantly greater investment of time by regions. Increasing the workload of the regional staffs by eliminating one region altogether and by reducing the number of other regional personnel as recommended would severely impair the Department's ability to continue the improved management which JLARC staff acknowledges has occurred since 1974.

In addition, adoption of the principal recommendations contained in the JLARC Staff Report would signal a significant reversal of the progress made in recent years in enhancing the

Department of Corrections role as a community-oriented, regionally based agency accessible to local government and the public, rather than a remote, Richmond-only based, prison-oriented agency isolated from the localities and the citizens it serves.

The Staff Report portrays a misconception shared by many of the full role and mission of DOC by underestimating the manpower required to maintain steady professional contact with local governments, citizen organizations, local facilities and personnel in administering the broad range of community-based services which the Department is mandated to provide.

The Department's responses to the staff recommendations are summarized below:

1. *The Department finds the JLARC staff recommendation that the Program Development Unit, the Planning and Policy Development Unit and the Research and Reporting Unit be consolidated into a single unit unworkable and a detriment to its operations.*

Each of the pertinent indicators suggests that the span of control under the present organizational structure of the three units is appropriate. The JLARC staff report provides no evidence to support the contrary. The JLARC staff seems to have based its recommendation solely on the premise that work within the units is similar. While there may be interdependence of some of the projects the units undertake, there are also clear distinctions among the roles of each of the units. Furthermore, in its recommendation, the JLARC staff has in no way considered the complexity and variety of the tasks of these units. The Department must maintain its position that the minimal cost savings of two management positions cannot be justified as compared to the greater risk of loss due to decreased effectiveness, efficiency, and production.

2. *The Department of Corrections does not feel that the integrity of the Internal Auditing Unit is compromised by its current placement under the Deputy Director for Resources Management. However, the Department will move the Internal Auditing Unit under the operational control of the Director. DOC does not agree that current activities of the unit are inappropriate.*
3. *DOC disagrees with the recommendation that the Correctional Enterprises Program and Development Manager and Unit be eliminated. The Department's*

stance is that a high-level staff position responsible for long-range planning and development is essential to the effective growth and development of Correctional Enterprises.

This position is needed if Correctional Enterprises is to function in the productive, businesslike manner desired by the Department and expected by the General Assembly, through its Joint Subcommittee on Inmate Productivity. U.S. Chief Justice Warren Burger repeatedly has called for expanded prison industries as a key to improved correctional programs.

4. The Department is willing to research and study various approaches to determine the best type of manpower plan and program for the Department. The initial study and research will be completed by January, 1985.

5. DOC is fully in accord with the JLARC staff report that the prolonged use of temporary, hourly employees ("P-14's") to perform work where specialized skills and training are required is not cost effective. The manpower plan being developed as a result of Recommendation (4) will include an assessment of the cost of P-14 positions which require specialized training.

6. The position of the Department of Corrections is that five regions are necessary for the effective functioning of the regional administrative structure. The Department agrees with the JLARC staff in its assessment that the regional structure facilitates the achievement of management objectives set out by the Department. The Department does not agree that these objectives could be achieved if one adult services and one youth services regional office are eliminated.

The recommendation to eliminate one adult services and one youth services regional office is based on faulty reasoning and scant data. It is based on disparity of workload, without any evaluation of the appropriateness of workloads. It reflects a misunderstanding or lack of knowledge about the programs operated by the Department of Corrections and a disregard for future needs.

7. DOC maintains that the abolishment of the positions of Regional Food Operations Manager would result in a loss of uniform food service planning, regional coordination, monitoring for operational consistency and adherence to policies and good management practices.

8. *Staff positions must be provided to perform the work of the administrative assistant positions in the Northern and Central regions, recommended for elimination in the JLARC Staff Report and already removed from the regional offices, in part due to legislative budgetary action. It will be necessary to resort to hourly wage employees to carry out these duties, a practice not favored.*

9. *The Department maintains that the present level of staff is necessary in order to carry out the mandates of the Delinquency Prevention Program.*

Should the Prevention Specialist staff be reduced from 6 to 3 positions as proposed by the JLARC staff, the Department of Corrections will be forced to reduce drastically its activities in assisting communities to improve and/or revise present programs or to establish new projects which are not funded by the Va. DP&YD Act grants to localities. The elimination of this staff will reduce provision of service to all Virginia localities with the exception of the 24 Virginia communities presently operating with Va. DP&YD Act grants to local programs.

10. *Although action of the 1984 General Assembly reduced clerical staff in DOC regional offices by 9½ FTE's (based on the recommendations of the initial JLARC Exposure Draft Report), we maintain that these reductions are excessive and will prevent the regional offices from processing their required work in a full and timely manner.*

The DOC is concerned that the JLARC Draft Report recommended sweeping statewide reductions in the regional office secretarial staffs without using measurement instruments which would yield factual information on staff workloads. Without such measurements, the staff needs can be based on no more than impressions and subjective judgements.

During the next several months, the Department will study these secretarial workloads and report the finding in time for any necessary amendments in the 1985-86 budget proposals.

While the JLARC Staff Report at face value may seem to present arguments for changes in structure and reductions in staff, in fact the design of the study does not logically result in recommendations of a cost-benefit nature. Rather, the design is intended to produce information about a dynamic system of service

delivery upon which future methodological choices can be based. Premature recommendations for restructuring a system because of claimed cost deficiencies should be the result of quantitative data gathered through precise procedures, rather than the result of methods that create a qualitative, subjectively interpreted data base.

This report should be held in abeyance until such time as the JLARC staff has had the opportunity to study the Department's delivery system at the lowest organizational levels.

INTRODUCTION

In responding to the JLARC Staff Exposure Draft on "Central and Regional Office Staffing in the Department of Corrections" (March 13, 1984), the Department of Corrections is in opposition to the majority of principal recommendations made.

Project Design and Methods

While rebuttal will be made in detail in this dissent to the recommendations, certain general methodological considerations which have given rise to the recommendations by the JLARC staff present concerns as to validity and utility.

1. The use of a top-down management and support staffing review in determining appropriate management structure.

The design of the study was such that recommendations of a cost-benefit nature cannot logically be concluded. The research design is intended to produce information about a dynamic system of service delivery upon which future methodological choices can be made. Recommendations for restructuring such a system should be based upon clear quantitative data gathered through precise instrumentation, rather than the result of a methodology that creates a subjectively interpreted data base.

JLARC staff indicated, in discussion with DOC staff, that a "quasi-experimental contrasted-group design" was used for the initial phase of the study. The general research question to be addressed was whether the Department of Corrections was appropriately staffed. The specified design implies that the numerous threats to the reliability and validity of the results are controlled throughout the research.

The project staff indicated that while many sources of data were used, the primary sources were interviews with DOC Regional and Central Office staff; a functional assesment instrument; and DOC documents. By converging information from these sources, patterns regarding the need for specific personnel and management structures were determined. However, except for the questionnaire pre-testing which occurred in one Region (this pre-testing was designed to train JLARC interviewers as well as evaluate instrument validity), the Department could not ascertain if reliability or validity controls, as required by the design, were implemented.

Based on the nature of recommendations contained in the report, according to JLARC staff, a project that began initially with one research design became a qualitative data-gathering project based loosely on a discrepancy-evaluation model. The result was an analysis without precise measurement of the costs or benefits of the present management structure. While the JLARC Staff Report presents arguments for changes in structure and reductions in staff using the integration of data, in fact, the design of the study should not logically result in recommendations of a cost-benefit nature.

While JLARC staff has been helpful, and cooperated with DOC staff during the preparation of this response, they were reluctant to provide any data that was not specifically referenced in the exposure draft. DOC is unable, at the present time, to determine if the crucial, primary assumptions of the study were reliable, valid, or complete; we are, therefore, unable to determine whether the basic hypotheses tested in the quasi-experimental design were based on sound information.

In any event, however, the Department contends that the use of a "top-down" methodology to evaluate managerial and support structure is inappropriate where there has not been developed the necessary level of understanding of the overall mission to which that management must respond.

2. The lack of objective evaluative standards upon which to make decisions.

A recent discussion with JLARC staff indicates that a significant degree of bias exists in the questionnaires used to gather information. JLARC staff indicated, for example, that one question was designed in a certain way so that:

"the respondent wouldn't know that we were thinking of reducing the number of regional offices."

A recommendation of this nature was in fact made in the exposure draft. The central point here is that a major specific recommendation was already being considered before the data was collected. To put it simply, the kinds of answers one receives depends to a great extent on the questions asked. Research can be a valuable tool in the decision-making process. It is however, of questionable utility when decisions are made before the research is done.

In addition, the appropriateness of personal workload indicators must be questioned, particularly in view of the fact that, according to JLARC staff, those measures were "respondent-generated" (generated through interviews with staff). Several general questions regarding components of a hypothetical workload were asked.

The apparent assumption by JLARC staff was that DOC would respond to these questions by giving appropriate workload measures. This presumed assumption is not tenable. DOC contends that the generated workload measures (See Table 11 [p. 93], and Table 14 of the Exposure Draft for workload measures used) are not appropriate indicators, but rather categories from which workload measures can be chosen. The derivation of workload indicators from the various questionnaires is inappropriate due to unstated pre-selection assumptions.

While inquiries were made as to the number of visits regional personnel normally make to facilities, no effort was made to determine what the optimum number of visits should be to insure adherence to adequate management practice.

In addition, JLARC staff concluded there is insufficient work for secretaries in some regional offices and recommended substantial cuts in both youth and adult secretarial staff. No time-motion studies were conducted nor were there in-depth discussions with Regional Administrators or Deputy Directors as to the correctness of statements attributed to secretaries.

Answers by some regional staff that they could hand a few more facilities appear to be the basis for recommending the elimination of the Central Region. Some regional staff stated that additional facilities would be excessive. These responses appear to have been discussed. An individual responding affirmatively to assuming responsibility for a few new programs does not logically lead to a recommendation for vastly increasing regional boundaries.

The indication here is that in conjunction with the development of preconceived recommendations, workload indicators were subsequently developed to support those recommendations.

3. There is genuine concern on the part of the Department that data is presented in such fashion as to be inaccurate with regard to actual situations and consequently misleading.

When both the methodological design and the validity and reliability of the data are questionable, the probability of meaningful interpretation of the results is also questionable. This consideration aside, there are several examples of inaccurate interpretations of results contained in the Exposure Draft.

Data collected from the regional office questionnaires indicates that significant amounts of overtime worked by regional office staff were not included in the workload configurations for the three alternative regional structures. In addition, while

recommending to close Region II, JLARC staff conclude that travel would only slightly increase for the remaining regions. What is not acknowledged, however, is that fewer staff would be available to assume the workload. While the initial conclusions on increased travel time were based on a comparative statewide scope, it would have been more accurate to evaluate the impact on those personnel who would actually assume the workload. As a result, contrary to the reported findings, travel time would be significantly increased (in some instances in excess of 100%) with a corresponding decrease in available productive work time, even before reflecting any increase in workload.

The JLARC staff vastly over-simplifies relative workloads by emphasizing the number of facilities or units in each region as opposed to the amount of work they generate. If a manager is responsible for 25% of the total number of facilities while performing 40% of the travel time, the employee is maintaining a "disproportionate share of the workload."

Additionally, JLARC staff gives no quantitative basis for the recommendation to combine three units within the Division of Program Development and Evaluation. It was indicated that available monthly workload reports were collected as measures of workload similarity, and that personnel records were reviewed. It is submitted that a study of output documents would show that the nature of work in the three units is generally dissimilar. In response to a request for additional supportive data for this recommendation, JLARC staff indicated that two Unit Managers stated they "could handle more staff." A review of the data revealed that two of the five managers had made this determination. In fact, one Manager felt that "current staff levels are appropriate", and another stated that "fewer subordinates would be appropriate." Finally, the aggregate data from the Division shows that 50% of the units work overtime "very often", and 33% work overtime "occasionally or mainly at certain times." The document makes no reference to overtime. It would appear that on the basis of this measure, a recommendation for increases in staff for this Division, rather than reduction in working managers, would have been more appropriate.

This type of information does not represent a basis for re-organization. Where there is a tendency to report some data which support the recommendations at the expense of contrary information, the validity of the findings must always be questioned.

Summary

In conclusion, the Department submits that these methodological issues are deficient:

- Top-Down Review Process
- Lack of Objective Evaluative Standards,
- Inaccurate and Misleading Interpretations of Interview Results.

These issues sincerely hamper any substantial review of resulting recommendations. This fact is recognized by the JLARC staff in their own restructuring of certain parts of their presentation contained in the report when confronted with specific deficiencies of methodology.

The design of the study raises serious questions about the utility of the findings. The research approach used by the JLARC staff is intended to produce preliminary information about a dynamic service delivery system, upon which further research methods can be made. Few, if any, of the generally accepted methods for assuring validity and reliability for a "quasi-experimental" design were utilized.

It is premature to provide recommendations concerning the management needs of the Department without first acquiring an in depth understanding of the Department at the service level.

The report appears to have contained no objective standards upon which to base conclusions. No time-motion studies or other evaluative methodology was employed that could have produced objective standards. Recommendations have been based primarily on subjective interview responses which were themselves subjectively interpreted.

Data contained in the report are presented in a subjective and selective manner. By reporting some data which support staff recommendations and omitting equally relevant data, any comprehensive evaluation of the recommendations is seriously hindered.

JLARC ANALYSIS OF DOC RESPONSE
INTRODUCTION

The response from the Department of Corrections reflects an incomplete understanding of the methodology used in the study of central and regional office staffing. In JLARC studies, methodology serves three purposes: (1) to establish rules for reaching conclusions; (2) to communicate the way in which data is gathered and analyzed; and (3) to enable the study to be replicated. All three purposes were fulfilled in the study of organization and staffing in the central and regional offices of the Department of Corrections (DOC).

JLARC ANALYSIS OF DOC'S PRINCIPAL CONCERNS

To respond to DOC's comments about JLARC methodology, this introduction addresses three principal concerns of the department and then describes the JLARC study process as it was used in the report.

Concern 1 -- Top-Down Review

The department states that JLARC used a top-down management review and thus does not adequately understand the agency's mission and programs. Because the mandate for the first JLARC study required an assessment of DOC central office and regional staffing prior to 1984, it was necessary for JLARC to address these areas first. We recognized, however, that understanding the entire agency was an important first step. To lay the foundation for the interim report and subsequent JLARC studies of DOC, an extensive assessment was conducted of the 13 principal functions of DOC. This comprehensive "functional assessment" was itself a significant study effort and provided JLARC staff with an understanding (from the bottom - up) of the entire agency necessary to address the central and regional offices as required.

The department also asserts that JLARC staff was reluctant to provide data not explicitly referenced in the report. In the preparation of its response, DOC staff made an extensive request for data collected during the review. JLARC staff provided aggregated data for all items from the questionnaires that were used in the report. If data were not used in developing a finding or recommendation, it was not provided to DOC. Finally, it should be noted that almost all data obtained by JLARC during the review were obtained from DOC staff, and would consequently be available through departmental channels should the department feel it essential to acquire this data.

Concern 2 - Evaluation Standards

DOC states that the JLARC research proceeded from preconceived conclusions. This is not true. The research in fact focused on the question of whether DOC is adequately staffed. The working hypotheses, around which the research was organized, were in line with the specific legislative mandate for the study. As noted in the report, the State's general environment of fiscal austerity requires a review which considers feasible staffing efficiencies.

The department questions whether workload indicators used in the report are adequate. This suggests that the individuals who are carrying out the mission and duties of the department could not accurately identify the sources of their work when interviewed for the JLARC review. JLARC believes that these employees are in the best position to provide this information. While these indicators may not be the ideal workload indicators, they are sufficient and appropriate. Indeed, external evaluations are often called for to show the discrepancy between what management believes is going on and what in fact is being done. In light of this, the response by DOC management is not surprising. Hopefully the manpower plan which DOC will be developing will include workload indicators that enhance both the department's management objectives and future evaluations.

Concern 3 - Presentation and Interpretation of Data

DOC states that JLARC presented and interpreted data in inaccurate and misleading ways, leading to questionable conclusions and recommendations. The data presented in the report accurately portrays the statements and opinions of the DOC staff interviewed for this report. The JLARC study team collected massive amounts of data during the course of the review, and selected the most salient items for presentation in its report to the General Assembly. More extensive use of data was made where a change was recommended than where the department's status quo was validated. It is noteworthy that the department does not disagree with JLARC's methodology or interpretation where we support existing staffing levels or recommend the use of permanent employees instead of P-14 employees. In the great majority of cases, JLARC concluded that the department was appropriately staffed. In every case where a recommended efficiency is noted, however, the department raises methodological concerns. Only minimal problems or factual corrections were noted by DOC in the descriptive sections of the study which - in fact - constitute the bulk of the report. Its conclusion, apparently, is that there is no room for improvement in the area of staff efficiency. Our conclusion, based on rigorous data collection activities and analytic processes, is that some modest reductions are possible.

JLARC STUDY PROCESS

The DOC response does not acknowledge the rigorous process followed by JLARC in conducting its study. Since the overall picture is obscured by the specific criticisms made by the department, we have prepared a summary of the overall JLARC study environment, and the general approach used by JLARC to review central and regional office staffing.

Study Environment

The DOC organization and staffing project was assigned to JLARC by Item 545.1 of the 1983 Appropriations Act. The act required that a report on central and regional office staffing should be submitted before the 1984 session. The JLARC study team sought to develop a methodology which would respond to this mandate and meet applied research standards of intersubjectivity and unbiased testing of hypotheses.

In staffing and productivity studies, experimental designs have generally been found to create conditions that lead to invalid results. The Hawthorne experiments were landmark studies that first demonstrated the contaminating influence of the kind of designs (e.g. time and motion studies) suggested by the department. Consequently, designs using multiple methods and quasi-experimental, pre-experimental, or naturalistic approaches have been embraced by many organizational researchers. Studies of this type, when carefully designed and implemented, can produce sound information for making staffing decisions. Therefore, JLARC developed the multiple indicator methodology described in the report.

The development of the research plan proceeded under the requirements of two sets of JLARC procedures: research processes and review processes. The research processes are team-oriented with support from the division chief and research methods staff. The process has three major stages: conceptualizing the study (specifying questions and general approaches), developing alternative designs and data collection strategies, and finally, implementing the design and developing conclusions.

For this study, the team generated a central question: Are the units of the DOC central and regional offices adequately staffed? Empirical and measurable criteria were then established for adequate staffing and for excessive staffing. The team examined all the indicators on which data could be collected, and then drew conclusions. The fact that thirteen of fifteen central office units were found not to be overstaffed is evidence of a lack of bias.

In addition to following an overall procedure for the project, the team conformed to established processes in specific areas such as instrument design and administration. Obtaining reliable and valid information is a key concern during the design and administration of an instrument. This involves learning the topic, ensuring that items measure relevant concepts and are interpreted similarly by each respondent, and controlling for extraneous sources of variation. JLARC procedures in this regard include using program documents and personnel (both formally and informally) in the instrument development, considering face validity and sampling validity, pretesting the instrument, using experienced and trained interviewers, maximizing inter-rater reliability, and using structured instruments. All these components were included for each of the three structured interview schedules which were used for the more than 250 interviews with DOC staff.

Finally, the internal review process monitors the development of the research from scoping the questions to drawing the conclusions. In this process, JLARC's most experienced personnel review the team's initial documents to render judgements about the appropriateness and adequacy of the design. The reviews take place at four key stages --planning, scope, research workplan, and exposure draft -- under the leadership of the Deputy Director, who is not directly involved in the studies except during these reviews. Reviews often suggest modifications for substantive or methodological reasons. In the case of the DOC study, the review of the initial scope document recommended a systematic functional assessment of the department.

The Approach to Central and Regional Office Staffing

The study mandate required that priority be placed on DOC's management staffing rather than on staffing at all organizational levels simultaneously. JLARC staff developed a three-part approach to the staffing study. The first part was a functional assessment of DOC. The functional assessment involved systematically collecting information from each type of unit in the department. The information included the responsibilities of the unit involved in each of DOC's 13 functions and the interaction of that unit with other units in meeting the responsibility within each function.

Results from the functional assessment were used in developing the other two parts of the approach. These two parts were focused directly on the question of staffing adequacy: the first addressed staffing in the central office and the second addressed regional staffing. These studies required indicators of the work currently being accomplished and of the capacity to handle more work. The two differed because the presence of five regions with the same mission but different workloads provided an opportunity for a contrasted group design, while the central office design relied on comparisons with standards and qualitative assessments and comparisons of the positions and their technical job descriptions.

Functional Assessment. The functional assessment had three principal objectives: to provide a systematic, in-depth understanding of DOC; to provide a baseline of data for the JLARC staffing studies; and to illuminate any areas of potential overlap, duplication, or unnecessary fragmentation within DOC. To accomplish these objectives the research had to be comprehensive and systematic.

The two central questions asked in the functional assessment were: what functions were being carried out, and what interactions were involved in carrying out the functions. Units were defined from the organizational chart and initial unstructured interviews. Where more than one unit performed the same mission (e.g. regions, major institutions, court service units) multiple units were selected for inclusion. The units were selected to maximize differences by the criteria in Figure 1.

The instrument used to collect the data was developed over several weeks. First, to construct a comprehensive and comprehensible list of functions, JLARC staff scoured public administration literature, corrections and criminology literature, DOC's policy guidelines, and the Commonwealth's Program Budgeting System. Face and sample validity checks were incorporated into the development stages. The items for each functional area were developed and refined through several drafts, with DOC staff providing substantial input. Finally, a version of the instrument was prepared for pretesting. The pretest was successful and suggested a few changes for clarity and ease of administration. The interviews were conducted by experienced members of the JLARC staff.

Interview data was used to construct input, process, output (IPO) diagrams and statements for the entire department. The IPO statements were based upon the discrepancy evaluation model in which all the team members had received training. The IPO statements are reservoirs of independently gathered information on DOC, its functions, and unit interactions. This background-oriented functional assessment laid the groundwork for the reviews of the central and regional offices.

Central Office Staffing. The research design for examining staffing in the central office involved comparing the organization, staff, and work accomplished with standards and job descriptions. In addition, subjective indicators of the amount of work were collected. The principal data collection was conducted by interviewing the manager of each central office unit.

The interview schedules were developed in a similar fashion to the functional assessment instruments. The schedule went through several drafts to ensure that questions would be consistently interpreted. In some cases, questions were identical to questions from the functional assessment. Wording and language were checked for familiarity within DOC. The instrument was pre-tested and modified slightly in form and content before full-scale administration.

Figure 1

CRITERIA FOR SELECTION OF FACILITIES

<u>Type of Facility</u>	<u>Characteristics</u>	<u>Criteria</u>
Major Adult Institutions	size of population	large (over 700) medium (300-700) small (100-300)
	sex of population	male female
	level of security	maximum medium minimum
	service level	medical facilities treatment programs
	administrative activity	payroll personnel
Youth Learning Centers	size of population	large (over 100) small (40-100)
	sex of population	male female mixed
	age of population	12-14 14-16 over 16
	level of security	secure detention partial secure detention no secure detention
	service level	medical facilities treatment programs
Court Service Units*	nature of district	urban rural
	staffing levels	numbers degree of specialization
Probation and Parole Districts*	nature of district	urban rural
Field Units*	size of population	large (over 85) small (35-85)
	nature of sentence	felons misdemeanants
Work Release Centers*	none	none

*Selection considerations given to proximity from Regional Office.

The interview schedule was administered by the same individuals that administered the functional assessment instrument. To minimize inter-rater reliability problems, the same interviewers did all the interviews within major aggregations of organizational units. These were units with which they had become familiar during the functional assessment and IPO statement process. All interviewers were trained with the instruments. Verification was done on a subsample of responses to ensure that data was recorded accurately and that information was reliable.

Regional Office Staffing. The contrasted group design was used to assess staffing in the regional offices of adult services and of youth services. The design is an extremely powerful quasi-experimental technique for examining covariation in existing field settings. The first step in using this design is to examine variation in output or workload indicators. Indicators were developed from extant data provided by DOC and from qualitative data collected in interviews.

To collect the interview data, once again a systematic interview schedule was developed. The functional assessment results and other data collected informally from DOC personnel were used in the developmental process. The instrument was pretested in the east central region, then administered with minor modifications to every regional administrator and manager.

The instrument was administered face-to-face by the same team member who had administered both instruments previously mentioned. The interviewers were trained using role-playing techniques. To ensure comparability between regions, interviewers specialized in certain positions and covered the same positions in all regions. To validate the responses, each response to each question was listed and discussed by the entire team. Discrepancies in the responses were verified by phone and additional follow-up was done where necessary.

CONCLUSION

This discussion of the study approach only summarizes key research activities and procedures. It describes, but can not fully capture the ongoing training, rigor, and care that goes into the research process.

The department certainly has a right to disagree with the conclusions of the study, and the General Assembly should weigh the department's concerns as it makes its decisions in this area. Evaluation is, after all, but one input in the decision-making process. To suggest, however, that the study is somehow an inadequate input in this process is wrong. The study was professionally and competently done. One may wish to draw different conclusions from the data presented, but the department's attacks on the study process and data generated by it are unfounded.

RESPONSES TO RECOMMENDATIONS

JLARC Staff Recommendation (1). DOC should consolidate the supervision of the functions performed by the units of research and reporting, program development, and planning and policy development. Only one manager would be needed instead of the current three. Further economies may result from a task analysis of the positions in the consolidated unit.

DOC Response:

After careful study and consideration of the JLARC staff recommendation that the Program Development Unit, the Planning and Policy Development Unit and the Research and Reporting Unit consolidated into a single unit, the Department of Corrections finds this to be unworkable and an impediment to its operations.

The JLARC recommendation to eliminate two manager positions implicitly assumes that the resulting spans of control for the two remaining section supervisors of 1 to 9 and 1 to 11 is a workable solution.

To test this assumption, the Department employed a convergence strategy using three separate indicators, *i.e.*, a review of literature concerning span of control, Management Cost Ratio, and the staffing ratios of similar type organizations in other State agencies.

All of the information and indicators reviewed by the Department, including those cited by JLARC staff, support the Department's contention that the current management structure of these units is not excessive. In addition, all of the indicators strongly suggest that the JLARC staff recommendation would result in too little management structure for these important planning and research units.

The principle of span of control is that there is a limit to the number of subordinates that should report to one superior. Some writers state precisely a number of people one person can supervise. According to Chris Argyris, as quoted in Classics of Organizational Behavior, 1978, p. 261, "The principle of span of control states that administrative efficiency is increased by limiting the span of control to no more than five or six subordinates whose work interlocks."

However, the principle of span of control must be interpreted in the context of organization to which it is applied. Ross A. Webber, in his textbook Management, Basic Elements of Management Organizations, 1975, p. 391, concludes his section regarding span of control by saying:

"In general, the acceptable span of control decreases with: 1) less predictable work demands, 2) greater discretion allowed subordinates, 3) greater job responsibility - as measured by the length of time between a decision and its review or results, 4) less measurability of results, and 5) greater task interdependence among subordinates. Where subordinates work on simple, repetitive, programmed, and easily measured tasks, the span of control can be quite large."

Staff in the Program Development, Planning and Policy Development, and Research and Reporting units typically work on a diversity of projects, supporting executive and operational staff in a variety of situations. Often the results of their work can have widespread implications for the agency in terms of its internal organization and operation or in terms of its interrelation with other facets of state government or the criminal justice community. The issues are often technical and complex, such as the long term prediction of prison populations or the impact of the legislative changes. This type of work indicates that a narrow span of control is most appropriate.

The JLARC staff cites the American Management Association's recommendations concerning span of control, wherein the AMA recommends a "span of control ranging from 3 to 7 for technical jobs, 4 to 8 for semi-analytical jobs, and 6 to 10 for administrative jobs." The spans of control stated by the AMA are actually:

<u>Technical and analytical jobs</u>	3 to 7
<u>Semi-analytical and administrative</u>	4 to 8 ¹
<u>Administrative</u>	6 to 10 ¹

The positions in the three units perform jobs which are within the categories of "technical and analytical" and/or "semi-analytical and administrative," for which a broader span of control is not considered appropriate.

Given the analytical and technical nature of the majority of the jobs with these units, it is difficult to see how the span of control could be broadened to implement the JLARC staff recommendation without a reduction in leadership and a significant decrease in the effectiveness of these units.

Utilization of a technique developed by a major national consulting firm, the "Management Cost Ratio," indicates that the management structure within the three units is appropriate. The "Management Cost Ratio" (MCR) is a tool for measuring management structure by comparing dollars spent on managing with dollars spent on producing. In most organizations an MCR between 0.20 and 0.30 indicates a healthy management structure. MCR's above

¹AMA "Manual on Manpower Planning," p. IV-14. (Emphasis added)

0.30 often occur in departments where the manager has too small a span of control, while a ratio below 0.20 indicates too lean a management structure.

When this technique was applied to assess the management structures for the three units, the ratios were .176 for the Research and Reporting Unit, .21 for the Program Development Unit and .25 for the Planning and Policy Development Unit. The overall MCR for the three units combined is .22. This indicator suggests, then, that the span of control is appropriate or, in the case of the Research and Reporting Unit, too broad already. Using this measure, the proposed JLARC staff structure would create an MCR of .13 (or .116 and .154 for the two sections within the proposed unit), and the span of control would be so broad that it could result in low productivity and quality control problems.

A review of the organizational structure of 9 units in 4 other state agencies having units with similar responsibilities (the Department of Motor Vehicles, the Department of Planning and Budget, the Department of Social Services, and the Department of Mental Health and Mental Retardation) reveals that 8 of the 9 units have structures consistent with that of the Department of Corrections. One section in the Department of Planning and Budget exceeds the span of control of the current Department of Corrections structure. However, that unit, with a span of control of 1:9, has three Grade 16 Senior Analysts who can act as team leaders for the others. Other state agencies with research and policy units have independently arrived at the same conclusions as the Department of Corrections regarding management needs for these types of units.

Conclusion

The convergence strategy employed strongly indicates that the span of control under the present organizational structure of the three units is appropriate. The JLARC staff report provides no evidence to support the contrary. The JLARC staff seems to have based its recommendation solely on the premise that work within the units is similar. While there may be interdependence of some of the projects the units undertake, there are also clear distinctions among the roles of each of the units. Furthermore, in its recommendation, the JLARC staff has in no way considered the complexity and variety of the tasks of these units. The Department of Corrections must maintain its position that the minimal cost savings of two management positions cannot be justified as compared to the greater risk of loss due to decreased effectiveness, efficiency, and production.

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 1. RESEARCH AND DEVELOPMENT

The points made in the department's response do not establish the need to maintain separate units headed by separate managers. Assignments to the units appear to overlap, and staff of the units have skills and knowledge that could augment and supplement each other. In fact, the response does not address these points, concentrating instead on the increased span of control which would result from the JLARC recommendation. In addition, the findings from the three methods used by DOC to support the existing structure appear flawed.

Slightly broadening supervisory personnel's span of control is a useful and reasonable austerity measure widely used in the private sector. Managers in two of the three units indicated to JLARC that the appropriate number of employees for them to supervise would be more than at present. Increasing spans of control should cause no major problems for the proposed unit, especially if the project team method of organizing work -- already used on a limited basis in these units -- is adopted. The team concept ensures that intensive supervision and review are provided on projects by the team leader as well as by unit management.

As for whether the recommended structure exceeds normal and accepted span of control practices, the Argyris article cited by DOC in fact refutes strict adherence to a numerical standard:

The principle of span of control, by keeping the number of subordinates at a minimum, places greater emphasis on close supervision. Close supervision leads the subordinate to become dependent upon, passive toward, and subordinate to the leader. Close supervision also tends to place the control in the superior. Thus we must conclude that span of control, if used correctly, will tend to increase the subordinate's feelings of dependence, submissiveness, passivity, and so on. In short, it will tend to create a work situation which requires immature, rather than mature, participants. (Chris Argyris, "The Individual and Organization: Some Problems of Mutual Adjustment," Administrative Science Quarterly, 2 (June, 1957), 18.)

As further noted in the Argyris article, adhering strictly to a span of control principle:

...violates another formal organizational principle that administrative efficiency is enhanced by keeping at a minimum the number of organizational levels through which a matter must pass before it

is acted on. Span of control...inevitably increases red tape, since each contact between agents must be carried upward until a common superior is found. Needless waste of time and energy results.

Clearly, the DOC use of the Argyris article is out of context. If anything, the article supports JLARC's position. Additionally, each manager was asked whether he considered his current span to be appropriate. Thus span of control within DOC was not strictly held to a numerical principle. Rather it was evaluated in terms of the individual manager's perceptions as well as broad guidelines.

Additional literature concerning span of control supports the thrust of the JLARC recommendation. For example, Robey makes these comments in Designing Organizations (Homewood, Ill.: Richard D. Irwin, Inc., 1982).

Conflicting prescriptions for span of control have produced confusion in organization theory regarding this critical aspect of organization design. Classical prescriptions for narrow spans, for example, have been dismissed by some authors because of their apparently mechanistic assumptions and behavioral insensitivity... Narrow spans of control represent a relatively expensive means of controlling subordinate behavior in comparison to more impersonal means... Therefore, the chosen span of control should be as large as possible, given the nature of the task being supervised.

The JLARC analysis of DOC's initial response cited span of control guidelines recommended by the American Management Association. The guidelines were cited in support of the point that span of control guidelines typically suggest a narrower span for technical work and a broader span for more general or routine work. Specific numerical standards were not used as evaluative criteria in the JLARC exposure draft report, except to question spans of less than three or more than 20. As noted, even in these cases additional factors were considered before drawing a conclusion about staffing levels.

The management cost ratio (MCR) technique used in DOC's response may not adequately control for factors which are irrelevant to span of control considerations. For example, the MCR is sensitive to which points were used on the salary scale, and to whether supervisors were considered part of management costs. The ratio of management to subordinate salaries may also be dependent upon time in grade, differences in pay grades between management and subordinates, and other factors. Without accounting for these concerns it is not clear that DOC's use of MCR is meaningful.

The review of other State agencies is misleading, and does not support the conclusion that other agencies have "structures consistent with that of DOC." While the other agencies perform functions

similar to the DOC units under review, some are organized quite differently. For example, the Department of Social Services (DSS) has a Bureau of Research and Reporting which contains 32 positions. The unit has two supervisors -- one supervises 17 positions and the other supervises 12 positions. A separate unit, program development, reports through a separate chain of command in DSS. The Department of Mental Health and Mental Retardation has a unit consisting of one assistant commissioner who coordinates policy and research development using staff drawn from other organizational units on an ad hoc basis. A program standards and evaluation section reports through a separate chain of command. The Division of Motor Vehicles contains a planning and program development unit with a total staff of 16. A lead methods and procedures analyst acts as supervisor over six positions, and the head of the unit supervises the remaining eight positions.

DOC does not clarify the "gray area" of assignments which could be made to at least two of these units. The prior assistant director, who assigned work to these units, told JLARC staff he "saw no real reason why these units (the program development unit and the planning and policy development unit) are separate." Managers of these two units separately told JLARC that there was a "gray area" of assignments that could reasonably go to either unit. The grounds for operating these units separately thus appears questionable.

Based on the department's arguments to date, it still appears that the recommended structure, which would combine staff with complementary knowledge, skills, and abilities, would improve opportunities for coordination between the currently separated units. Consolidating research and development units should enhance, rather than degrade, the overall work of these units. These factors, combined with the potential for savings, argue for the merger of the units as recommended.

JLARC Staff Recommendation (2). DOC should implement the February, 1982 recommendations of the State Internal Auditor relating to (1) the realignment of the internal audit unit so that the manager reports directly to the director of the department, and (2) removal of the unit's on-going responsibility for reviewing and correcting financial records prior to audit. The potential need for additional internal audit positions, identified in the State Internal Auditor's report, should be considered but only after certain duties are transferred out of the unit.

DOC Response:

After continued review of this matter, the Department of Corrections does not feel that the integrity of the Internal Auditing Unit is compromised by its current placement under the Deputy Director for Resources Management. However, the Department will move the Internal Auditing Unit under the operational control of the Director.

"Request audits" will continue to be performed in keeping with the role of an internal audit unit. Copies of the results of these audits will be submitted to the Director for his information.

The Department's Internal Auditing Unit no longer corrects financial records prior to an audit. Further, the State Auditor's report confuses the mission of an internal auditor with that of an external auditor. It is accepted practice in both the public and private sectors to provide support by internal auditors because: 1) they are already on the scene; 2) they know the situation intimately; and 3) they are familiar with working out specific problems rather than developing new systems or making major modifications to existing systems.

Conclusion

The manager of the Internal Auditing Unit will report to the Director. DOC does not agree that current activities of the unit are inappropriate.

JLARC Staff Recommendation (3). The functions and staff now under the planning and development unit (in Enterprises) should be reassigned to their previous locations. The manager position for planning and development should then be abolished. The consultant position retained by Enterprises should also be abolished.

DOC Response:

DOC disagrees with the recommendation that the Corrections Enterprises Program and Development Manager and Unit be eliminated. The Department's stance is that a high-level staff position responsible for long-range planning and development is essential to the effective growth and development of Correctional Enterprises.

This position is needed if Correctional Enterprises is to function in the productive, businesslike manner desired by the Department and expected by the General Assembly, through its Joint Subcommittee on Inmate Productivity. U.S. Chief Justice Warren Burger repeatedly has called for expanded prison industries as a key to improved correctional programs.

Corrections Enterprises is a rapidly expanding industrial complex of 21 manufacturing and service industries located in 32 shops (23 manufacturing and 9 services). In approximately one year, gross sales have grown from about \$9 million to \$14 million and are expected to increase to \$18,592,550 next year. The number of inmates employed has increased from 680 to 950 with needs and expectations for even greater increases in the future. This growth is in response to the Executive Agreement with the Governor, legislative resolutions and subcommittees, changing and increased prison population, changes in legislation, and a renewed focus and commitment by the Department of Corrections. In the past, many of the prison industries have been similar to "jobs shops," manufacturing custom or semi-custom products as orders were received. There was little long-range planning for systematic expansion. When additional inmate jobs were required, new industries were started or old industries expanded, only to find no market or the inability to meet prices and/or quality available elsewhere. This resulted in loss of money, closed shops, and rethinking and shaping of Correctional Enterprises.

Correctional Enterprises must function in a segment of the open market, sales to government agencies, in direct competition with private industry.

To meet the primary objective of providing work opportunities for inmates, Enterprises must be able to maintain a share of the market large enough to provide funds for its operation. The only way to accomplish this is to function in an efficient, well-managed way using the same business principles as the private-sector competition.

The purpose of the Enterprises Program and Development Manager is to provide long-range planning relating to industries for new institutions, to develop industries for existing institutions as space becomes available, and especially to develop replacements for those that have run their product life. Also, the position is responsible for developing efficient management practices and systems for use throughout the Correctional Enterprises operation. Among the areas currently under study or in need of attention from the Program and Development Manager are:

1. Nottoway - development of a work-flow scheduling and monitoring system to determine the maximum and optimal output levels with various work schedules, labor usage, etc., and the related input requirements;
2. Augusta - development of start up schedules, work-flow monitoring system, etc., for the laundry and sewing shop;
3. Penitentiary - develop plans and schedules for relocation of industrial shops due to planned closing of the Penitentiary by 1990;
4. Study and develop an effective quality control system, using the most appropriate methods for each industry;
5. Develop and implement an automated information system for use by all Correctional Enterprises functions;
6. Provide assistance to the Finance Manager in reviewing overhead and indirect cost allocation to develop a more accurate and equitable method;
7. Review and redesign the inmate pay system with consideration given to equity, training and experience, job difficulty, etc.;
8. Study and develop a uniform inmate selection system to be used in all shops at all institutions;
9. Provide assistance to the Market Manager in developing plans to meet legislative and departmental mandates, efficient use of resources, and changing market conditions; and
10. With input from other disciplines within Correctional Enterprises, continually study new industry possibilities as well as current systems to maintain a viable organization.

The growth of Enterprises has a definite effect on the need for long range strategic planning in all aspects of the industry-markets, products, equipment, life expectancy of equipment, storage (both raw material and finished products) and staffing (inmate and free). With new modern equipment, productivity in some areas exceeds the usual market. New markets within statutory parameters which have to be explored, planned and developed. Some areas of exploration which call for "high level" planning and exploration are possible sales to the federal government and other states.

The need for a quality assurance system cannot be expressed too strongly. The responsibility for developing such a system falls, in the main, to the Manager, Program and Development. With Enterprises in a line production mode, increased warehouse space, vastly increased production capabilities, diversified locations of shops and sales delivery being from warehouse stock, the quality assurance has to be built into the planning of the shop, the proper equipment, supervision, staffing, storage, and delivery, with scheduled and unscheduled inspection at each point. This requires a high level of coordination to ensure that the proper sources of expert information are tapped and the resources used correctly.

The JLARC Staff Report makes reference to two planners currently on the Correctional Enterprises staff. One of these functions as the Sales Office Manager and is not functioning in a planning capacity. (The classifications of Corrections Planner A and B are used throughout the Department of Corrections for positions as diverse as Planner, Certification Specialist, and Administrative Assistant. It cannot be assumed that because a position is filled by a Corrections Planner, the incumbent performs a planning function.) The Department of Personnel and Training has evaluated the former Planner A position and found its appropriate classification to be Corrections Research Analyst. This downgrading has been accomplished. The other planner conducts special duties as assigned by the Manager of Planning and Development, collects, compiles and analyzes information in support of planning projects, revises existing policies and recommends changes to keep policies current. This Planner monitors progress towards achieving planning objectives and prepares analyses for the Manager. Obviously, this one Planner cannot perform all of the activities required by the growth of Correctional Enterprises. The shifting of certain non-planning functions to other positions will allow this position to operate effectively as a planner.

Services of the consultant mentioned in the JLARC Staff Report are being phased out and personnel transactions are in motion to effect funding of the full-time Program and Development Manager position through self-generated funds.

Conclusion

The conclusion drawn in the JLARC Report that "the needs for a permanent employee to supervise Planning and Development Services appears questionable; however, because marketing and work force limitations constrain the development of new techniques and industries in DOC" is precisely the kind of faulty, short-range reasoning that has led to inefficiencies and problems in the past.

While the potential market and work force are limited by law, the present level of market penetration and work force utilization are well below the limit. More importantly, the restrictions placed on Correctional Enterprises serve to amplify the need for long-term planning. If Correctional Enterprises is to survive in its limited market and continue to serve the people of the Commonwealth by providing work opportunities to inmates at virtually no cost to the taxpayer, the long-term planning function is imperative, and must take place at an organizational level with direct access to the Manager of Enterprises and not at a level to be caught up in the day to day management of activities. Without this "headlight," Corrections Enterprises will be inert and reactive, rather than the vital, active, forward-thinking organization it must be to meet the competition.

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 3. ENTERPRISES

JLARC staff agree with the department's point that a high-level staff position responsible for long-range planning and development would be an essential component to increased efficiency in enterprises. The structure of the unit in place during the JLARC review was not appropriate to carry out this intended purpose, however.

The initial recommendation to abolish the manager position for planning and development was intended to clear up an organizational arrangement where a manager spent a greater portion of his time in matters unrelated to his unit's mission than he spent on the position's intended purpose. The recommendation did not include abolishing the planning and development functions of enterprises.

The Director of Corrections stated that enterprises planning was in flux during 1983 and going through developmental stages. In addition, the DOC response has provided a more detailed description of the planning and development manager's duties and goals than was previously available. Consequently, it appears that the situation has changed significantly since the JLARC fieldwork occurred. Recommendation 3 will therefore be held in abeyance until 1985, when a follow-up review may be made of this position. An improved enterprises planning function should be in place by that time. Several steps should be taken to ensure this improvement occurs:

1. Compatible functions should be assigned to the planning and development unit.
 2. The warehouse function should be taken out of the program and development unit and placed in a more appropriate unit.
 3. The consultant's services should be terminated.
 4. Personnel transactions should be completed to fund the program and development manager's position from self-generated funds.
 5. Action should be underway on at least the ten specific tasks requiring the attention of the program and development manager.
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JLARC Staff Recommendation (4). DOC should develop for use in the 1986-88 biennium, a comprehensive manpower plan which specifies a minimum staffing level and which shows how the number and type of staff positions in the Department match workloads. The plan should specify staffing standards that are tied to workload measures. The plan should also specify existing productivity levels and set goals for improving productivity.

DOC Response:

The Department is willing to begin to research and study various approaches to determine the best type of manpower plan and program for the Department.

The Department has already established an internal Manpower Commission whose functions include the reviewing of the staffing levels of facilities and programs, but the development of a comprehensive manpower plan is a major undertaking which will require extensive resources of both time and manpower. It will require a thorough review of the basis for the current staffing patterns in the Department. The task is complicated by the complexity of the Department, its geographic diversity, the different types of facilities with different missions, architectural structures and programs and the various types of clients served.

We will make contact with other state agencies, other states' correctional departments and the military to review their manpower programs. The use of outside consultants will be considered in order to speed up the process and to provide expertise.

Conclusion

The initial study and research for determining the type of manpower plan we should develop will be completed by January, 1985.

JLARC Staff Recommendation (5). DOC's manpower plan should address the practice of using P-14 temporary employees where specialized training is required. The plan should specifically compare the costs of continual training with the costs of using permanent salaried employees for the same duties. DOC's use of P-14 temporary positions should conform to State policy.

DOC Response:

DOC is fully in accord with the JLARC staff report that the prolonged use of temporary, hourly employees ("P-14's") to perform work where specialized skills and training are required is not cost effective.

The Department has sought for the past three bienniums to obtain authorization to increase its ceiling on Full Time Equivalency (FTE) positions, in order to replace the hourly wage workers in Classification & Parole Administration with permanent employees, but to no avail. These requests were rejected in the Executive branch.

Some progress has been made in replacing P-14 workers in Classification & Parole Administration with FTE positions, however. In 1982, the Department eliminated nine hourly positions in Classification & Parole Administration by converting eight positions being eliminated elsewhere in the agency. Due to repeated cutbacks in FTE levels, the Department finds it impossible to replace the remaining hourly positions from within its existing resources.

Conclusion

The manpower plan being developed as a result of Recommendation (4) will include an assessment of the cost of P-14 positions which require specialized training.

JLARC Staff Recommendation (6). DOC should eliminate one adult services and one youth services regional office and redistribute the workload among the remaining regions. Priority considerations should be given to balancing the workload of the regions with travel time incurred by the regional staff, and secondly to equalizing the number of facilities in each region. Consideration should be given to the proposals discussed in Chapter 3.

DOC Response

The position of the Department of Corrections is that five regions are necessary for the effective functioning of the regional administrative structure. The Department agrees with the JLARC staff in its assessment that the regional structure facilitates the achievement of management objectives set out by the Department. The Department does not agree that these objectives could be achieved if one adult services and one youth services regional office are eliminated.

A. Existing staff in four regions could not possibly absorb the additional workloads which would be generated in those regions by implementation of the recommendation. The staff report states, "The chief objective of JLARC's first proposal is to reasonably balance the principal workload of each regional position between four regions while minimizing travel time." The data which follow address only perceived disparity in workload (which will be discussed later) and the impact of the recommendation on travel time. No data are presented to indicate that current staffing patterns are excessive. The only data at all related to appropriateness of workload were derived from interviews with regional staff and include such statements as:

"...the RAs in the east central and southeast regions said they had too many facilities...the northern and western RAs suggested they could handle more facilities," "most managers also suggested that they felt they could adequately manage 'a few more' probation and parole districts than at present," "adding smaller jails to the east central and southeast regions--where the managers stated they could handle more facilities--would provide a more equitable distribution of the workload," "in general, these regional managers (State and Local Youth Facilities Managers) felt they could handle some additional facilities without significantly impacting service delivery...", and "During JLARC interviews, four of the five youth services RAs indicated that they could handle an increased number of facilities."

This constitutes paltry evidence on which to base a recommendation to eliminate 22 1/2 positions and greatly increase travel time of the remaining staff while at the same time increasing the workloads of those regions.

Rather than provide an evaluation of staffing needs, the JLARC staff has taken the stance of increasing all workloads to the level of those regions which currently have the heaviest workloads with no regard for the appropriateness of the workloads in those regions. For example, in the area of adult institutions, the staff report states, "Although the redistribution of workload would increase in three regions, existing regional manpower could be expected to accommodate the increases if staff in other regions are expected to work at the pace already established by the east central regional staff." The staff report previously had noted that the "RAs in the east central and southeast regions said they had too many facilities." The recommendation for elimination of one region appears to be based on statements by some regional staff that they could, as individuals, handle a few more facilities, yet the JLARC proposal would set as a standard those regions whose staff indicated the workload was already too heavy! It is the position of the Department of Corrections that time-and-motion studies and evaluative studies would indicate the need to reduce the workload in areas where it is currently greatest.

Further, the recommendation and the accompanying discussions of workload reflect a misunderstanding of regional office functions, an underestimation of workload, and a failure to consider near-future projected workload increases.

Regional Administrator - Adult

The JLARC staff report addresses the role of the Adult Services Regional Administrator almost entirely in terms of adult institution functions. The travel time of the Regional Administrator is addressed strictly in terms of adult institutions, and although the report includes mention of the responsibility of the RA for supervision of P & P Chiefs and regional office staff, the only in-depth discussion of workload is in terms of inmate grievances and adult institution employee grievances. While the greatest proportion of Adult Services Regional Administrators' time may involve adult institutions, the report does not adequately reflect the demands placed on time for supervision of community services.

Probation and Parole Managers

The JLARC staff report does not acknowledge several important functions of the Probation and Parole Managers: making periodic reviews of client files to evaluate the quality of casework services being provided; reviewing probation revocations and reviewing/conducting preliminary parole revocation hearings at local jails; reviewing requests for level changes of supervision for clients supervised directly by district staff; and the provision of technical assistance and supervision to district staffs. Neither does the report acknowledge the anticipated increase in workload of these managers.

The projections for caseload growth in Probation and Parole indicate substantial increases for the future. By

1986, the projected caseload will be 22,671, while officers will be responsible for a projected 36,996 investigations. The management-by-exception principle thus will dictate a higher contact need between manager and unit on this basis alone. The recently completed study on Probation and Parole by the Virginia Department of Planning and Budget indicates the need for additional case reviews for management purposes requiring 45,388 reviews to be conducted annually (1986 case-load projections). Since many of the Probation and Parole district offices operate with a single supervisory person, the managers will frequently be required to participate in such reviews. This same study identifies the need for the Department of Corrections to research and consider developing a system of services for the General District Courts. In addition, the 1984 General Assembly has directed that a specific study of the feasibility and cost of District Court services be completed and an implementation plan developed. Without full technical assistance from the regional managers this task will be difficult to study and impossible to implement.

The thrust in community corrections which emphasizes the development of community alternatives for the more than 20,000 Probation and Parole cases will significantly affect the time of managers as the key providers of technical assistance for units. The development of this system of community alternatives is expected to impact not only those presently on probation and parole but to assist in controlling the growth of the incarcerated population.

Regional State & Local Adult Facilities Managers

The JLARC staff report does not acknowledge several of the vital functions of the Regional State and Local Adult Facilities Managers. These include: coordinating placements with the Department's Central Classification Board, and the regional work release units; assisting in the development of action plans to correct deficiencies noted by certification teams; monitoring accomplishment of activities included in the action plans; providing technical assistance in jails management, including program development, construction planning, classification, submissions to the Board of Corrections, development and implementation of policies and procedures; and performing classification reviews and developing parole plans on appropriate inmates.

In addition to the functions listed above, the State and Local Adult Facilities Managers will soon be responsible for ongoing inspections which must be performed at least 3 times annually.

Regional Offices - Youth

The nature of the work of the Youth Services Regional office staff is highly technical requiring extensive skills and experience. The Department views the term "supervision" as requiring frequent, face-to-face contact, collection and analysis of data and determination of appropriate actions, or where necessary, solutions to different types of problems.

Successful operational results are contingent upon the large amount of time required to prepare for supervisory, advisory, informational, and planning conferences and travel from the office base station to units and agencies in the area served.

An important function of the Youth Services regional offices is the initiation and development of special projects which have statewide impact. Three examples of exceptional programs are as follows:

1. The evaluation of residential care facilities will indicate if the programs are accomplishing what they are designed to do and are cost effective. Specific skills are needed to determine what questions should be asked, which segments of the programs should be examined and the proper interpretation and analysis of the answers.
2. When juvenile court intake became a mandated service under the Code of Virginia, it was handled in a variety of ways throughout the State. Since intake is the entry point into the juvenile justice system it is imperative that it be a consistent, meaningful, clear process through which the child and their families receive the necessary assistance and insure the legal safeguards. In a study several years ago, the State Crime Commission recommended the development of a comprehensive training course for all probation counselors who serve as intake officers. Since the central office did not have staff to carry out this project, it was assigned jointly to two of the regional offices. The project has required considerable time but an outstanding job is being performed by these offices in developing a professional series of video tapes which will be used statewide to carry out this vital service.
3. It has long been felt that a critical need in the court service system is the development of a highly specialized training course for the staff who provide technical supervision to line probation counselors. Training has been offered in the traditional supervisor/manager area but training has not been available in the clinical (casework) skills which are needed by supervisors in assisting probation counselors to do intensive work with youth and families. There is a critical need in this area because the juvenile justice system is now placing strong emphasis on family counseling. One region is

presently developing a supervisor's training package that if successful will be implemented statewide. These and other projects are being carried out through one or more regional offices but benefit the entire state. These are projects which require considerable staff time but will result in great benefit to the juvenile justice system.

- B. The first proposed regional structure presented by the JLARC staff is detrimental to the concept of a regionalized service delivery system. The proposal would establish a separate regional structure for each of the 5 functional areas (adult institutions, probation and parole, jails, court service units, and State and local youth facilities). This would result in administrative chaos for central office management and support functions. Regional Administrators would be responsible for different geographic areas for each function. Probably more importantly, it would reverse the effort that has been made during the past five years to establish responsive, efficient communications between Corrections and local government. City Managers, county administrators, sheriffs, Commonwealth's Attorneys, court staffs, legislators and others who have become accustomed to dealing with a single, co-located Regional Office on all matters concerning Corrections would be confronted in many instances with contacting different regional offices depending upon whether their business concerned Probation and Parole, Jails, Court Service Units, or local Youth Facilities.

This would be compounded by the fact that the staff report rejects the use of existing boundaries for counties, cities and judicial districts as a valid criterion in the establishment of regions. For example, seven judicial districts would fall within more than one region according to function and in 5 cases the judicial region would fall within more than one region for the same function. To illustrate, the 9th Judicial District would fall within the East Central region for Probation and Parole but within the Southeast region for Jails. The 24th Judicial District would be split between the Western and East Central regions for adult probation and parole matters, among the East Central, Western, and Northern regions for local jails, between the Western and East Central regions for local youth facilities, and placed in the East Central Region for juvenile Court Service Units.

In addition, the report proposes to move supervision of the Court Service Unit in Staunton to the East Central Region located in Richmond, but left the supervision of the Shenandoah Detention Home, also located in Staunton, in the Western Region.

The proposed regional structure appears to be contrary to the concept of regionalization held by JLARC itself. In the JLARC draft report entitled An Assessment of Structural Targets in the Executive Branch dated September 21, 1983, the JLARC staff states, "The Governor's Management Study Commission recommended in 1970 that a uniform system of dividing the state into regions be devised. The Commission said that since few agencies have consistent regional boundaries, it causes 'unnecessary complexities in carrying out the functions of State government....' This point appears to be valid today." (p. 1-27). If different state agencies should have coterminous boundaries in order to avoid "unnecessary complexities," then surely it should follow that one state agency should not be plagued with five separate regional structures.

C. The JLARC staff report misrepresents the effect of increased travel which would be required to implement the recommendation.

The JLARC staff report states that travel time statewide would increase by only a small amount if the Central region were eliminated. The report includes comparative estimates of travel expressed in FTEs. However, presentation of the estimates in a more meaningful way reveals that the effect of the increased travel on the remaining staff is indeed significant.

The following data is based on JLARC staff estimates of travel required under each proposal. FTEs have been translated into estimated maximum travel hours.

1. Adult Institutions

The JLARC staff combined the travel requirements of the Regional Administrator, Operations and Training Manager and Support Services Manager in its analysis of travel time. Although the following table illustrates that travel will increase dramatically for the three positions in each of the remaining regions, when the three positions are considered separately, the effect on some of the individual managers is even greater. For example, when the travel time for the three positions in the Norther region is combined, the increase is 52%; however, the travel time for the Operations and Training Manager would increase by 64% and that of the Support Services Manager would increase by 65%, while that of the Regional Administrator would increase by 35%. In addition, the Regional Administrator in the East Central region would experience a 55% increase in travel, while the increase for the three positions combined would be only 11%.

Current and Proposed Travel Time
Adult Services Regional Institution Support Staff
(in Travel Hours)

<u>Region</u>	<u>Current</u>	<u>Proposed</u>	<u>Difference</u>	<u>% Change</u>
Western	845	1391	+546	+65%
Central	1746	-	-1746	-100%
Northern	1066	1623	+557	+52%
East Central	945	1047	+102	+11%
Southeast	1143	1846	+703	+62%
Statewide Total	5745	5907	+162	+ 3%

From the above, it can be seen that according to JLARC estimates, there will be an increase in statewide travel time of only 3%. However, for the remaining regions, staff travel requirements will be much greater. Travel time for the East Central and Southeast Regions, which the JLARC staff appears to acknowledge already have excessive numbers of facilities, would increase by 11% and 62% respectively, while the Western region would experience a 65% increase and the Northern region a 52% increase.

Moreover, while there would be a statewide increase in travel of only 39%, there would be three less staff who would be traveling. When this is considered, statewide travel for the remaining positions will increase by 48% over the amount of travel included in their current schedules. This increase in travel time necessarily means that the amount of time available for productive work decreases, yet the proposal would require each region to assume larger workloads.

2. Probation and Parole Managers

Current and Proposed Travel Time
Probation and Parole Managers
(in Travel Hours)

<u>Region</u>	<u>Current</u>	<u>Proposal</u> <u>1</u>	<u>%</u> <u>Difference</u>
Western	263	541	+106%
Central	699		-100%
Northern	305	377	+ 24%
East Central	259	641	+147%
Southeast	483	483	0%
Statewide Total	2009	2042	+ 2%

<u>Region</u>	<u>Proposal 2</u>	<u>% Difference</u>	<u>Proposal 3</u>	<u>% Difference</u>
Western	341	+30%	311	+ 18%
Central	-	-100%	-	-100%
Northern	425	+ 39%	585	+ 92%
East Central	905	+249%	1157	+347%
Southeast	<u>586</u>	+ <u>21%</u>	<u>538</u>	+ <u>11%</u>
Statewide Total	2257	+ 12%	2591	+ 29%

While the increase in total statewide travel would range from 2% with proposal 1 to 29% with proposal 3, the effect on the four remaining managers would be much more significant. Proposal 1 would result in an increase ranging from none in the Southeast Region to 147% in the East Central Region. This proposal would require the managers in the Western Region, East Central Region and Southeast Region to spend one-third of their time in travel.

Proposal 2 would result in increases in travel ranging from 21% in the Southeast Region to 249% in the East Central Region. Under this proposal, the manager in the East Central Region would spend over one-half of his time on the road.

Proposal 3 would result in an increase in travel ranging from 11% in the Southeast Region to 347% in the East Central Region, with two-thirds of that manager's time being spent on the road. Managers in both the Northern and Southeast Regions would travel one-third of the time.

Moreover, while the statewide total travel increase would range between 2% and 29%, since only four managers would be doing the travel currently done by five managers, the statewide travel for the remaining four managers would increase over their current schedules by 56% under Proposal 1, 72% under Proposal 2, and 98% under Proposal 3.

3. Jail Managers

Current and Proposed Travel Time Regional Jail Managers (in Travel Hours)

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>% Difference</u>
Western	958	923	- 9%
Central	461	-	-100%
Northern	210	692	+230%
East Central	420	637	+ 52%
Southeast	<u>1035</u>	<u>1259</u>	+ <u>22%</u>
Statewide Total	3084	3511	+ 14%

<u>Region</u>	<u>Proposal 2</u>	<u>% Difference</u>	<u>Proposal 3</u>	<u>% Difference</u>
Western	863	- 10%	1034	+ 8%
Central	-	-	-	-
Northern	738	+251%	240	+ 14%
East Central	943	+125%	965	+130%
Southeast	<u>892</u>	<u>- 14%</u>	<u>861</u>	<u>- 17%</u>
Statewide Total	3436	+ 11%	3100	+ 1%

Although statewide travel time changes range from a 1% increase under proposal 3 to a 14% increase under proposal 1, the effect on the remaining four managers ranges from an 18% under proposal 3 to a 34% increase under proposal 1. The effect of these increases will be further considered in the discussion on disparity of workloads.

4. Court Service Unit Managers

Current and Proposed Travel Time Court Service Managers (in Travel Hours)

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>% Difference</u>
Western	528	468	- 11%
Central	102	-	-
Northern	183	231	+ 26%
East Central	42	252	+500%
Southeast	<u>292</u>	<u>292</u>	<u>0%</u>
Statewide Total	<u>1147</u>	<u>1243</u>	<u>+ 8%</u>

<u>Region</u>	<u>Proposal 2</u>	<u>% Difference</u>	<u>Proposal 3</u>	<u>% Difference</u>
Western	552	+ 5%	552	+ 5%
Central	-	-	-	-
Northern	231	+ 26%	231	+ 26%
East Central	218	+419%	218	+419%
Southeast	<u>298</u>	<u>+ 2%</u>	<u>298</u>	<u>+ 2%</u>
Statewide Total	<u>1299</u>	<u>+ 13%</u>	<u>1299</u>	<u>+ 13%</u>

While the total increase in travel statewide ranges from 8% under proposal 1 to 13% under proposals 2 and 3, the total increase for the 4 remaining managers would be 19% under proposal 1 and 24% under proposals 2 and 3 over those managers' current schedules.

5. Youth Facilities Managers

Current and Proposed Travel Time
State and Local Youth Facility Managers
(in Travel Hours)

<u>Region</u>	<u>Current</u>	<u>Proposal 1</u>	<u>% Difference</u>
Western	676	796	+ 18%
Central	792	-	-
Northern	172	382	+122%
East Central	602	1262	+110%
Southeast	333	381	+ 14%
Statewide Total	2575	2821	+ 10%

<u>Region</u>	<u>Proposal 2</u>	<u>% Difference</u>	<u>Proposal 3</u>	<u>% Difference</u>
Western	724	+ 7%	724	+ 7%
Central	-	-	-	-
Northern	382	+122%	382	+122%
East Central	1346	+124%	1346	+124%
Southeast	381	+ 14%	381	+ 14%
Statewide Total	2833	+ 10%	2833	+ 10%

While the total statewide increase in travel is only 10% under all three proposals, since 4 managers instead of 5 would do the travel, the increases over the 4 remaining managers' current schedules are 58% under proposal 1 and 59% under proposals 2 and 3.

- D. The JLARC staff report purports to reduce disparity in workloads; in regard to adult institutions, adoption of the recommendation would intensify existing disparities.

In the context of this discussion, it should be noted that the JLARC staff's choice of workload measures may be too narrow. To presume that a given manager's workload is dependent on only one measure is naive and reflects, at best, a shallow understanding of the business of the regional offices. For example, the workload of a local youth facilities manager may depend not only on the number of facilities for which that person is responsible, but also the size of the facilities and staff, the expertise of the facilities' staff, the attitudes of the judiciary in the area and the support systems available in the community.

In addition, the JLARC staff proposal that the CDI specialist, ombudsman, training specialists and maintenance positions presently housed in the central region be distributed among the remaining regions would automatically create disparity in workloads by creating staffing advantages in those regions receiving the additional staff.

1. Adult Institutions

As evidence of disparity in the institutional workload of the Adult Services Regions, the JLARC staff report uses number of inmates, number of staff, inmate grievances, employee grievances, and assaults at facilities as criteria. Because of the location of Powhatan and the Penitentiary, whose inmate populations account for 27% of the population of major institutions, the East Central region does have a disproportionate share of the workload. However, the proposal presented by the JLARC staff does not alleviate the workload of the East Central region, nor does it show that the other regions do not have adequate workloads already.

During interviews with regional office staff, the RAs in the East Central and Southeast regions said they had too many facilities. It is interesting to note that while the JLARC staff appears to have accepted comments by the RAs in the Northern and Western regions that they could handle more facilities as a basis for recommending elimination of the Central region, the staff appears to have rejected the East Central and Southeast regions' RAs' comments that they had too many facilities. The JLARC staff would instead establish the workload of the East Central region as a standard, and would increase by three the number of facilities in the Southeast region. One of the added facilities would be Mecklenburg, which holds a uniquely difficult inmate population and currently accounts for much of the Central region's staff efforts.

The staff report states, "If the current discrepancy in regional workloads is not addressed, a similar disparity between regions could persist to FY 1986. The planned additions of Nottoway Correctional Center to the East Central region and Augusta Correctional Center to the Western region, and the planned closing of Deep Meadow in the East Central region will perpetuate regional workload disparity." This statement is practically meaningless. The opening of one facility in the Western region would improve balance, not create a greater disparity. The addition of Nottoway and the closing of Deep Meadow in the East Central region will result in practically no change in that region and the proposal itself would still assign Nottoway to the East Central region. Further, recent General Assembly action concerning closing the Penitentiary should have a positive effect on disparity among workloads, although at this time details about where inmates currently housed at the Penitentiary will be reassigned is unavailable.

The following information concerns the distribution of workload under the current and proposed regional structures using JLARC measurement criteria.

a. Inmate Grievances

The JLARC staff used inmate grievances as an indicator of disparity in workload. However, in so doing, the staff failed to recognize several important facts. First, the staff used data concerning grievances resolved by the Regional Administrator (not grievances filed as the report states) during the period January-June 1983. A new grievance procedure was instituted in September 1982 and certified by the U. S. Department of Justice in December of 1983. Consequently, the figures used by the JLARC staff are early start-up figures and as such should not be used as indicative of trends. It is questionable whether grievances should be used to establish workload anyway, as the numbers filed at particular institutions vary greatly from one time period to another.

Second, since the figures used by the JLARC staff include only those grievances resolved at the regional level, they do not include those resolved at levels above the Regional Administrator, although these grievances were reviewed, but not resolved, by the Regional Administrator.

Although it is the Department's view that grievances may not be an appropriate measure of workload disparity due to fluctuations, the following data will illustrate the change in the workload distribution from the January-June 1983 figures used by JLARC to those for the period July 1983 - February 1984 and that workload distribution would not have been improved during the period July 1983 - February 1984 even if the proposed regional structure had been in place.

Distribution of Inmate Grievances
Resolved at Level 3

Region	Jan.-June 1983		Current Structure July-Feb. 1984		Proposed Structure July 1983-Feb. 1984	
	# Grievances	% of Total	# Grievances	% of Total	# Grievances	% of Total
Western	24	3%	168	9.5%	216	12%
Central	167	24%	490	28 %	-	-
Northern	50	7%	168	9.5%	397	22%
East Central	345	50%	557	31 %	546	31%
Southeast	110	16%	390	22 %	614	35%
	696	100%	1773	100 %	1773	100%

b. Employee Grievances

This information reflects the number of employee grievances filed by region for the time periods 7/1/82-6/30/83 and 7/1/83-12/31/83. The data are presented to show the actual distribution of grievances by region and the distribution which would have occurred had the proposed structure been in place. As can be seen, the JLARC staff proposal would have little or no effect on the disparity of workload as related to employee grievances.

Employee Grievances

<u>Region</u>	<u>Actual FY 1983</u>	<u>% of Total</u>	<u>Proposed FY 1983</u>	<u>% of Total</u>	<u>Actual 7/1/83 - 12/31/83</u>	<u>% of Total</u>	<u>Proposed 7/1/83 - 12/31/83</u>	<u>% of Total</u>
Western	14	7%	19	10%	3	3%	4	5%
Central	17	8%	-	-	6	7%	-	-
Northern	15	8%	16	8%	7	8%	10	11%
East Central	117	58%	123	61%	53	60%	52	59%
Southeast	<u>38</u>	<u>19%</u>	<u>43</u>	<u>21%</u>	<u>19</u>	<u>22%</u>	<u>22</u>	<u>25%</u>
Statewide Total	201	100%	201	100%	88	100%	88	100%

Source: "Department of Corrections Report of Grievances Filed and Completed," July 1, 1982 through December 31, 1982; January 1, 1983 through June 30, 1983; July 1, 1983 through December 31, 1983.

c. Assaults

This information compares assaults by region as they occurred during FY 1983 and as they would have occurred had the proposed regional structure been in place. It should be noted that the total number of assaults shown in Table 14 of the JLARC staff report reflect assaults occurring at the major institutions only.

Assaults
Field Units and Major Institutions
FY 1983

<u>Region</u>	<u>Actual Structure</u>	<u>% of Total</u>	<u>Proposed Structure</u>	<u>% of Total</u>
Western	54	12%	63	14%
Central	86	19%	-	
Northern	26	6%	41	9%
East Central	151	34%	149	33%
Southeast	<u>131</u>	<u>29%</u>	<u>195</u>	<u>44%</u>
State Total	448	100%	448	100%

As shown above, in terms of assault as a workload measure, having the proposed regional structure in place during FY 1983 would not have improved disparity in workload, but would actually have intensified it.

Source: "Division of Adult Services Serious Incident Report," July 1982 through June 1983.

d. Inmate Populations

Table 15 and Table 16 of the staff report provide information concerning expected regional workload distribution in FY 1986.

The following table indicates actual workload distribution in terms of inmate population at the present time, and what workload would be if the proposed regional structure was now in place. In addition, the following table reflects workload under the current structure taking into account the closing of Deep Meadow and the opening of Nottoway and Augusta. These charts are based on operational capacities of facilities.

Distribution of Operational Capacities of
Adult Institutions and Field Units

<u>Region</u>	<u>Current</u>	<u>% of Total</u>	<u>Proposed</u>	<u>% of Total</u>	<u>% Change In Workload</u>	<u>Projected Under Current Structure*</u>	<u>% of Total</u>	<u>Projected Under Proposed Structure*</u>	<u>% of Total</u>	<u>% Change In Workload</u>
Western	1013	10%	1499	16%	+48%	1513	15%	1999	20%	+32%
Central	1600	17%	-	-	-100%	1600	16%	-	-	-100%
Northern	1322	14%	1997	21%	+51%	1322	13%	1997	20%	+51%
East Central	3404	36%	3314	35%	- 3%	3467	34%	3377	33%	- 3%
Southeast	<u>2205</u>	<u>23%</u>	<u>2734</u>	<u>28%</u>	+24%	<u>2205</u>	<u>22%</u>	<u>2734</u>	<u>27%</u>	+24%
State Totals	9544	100%	9544	100%		10,107	100%	10,107	100%	

* Figure takes into account closing of Deep Meadow and opening of Nottoway and Augusta.

The preceding table illustrates the effect that the proposal would have on the Western, Northern and Southeast regions, without alleviating the heavy workload in the East Central region. If the proposed structure were implemented today, the Western region at present would be faced with a 48% increase in inmate population, coupled with a 63% increase in travel. Similarly, the Northern region would have a 51% increase in population and a 51% increase in travel. The Southeast region would have a 24% increase in population and a 52% increase in travel.

e. Employment Levels

An analysis similar to that above was done concerning maximum employment levels. The following information is based on maximum institutional employment levels as of 9/30/83, and reflects that the most significant effect of the proposal is to increase employment levels in the already overburdened Southeast region.

Distribution of Maximum Employment Levels
As of 9/30/83

<u>Region</u>	<u>Current</u>	<u>% of Total</u>	<u>Proposed</u>	<u>% of Total</u>	<u>% Change In Workload</u>	<u>Projected Under Current Structure*</u>	<u>% of Total</u>	<u>Projected Under Proposed Structure*</u>	<u>% of Total</u>	<u>% Change In Workload</u>
Western	551.5	11%	703.5	14%	+28%	912.5	17%	1064.5	19%	+17%
Central	951.5	19%	-	-	-100%	951.5	17%	-	-	-100%
Northern	564	11%	984.5	20%	+75%	564	10%	984.5	18%	+75%
East Central	1756.5	35%	1728.5	35%	- 2%	1905	35%	1877	34%	- 2%
Southeast	<u>1171.5</u>	<u>24%</u>	<u>1578.5</u>	<u>31%</u>	+35%	<u>1171.5</u>	<u>21%</u>	<u>1578.5</u>	<u>29%</u>	+35%
State Totals	4995	100%	4995	100%		5504.5	100%	5504.5	100%	

* Includes closing of Deep Meadow and opening of Nottoway and Augusta.

2. Probation and Parole; Adult Community Facilities

With regard to the functions of Probation and Parole and Jails Management, the Department of Corrections has made it clear that the establishment of regions with non-coterminous boundaries is unacceptable. Proposal 1 would establish separate regional boundaries for these two functions, would greatly increase travel and would provide unacceptably large workloads for the regions. Although disparity among workloads would be lessened to some extent, this proposal is unacceptable for the reasons cited above.

In response to the Department's objections to non-coterminous boundaries, the JLARC staff developed proposals 2 and 3. Although these proposals offer coterminous boundaries for the functions of probation and parole and jails, they would also greatly increase travel and workload of the regions. In addition, they would not improve disparities in workload distribution but would intensify disparity, especially when consideration is given to disparity in travel.

Under Proposal 2, the East Central and Southeast Region Probation & Parole Managers would share a disproportionate share of the workload when travel is considered. Under Proposal 3, the East Central Manager would have an extremely high proportion of the workload.

Probation & Parole District Assignments

<u>Region</u>	<u># of Districts Proposal 1</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>	<u># of Districts Proposal 2</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>	<u># of Districts Proposal 3</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>
Western	9	24%	26%	8	21%	15%	7	18%	12%
Northern	10	26%	19%	10	26%	19%	11	29%	22%
East Central	10	26%	31%	9	24%	40%	10	26%	45%
Southeast	<u>9</u>	<u>24%</u>	<u>24%</u>	<u>11</u>	<u>29%</u>	<u>26%</u>	<u>10</u>	<u>26%</u>	<u>21%</u>
State Totals	38	100%	100%	38	100%	100%	38	99%*	100%

*Difference due to rounding

Local Jail Assignments

<u>Region</u>	<u># Jails Proposal 1</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>	<u># Jails Proposal 2</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>	<u># Jails Proposal 3</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>
Western	30	32%	26%	28	29%	25%	32	34%	33%
Northern	23	24%	20%	24	25%	21%	25	26%	8%
East Central	23	24%	18%	24	25%	27%	24	25%	31%
Southeast	<u>19</u>	<u>20%</u>	<u>36%</u>	<u>19</u>	<u>20%</u>	<u>26%</u>	<u>14</u>	<u>15%</u>	<u>28%</u>
State Total	95	100%	100%	95*	99%	100%	95	100%	100%

*Difference due to rounding

Under Proposal 1, the Western region would have a disproportionate share of the workload. The disparity is much greater under Proposal 3 where the Western region would have 34% of the jails and would do 33% of the travel done by regional jails managers.

3. Court Service Units; State and Local Youth Facilities

When travel is considered in addition to the number of units assigned to the managers, neither Proposal 1, 2 or 3 provides a regional structure for Court Service Units and State and Local Youth Facilities which eliminates disparity among workloads.

Court Service Unit Assignments

<u>Region</u>	<u>Proposal 1 # Units</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>	<u>Proposals 2 & 3 # Units</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>
Western	8	24%	38%	8	24%	42%
Northern	9	26%	19%	9	26%	18%
East Central	8	24%	20%	8	24%	17%
Southeast	<u>9</u>	<u>26%</u>	<u>23%</u>	<u>9</u>	<u>26%</u>	<u>23%</u>
Total	34	100%	100%	34	100%	100%

Proposals 1, 2 and 3 would all assign a disproportionately high share of the workload to the Western region.

State and Local Youth Facility Assignments

<u>Region</u>	<u>Proposal 1 # Facilities</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>	<u>Proposals 2 & 3 # Facilities</u>	<u>% of Total</u>	<u>% of Total Time Traveled</u>
Western	16	24%	28%	15	22%	26%
Northern	16	24%	14%	16	24%	13%
East Central	16	24%	45%	16	24%	48%
Southeast	<u>19</u>	<u>28%</u>	<u>13%</u>	<u>20</u>	<u>30%</u>	<u>13%</u>
Total	67	100%	100%	67	100%	100%

Proposals 1, 2 and 3 would all assign a disproportionately high percentage of the workload to the East Central region.

Conclusion

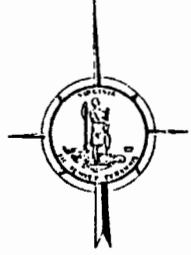
The recommendation to eliminate one adult services and one youth services regional office is not supported by data of an evaluative nature which indicate that staffing patterns in the regional offices are excessive. Attempts by the JLARC staff to assess the appropriateness of workloads appear to be limited to questions asked of the Regional Administrators and Regional Managers concerning whether they could handle more facilities. The Department of Corrections contends that such open-ended questions do not provide sufficient competent evidence upon which to base the elimination of a region. In addition, the Department notes that when the regional staff responded that they could not handle more facilities, these responses do not appear to have been given equal consideration.

The proposal purports to improve the balance in workload among the regions. In fact, the remaining regions would have greater workloads, but balance would not be improved.

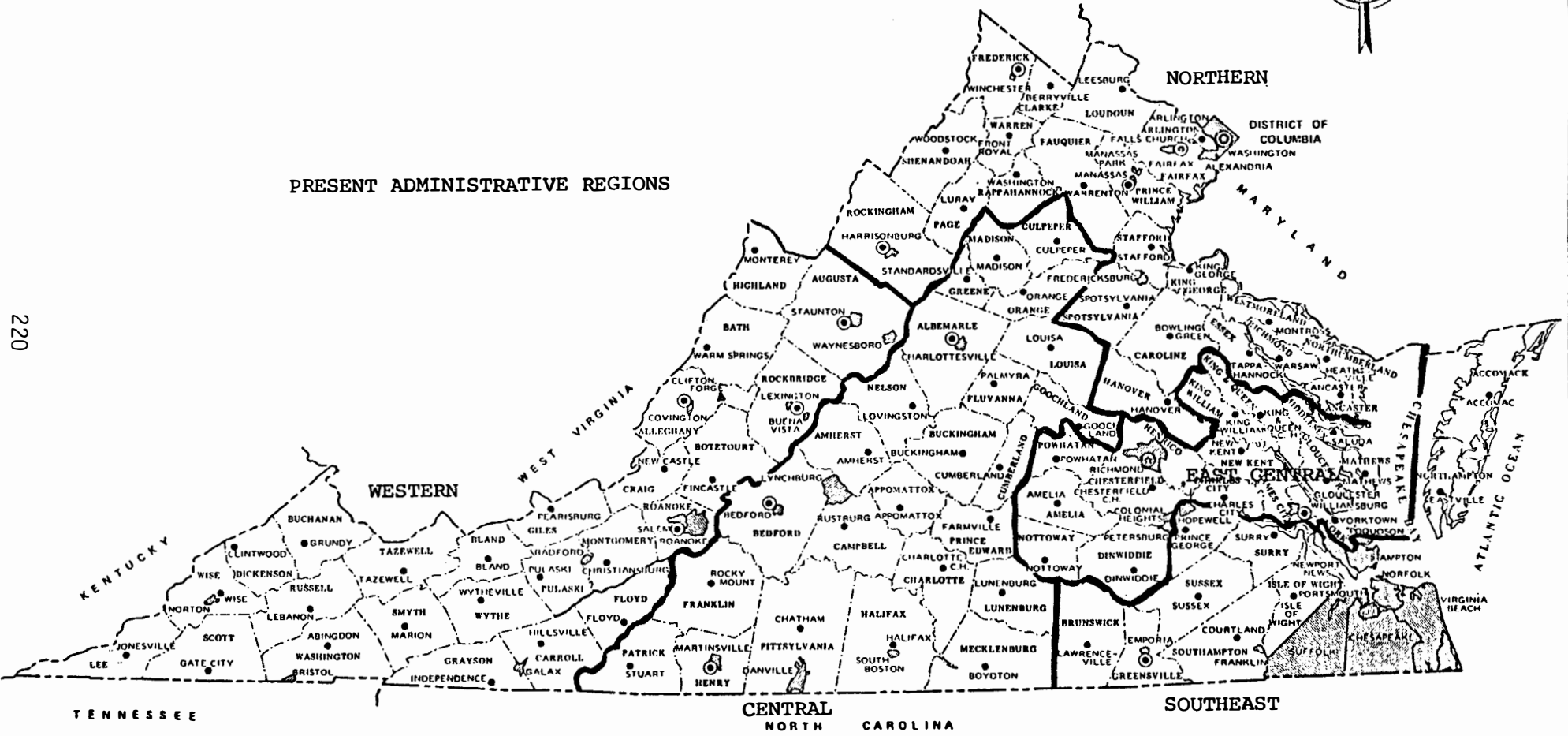
The JLARC staff contends that total travel statewide would increase only slightly. The real issue, however, is that the travel of the manpower who would be available would increase dramatically, with the natural consequence that productive work time would decrease. In spite of the decrease in available productive work time, the workloads would increase.

The JLARC staff report notes that the regional administrative structure has been effective in achieving the Department's management objectives. Implementation of the recommendation would result in the inability of the remaining regional staff to carry out their responsibilities. The recommendation is not based on an in-depth analysis of workload, the effect of travel increases, and a consideration of present unmet needs and future expanded needs.

N



PRESENT ADMINISTRATIVE REGIONS



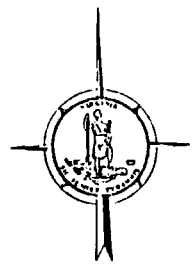
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TENNESSEE

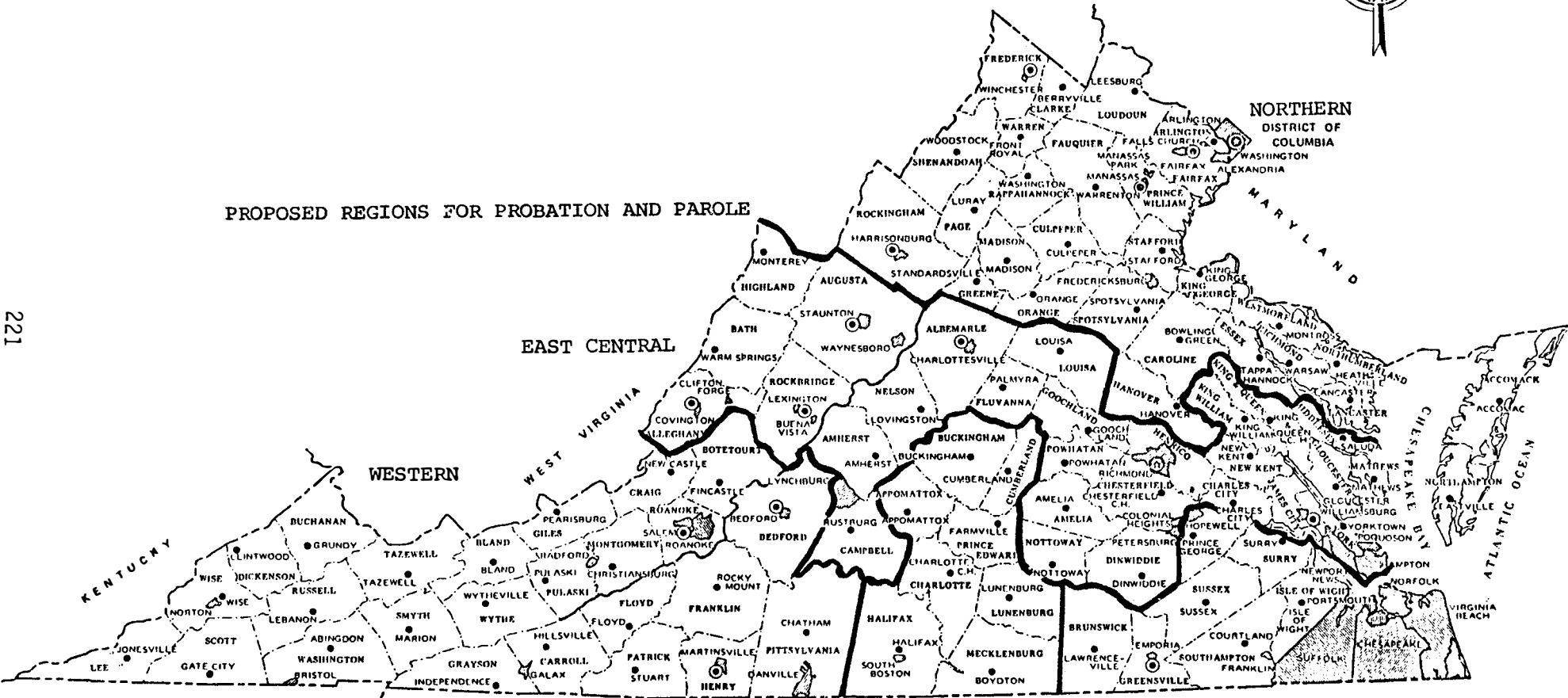
CENTRAL NORTH CAROLINA

SOUTHEAST

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PROPOSED REGIONS FOR PROBATION AND PAROLE

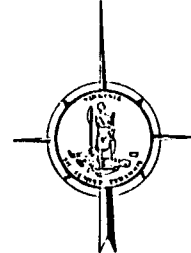


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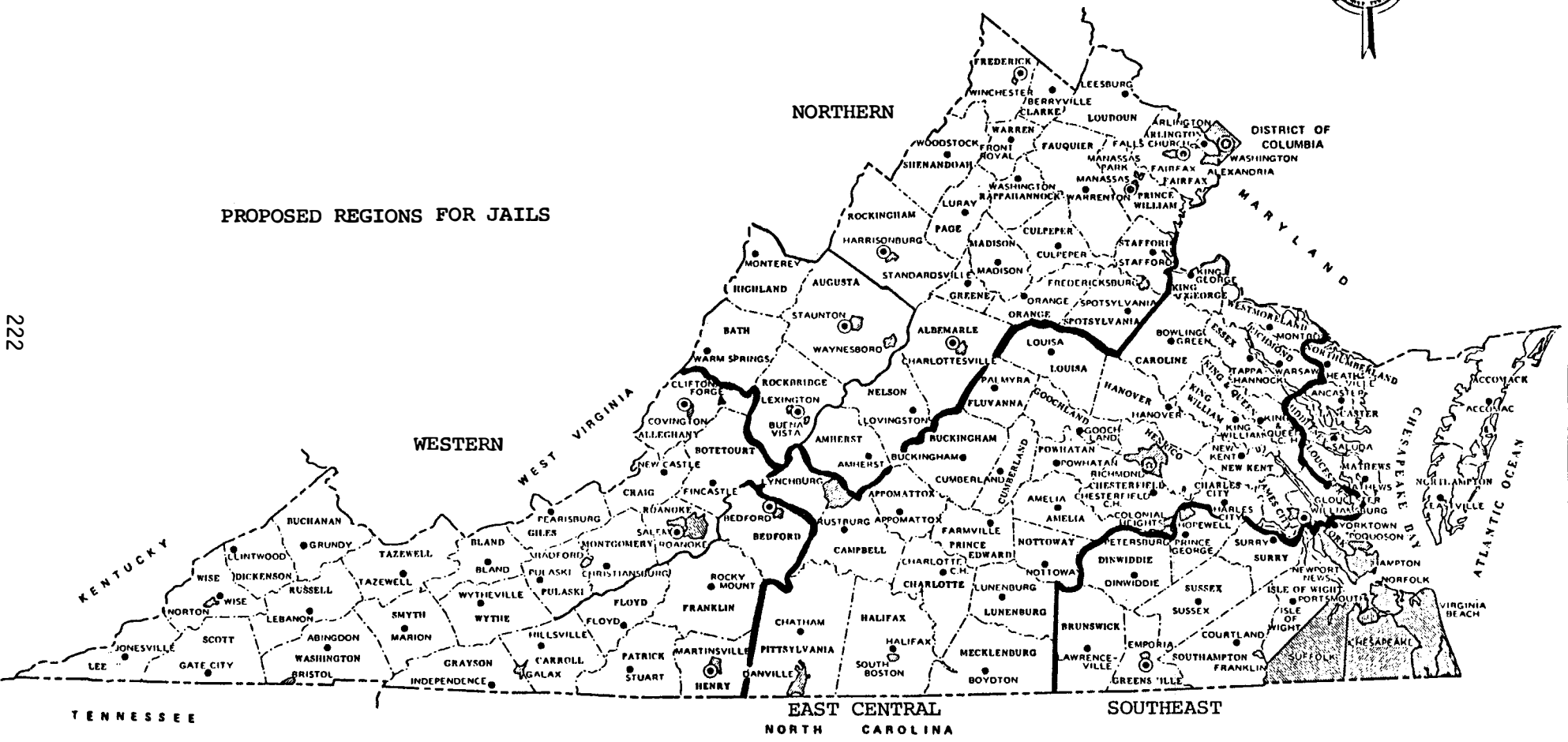
TENNESSEE

NORTH CAROLINA UNASSIGNED/???? SOUTHEAST

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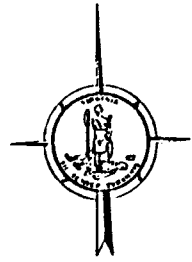


PROPOSED REGIONS FOR JAILS

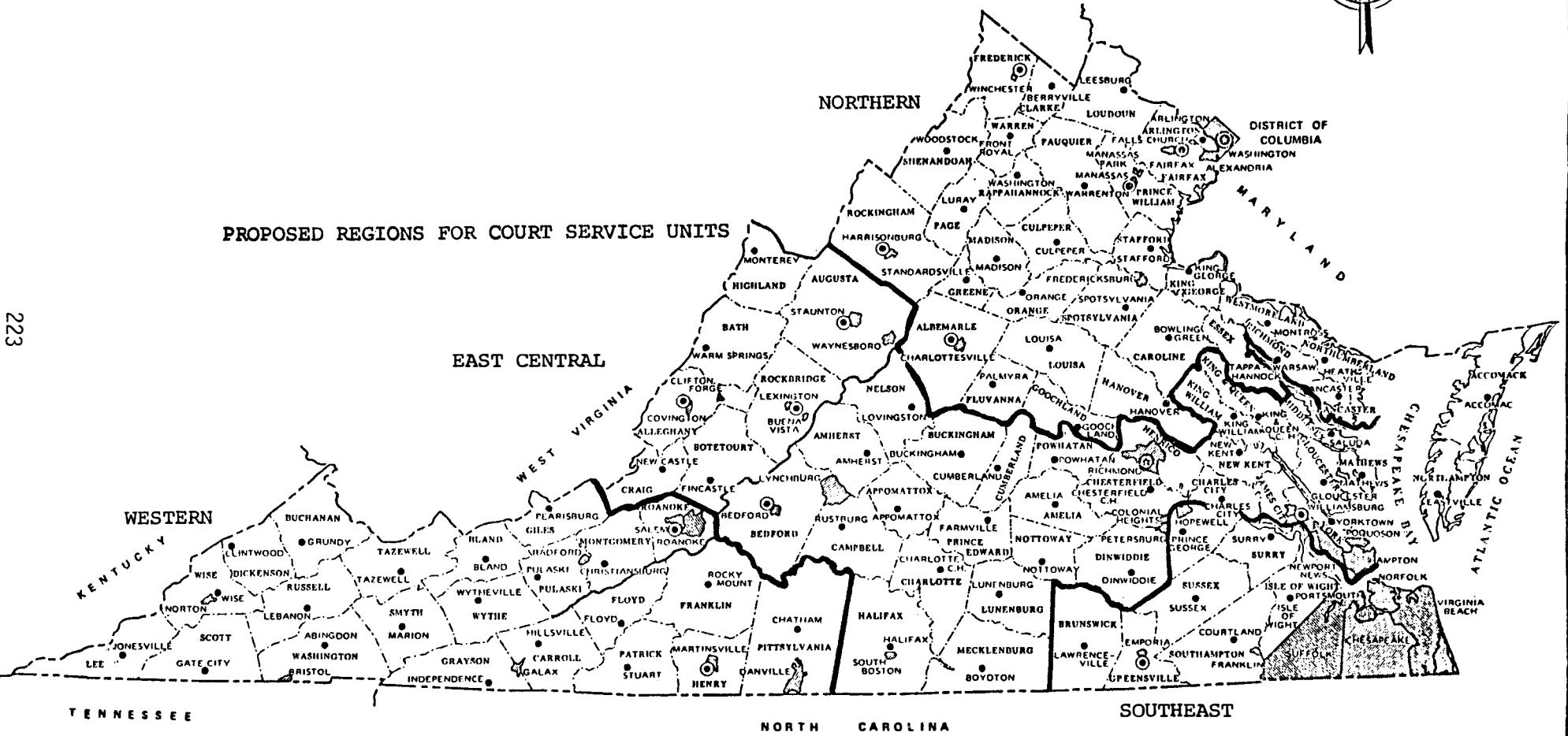


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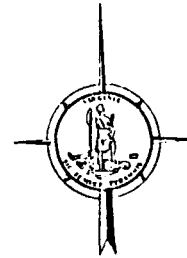


PROPOSED REGIONS FOR COURT SERVICE UNITS

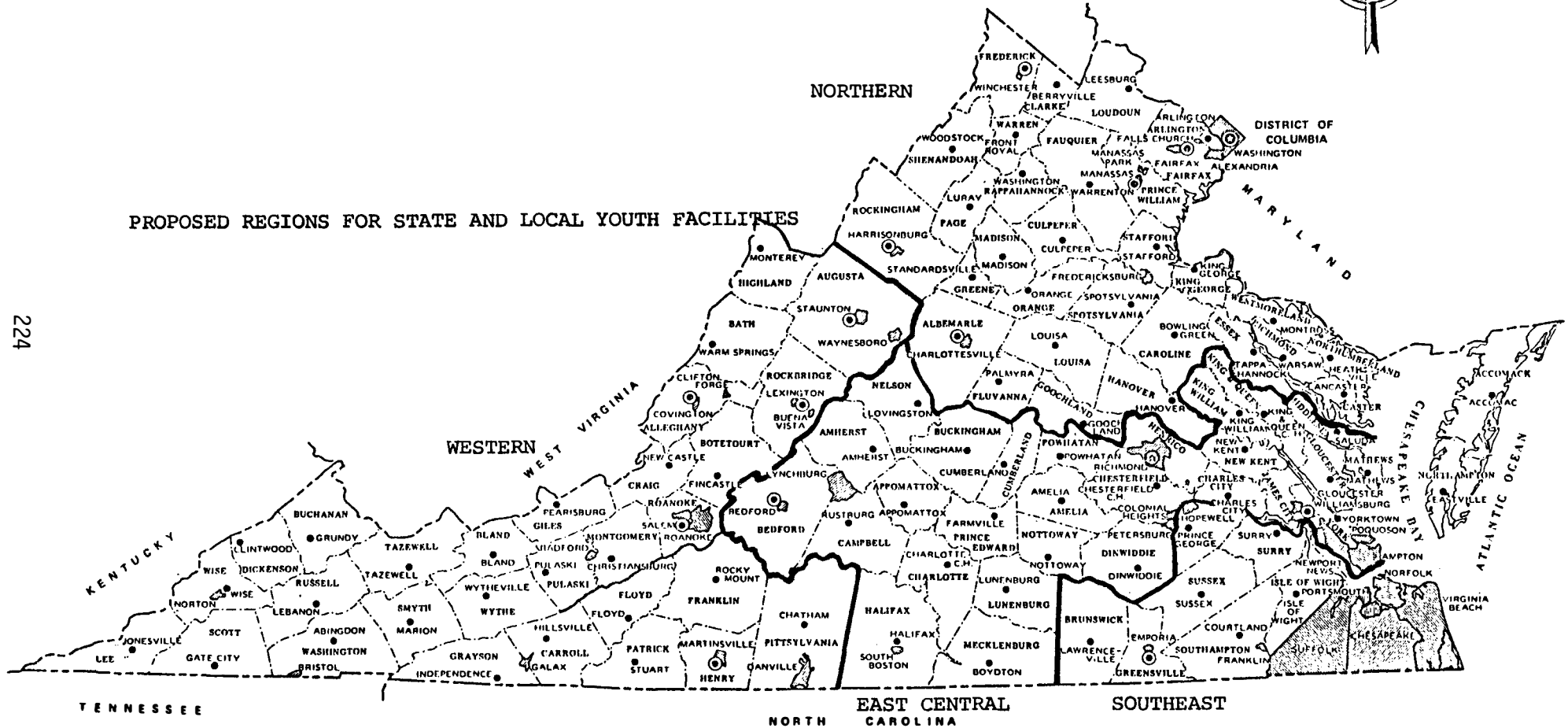


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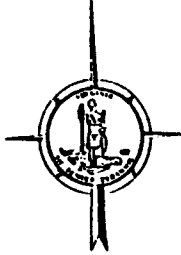
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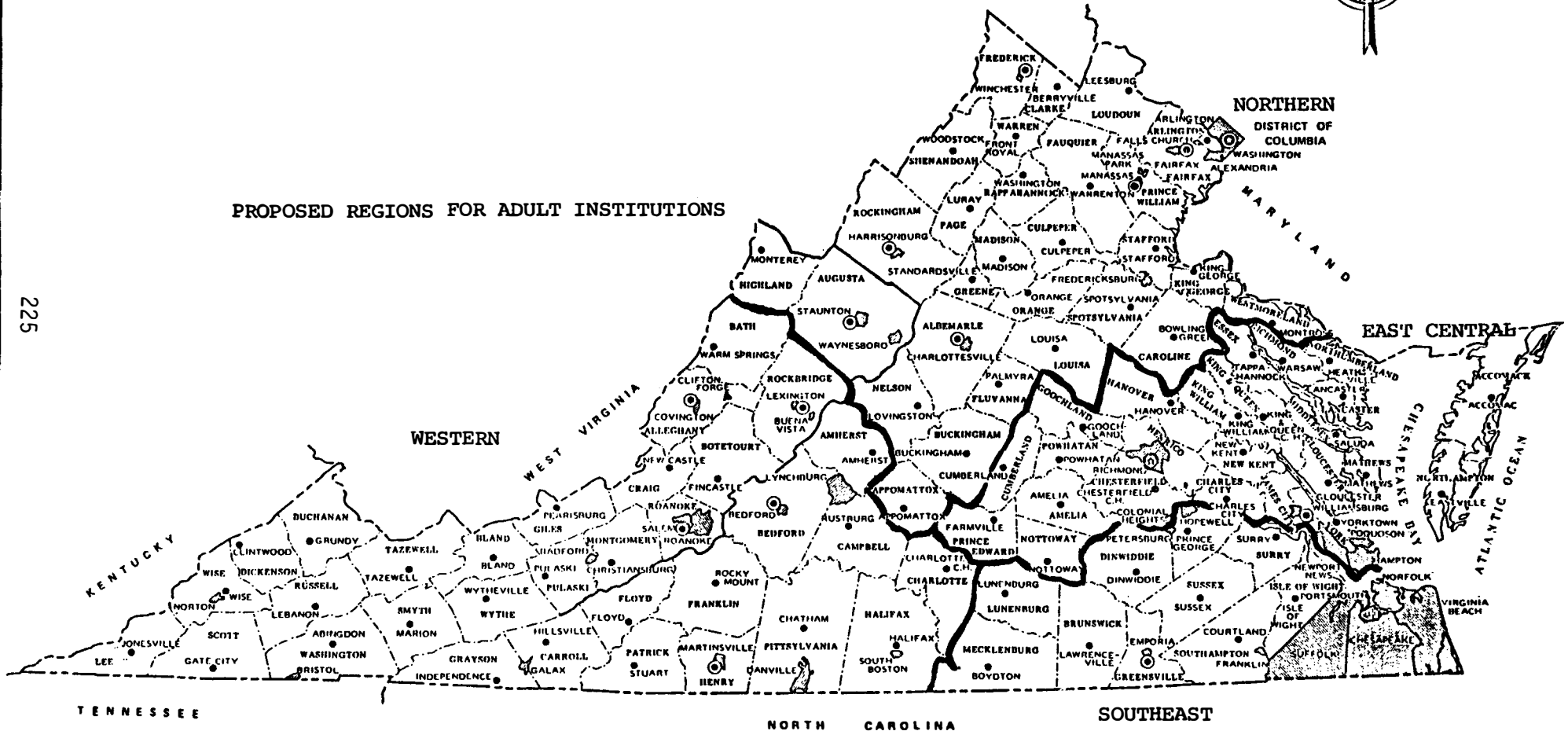
PROPOSED REGIONS FOR STATE AND LOCAL YOUTH FACILITIES



N



PROPOSED REGIONS FOR ADULT INSTITUTIONS



225

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 6A. ELIMINATION OF ONE REGION

The department basically argues that staff should be added to the east central regional office to compensate for its heavier workload, rather than adding workload to the other regions so that they would perform more nearly up to its level. We continue to recommend that the lighter workload regions should be assigned more work in order to achieve the savings of eliminating a region. JLARC maintains that a more appropriate response in times of fiscal austerity is to redistribute regional workload to improve workload balance and to eliminate one regional office and related staff positions.

DOC in its response claims that only "paltry evidence" is used as a basis for recommending the elimination of one region. However, a review of the report shows a variety of data is contained to support JLARC's conclusion:

- Regional staff with the heaviest workloads appear to achieve regional objectives set out by the department in the same manner as regional staff with lighter workloads. In some cases, the heavier workload regions appear to provide a more intensive level of service.
- Thirty-six percent of all regional staff indicated that they could handle an increased workload without significantly affecting the current level of services. While this is not a majority, it is a large group in a bureaucratic environment to acknowledge that they have excess capacity.
- JLARC's evaluation of the cutback in terms of travel time showed that a four-region structure would result in only a minor increase in travel time statewide.

In addition, DOC recognizes the current imbalance of regional workload. For example, on page 21 of its response, DOC states "the east central region does have a disproportionate share of the workload" in the case of adult institutions. Data collected by JLARC reveals that regional workloads are imbalanced in all functional areas. JLARC confirmed this imbalance through extensive interviews with regional staff.

The evaluation of the appropriateness of current regional workloads was based on regional staff perceptions of their own workload, and on an analysis of the current distribution of actual workload. Although the heaviest workload regions were used as a standard by which regional staff could be expected to absorb increased workloads, statements by regional staff indicating that they could handle more work were also considered. In addition, the department has taken no action since the regions were established in 1978 to compensate heavy workload regions, such as the east central region. Actions have instead been taken to assign more work to light workload regions.

The proposed redistribution of workload under the four-region structure does not assign a heavier workload to any function within a region than currently exists, except in a few cases where personnel in the heaviest workload regions indicated they could handle more. In fact, many of the proposed increases in regional workload do not approach the current standard of the heaviest workload regions. The thrust of the JLARC proposed four-region structure is to bring the current lighter workload regions into relative balance with regions already accommodating heavier workloads.

Further analysis of perceived and actual workload revealed that the regional personnel who indicated they have too many facilities did not indicate or present any evidence that their current workload was beyond their capacity. In fact, regional personnel in the heavier workload regions appear to provide a more intense level of service to their subordinate units. For example, the rate of visitation to adult institutions (including field units) ranges from an average of 97 trips per facility per year in the east central region, where institutional workload is the heaviest, to an average of 36 trips per facility per year in the western region, where institutional workload is the lightest.

DOC's contention that JLARC did not evaluate regional staffing needs represents a fundamental misinterpretation of the process JLARC undertook in its review. As stated in the draft report, "The JLARC interim review of DOC's regional offices focuses on three principal questions:

- Is there a need for a level of management between the facilities and programs and top agency management in the central office?
- Is there a need for five regional offices to house this middle level of management?
- Are the regional offices appropriately staffed?"

The remainder of chapter three explicitly details the methods, analysis, and conclusions regarding the need for a regional level of management, the need for five regional offices, and the appropriateness of regional office staffing.

On page 12 of the response DOC states that "time-and-motion studies and evaluative studies would indicate the need to reduce the workload in areas where it is currently greatest." However, time-and-motion studies generally do not include appropriate methods to assess the workload of management positions. In addition, the department appears to have already determined the outcome of such studies prior to actually conducting them. This reinforces the value of the independent assessment.

Regional Administrator - Adult

JLARC staff interviews with the five adult RAs indicated that most of their regional responsibilities involve major institutions and field units. Very little, if any, time is spent with community services. For example, one RA volunteered that his probation and parole manager is responsible for probation and parole district matters as he (the RA) is "no expert on probation and parole." A second RA described probation and parole as a "separate world" that he only gets involved in when a district wants to change the location of its office. These findings were confirmed from additional evidence, such as:

- When questioned about the substance of their personal visits to regional facilities, four RAs talked exclusively about their activities at major institutions and field units. Only one RA even mentioned visiting probation and parole districts and local jails before proceeding to describe his activities at institutions and field units in detail.
- When asked about their primary source of work, four of the RAs specifically noted that wardens and superintendents were their primary sources of work, and did not mention sheriffs or district chiefs.
- Personal contact with central office regarding probation and parole was described as "almost non-existent," "very minimal," "infrequent," "weekly," and "weekly to bimonthly" by the five RAs. None said they had daily contact, as they did for institutions and field units.

The regional jail and regional probation and parole managers also indicated that RAs have little involvement in their areas of responsibility. For example, in one region, staff meetings required of the other three managers are not required of the jail manager. A second jail manager does not seek jail-related assistance from the RA but only keeps him informed of developments. The central office jail manager was listed as a third regional manager's chief advisor. Additional supporting evidence included:

- When asked to indicate who makes demands on their time, two jail managers did not mention the RAs. Two other jail managers listed the RA after sheriffs and central office. The fifth manager indicated that both RA and central office place demands on his time.
- One jail manager stated his RA provides "no supervision related to how the job is done," while three indicated they receive "loose supervision" from the RA. The fifth manager noted "moderate supervision" from the RA.
- District chiefs were listed as the sole or primary source of work by three regional managers of probation and parole. Two managers mentioned RAs in addition to other sources.

Travel time expended by adult RAs in visiting local jails and probation and parole districts was considered too limited to significantly affect the RAs workload. RAs reported making between three and 27 visits to jails and between six and 36 visits to probation and parole districts per year. One RA noted that he had "little reason to visit jails," while another indicated that he had reduced the number of visits "after supervisory responsibility was transferred to the Compensation Board." Actually, only certain funding responsibilities for local jails have been transferred to the Compensation Board, not supervisory authority. A third RA stated that he tries to "stop by" probation and parole districts when he is in their vicinity for other reasons.

To illustrate the change in the RAs' travel time to community corrections facilities, the current frequency of visits made by RAs to probation and parole districts and to local jails and the resulting travel time estimates were compared to the proposed four region estimates. Again, these travel times were based on a single-trip assumption which estimates the maximum time that could be spent traveling. (Travel time is also discussed in Recommendation 6c).

By this method current travel times for all five adult services RAs to probation and parole districts and local jails would total 414 hours per year or 0.24 FTE. The exposure draft proposal would increase this to 559 hours per year or 0.32 FTE, distributed across four positions. The maximum difference between current and proposed travel time for adult services RAs visiting community correctional services thus amounts to an estimated 0.08 FTE, or 145 hours per year, spread across four positions. Further, this increase could be substantially reduced by "circuit riding" as discussed in the report. We consider this to be a reasonable amount of additional travel time for adult services RAs, which is clearly offset by the estimated savings of eliminating a regional office.

Probation and Parole Managers

The workload increase for regional probation and parole managers that DOC anticipates seems to be based on an expectation that: 1) additional cases and investigations at the district level will increase the probation and parole manager's "management by exception" activities, 2) a larger number of case reviews by the managers will be required to support the districts with one supervisor, and 3) increased technical assistance will be needed to support the development of new services, community alternatives and legislatively mandated studies. The DOC response does not contain an assessment of the impact that these additional responsibilities are expected to have on the manager's workload.

JLARC staff recognizes that additional responsibilities at the district level may have some effect on the activities of the regional probation and parole managers. It is not clear, however, that the regional managers' workloads will increase as the district caseload

increases. During interviews with JLARC staff the only factors that the regional managers identified as impacting their workload were the number of district chiefs in the region, the experience of the chiefs, and travel time requirements. Unlike adult RAs, probation and parole regional managers did not state that they manage by exception, but indicated that they have a more routinized work pattern. In addition, three of the five regional managers indicated that they could handle additional districts. One regional manager stated that 20 percent of his time was currently spent on special projects which were not part of his regional job responsibilities. Considering that additional district responsibilities may not significantly add to the workload of regional probation and parole managers and that special assignments are already being performed by some managers, a four-region structure for probation and parole appears feasible.

Regional State and Local Adult Facilities Managers

JLARC's description of the duties performed by these managers was intended only as a summary of the manager's primary responsibilities, based on information collected during JLARC interviews with each manager. In fact, JLARC acknowledged on page 104 of the exposure draft that the managers, in addition to the duties listed, also "performed other jail related duties."

Regional Offices - Youth

The exposure draft acknowledges on pages 113-126 the technical nature of work performed by the youth services regional staff. The DOC response does not state what the three examples of special projects assigned to youth services regional staff mean in relation to the JLARC recommendations. Even with special projects such as those cited in the response, three youth services RAs and three regional managers of youth facilities stated they could handle more facilities and programs without diminishing their overall level of service.

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 6B.

JLARC recommends a leaner regional structure which assigns facilities and programs to regional offices based on workload distribution and travel time. JLARC's first proposal achieves these objectives without constraining functional responsibility within geographic boundaries. The department does not show how "administrative chaos" would result from defining regional office responsibility in terms of facilities and programs rather than by geographic boundaries. Instead of distributing workload in terms of geography, we propose distributing workload in terms of the specific offices and facilities with which regional staff interact.

JLARC does not agree with DOC's assertion that coterminous regional boundaries are essential to administrative efficiency or effective service delivery. First, identical geographical boundaries for all regional functions currently result in disparate workloads between regions and unnecessarily constrain regional service delivery. Second, the functions provided by regional staff are not integrated -- each regional manager who serves a locally-based facility or office provides specialized functions to a client group (such as jails, or probation and parole districts) with little overlap between functions and clients. Third, of the 136 cities and counties in the Commonwealth, 19 or 13.5 percent have no facilities or programs relating to DOC, 12 localities have only a branch office of a court services unit (normally visited about once per year, according to regional staff) and 12 have only a local jail. Consequently, alignment of these localities in one DOC region or another would have only minimal impact on DOC's regional staff. The requirement that these localities fall under the same regional office for all functional activities is unimportant since all functions do not take place within them.

Finally, DOC does not currently adhere to the coterminous boundary concept in a manner consistent with arguments presented in the response. While DOC claims that JLARC rejects the use of county, city, and judicial district boundaries as valid criterion in the establishment of regions, the department has violated these boundaries in several instances. As noted in the exposure draft report on page 99, in 1982 DOC reassigned Culpeper Field Unit and the Staunton Correctional Center to the northern region although they are located within the geographical boundaries of the central and western regions, respectively. In addition, two correctional institutions within Augusta County will each fall under the supervision of a different regional office by FY 1986. At least eight judicial districts currently fall within the boundaries of two or more DOC's probation and parole districts. For example, judicial district 29 is divided by DOC between probation and parole districts 17, 18, and 19. Additionally, three jails located in the central and east central regions are assigned to the northern regional staff's workload.

Although JLARC staff does not support the current use of boundary lines in defining DOC's regional office workload, the option of assigning all DOC functional activities within a locality to the same regional office has been considered. Two additional options incorporating the concept of coterminous boundaries were developed. Proposal two would have coterminous boundaries for the community-based workload of youth services and coterminous regions for the community-based workload of adult services. Proposal three would have four regions with coterminous boundaries for both youth and adult services.

The DOC response states that the regional structure in Proposal 1 "appears to be contrary to the concept of regionalization held by JLARC itself." The response cites a recommendation in a recent JLARC report, An Assessment of Structural Targets in the Executive Branch of Virginia, which endorses a system of uniform sub-state boundaries for executive agencies' planning, administrative, and operational districts. The staff recommendation would also permit exceptions in some cases:

Staff Recommendation 2. The General Assembly should (a) direct the Department of Planning and Budget to devise a uniform system of sub-State boundaries, and (b) require agencies to conform to it. However, procedures should be established to grant a minimum number of exceptions to agencies whose districts require unique boundaries.

As noted above, DOC does not consistently adhere to its current regional boundaries. Secondly, the functional separation between youth and adult services reduces the need for coterminous boundaries between the two. This functional separation may also suffice to qualify DOC as an exception to a system of uniform sub-state boundaries, because unique configurations for both youth and adult regions may be justified. DOC may want to develop its own four-region proposal as an alternative to the specific proposals in the JLARC report.

Finally, DOC essentially uses regional boundaries as a convenient way of devoting workload assignments, and do not denote sub-state districts. Because these boundaries do not currently identify workload in an accurate fashion, it may be unnecessary for the department to be held to them. Thus the recommendation from the JLARC Structural Targets report may not be applicable to DOC.

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 6C.

DOC's use of JLARC's travel time data in this response fails to recognize the limitations of the data as presented in the report and grossly misrepresents the effect of the proposed four-region structure on travel time of regional staff. As clearly stated on pages 95-96 of the exposure draft report, current and proposed travel times calculated by JLARC are based on the maximum possible travel time which could have been logged by each regional staff position. This is because the travel time calculations are based on the "one trip per facility" method, as explained on page 95. In fact, the report includes a case example which shows that the difference between actual and calculated travel time could be considerable. The report further states that while these figures are inflated due to the method used to calculate travel time "the difference between current and adjusted time is illustrative of the maximum increase (not the actual increase) in travel time which could occur under the proposed change in regional boundaries."

Due to the limitations of the data, DOC's travel time analysis on pages 16-20 of its response represents basic misapplications of statistical and arithmetic principles. Two fundamental errors are prevalent in DOC's analysis rendering any resulting conclusions erroneous.

- 1) DOC's use of maximum estimated travel time as a surrogate for actual travel time significantly overestimates the time spent in travel by regional staff and underestimates time available for other duties.
- 2) DOC's use of change scores in representing changes in travel time which may occur under JLARC's four region structure misrepresents the actual amount of change in travel time.

The limited accuracy of the travel time estimates preclude their use for any comparison of the type DOC attempts on pages 17-20 and 26-32. Using estimated travel time hours to represent actual time spent in travel grossly overstates the effects of travel time under the proposed structure. DOC uses a base figure of 1,736 available work hours per position per year to estimate the average actual work hours in a year. In contrast, travel times used in the calculation represent "maximum possible", not "actual" hours. Dividing this "maximum possible" figure (travel hours) by the base figure (available work hours) results in a meaningless percent of time spent in travel. This method, employed in DOC's analysis of travel time, violates a basic arithmetic principle by attempting to compare dissimilar terms. JLARC maintains that the maximum effects on travel time under the proposal can only be measured by the actual difference between current and proposed travel time figures.

DOC's use of percent change to measure the difference between current and proposed travel time is misleading due to the limitations on the data. Specifically, DOC's application of change scores to two imperfect measures is significantly less reliable than the measures themselves. Tables on pages 17-20 and 26-32 in DOC's response attempt to display the effects on travel time under JLARC's proposal by calculating percent change scores. Due to the limited accuracy of the current travel and proposed travel measures, the calculated change scores are further limited in their accuracy. The actual instability of this method can be viewed in the DOC calculations themselves.

In general, regions with the lower current travel time figures have greater changes in travel time than regions with the higher travel time figure have the least change in travel time under JLARC's proposals, regardless of changes in workloads. For example, the local jail managers in the northern and western regions currently have very similar workloads. The local jails manager in the northern region has a current base travel time which is much lower than in any other region. The percent change in the position's travel time as calculated by DOC, is at least 100% greater than in any other region under the three JLARC proposals, even though actual workload remains essentially the same. In contrast, the local jails manager in the western region has a current base travel time which is two times higher than that in the northern region. The percent change in the position's travel time is very small under the three JLARC proposals, even though actual workload remains essentially the same. Therefore, when percent change scores are applied to widely differing base travel times the results are to overemphasize changes in travel for lower current travel times when compared to those positions with higher current travel time.

It appears that in many cases current travel patterns dictate the extent of change represented in DOC's calculated change scores more than the effects of JLARC's redistribution of workload under the proposed four region structure. The relative instability of the change scores and the application of change scores to two imperfect measures renders DOC's analyses of travel time impossible to interpret meaningfully.

JLARC does not deny that travel time will increase for many regional personnel under the proposed structures. However, the degree of that increase cannot be accurately represented in terms of a percent change, as DOC attempts in its response. The more accurate measure of change can be shown by the actual difference between current and proposed travel time as presented in the JLARC draft. In all cases, the actual difference between current and proposed travel time is moderate.

Workload Measures

DOC's claim on page 20 of its response that for JLARC "to presume that a given manager's workload is dependent on only one measure is naive and reflects, at best, a shallow understanding of the business of the regional offices" oversimplifies the processes undertaken by JLARC in its review. As recognized by DOC on page vii of its response, regional workload measures were respondent-generated rather than chosen by JLARC. Any problems of "naivete" or "shallow understanding" can only be attributed to the DOC employees who actually perform the business of the regional offices.

While other factors and additional duties may present some variation in workload, the majority of regional staff stated to JLARC that the best indicator of their workload was the number of facilities. JLARC contends that reasonable determinations about workload can be based on these respondent-generated workload measures.

JLARC agrees that other indicators of workload such as those mentioned by DOC in its response would be helpful in assessing staffing needs. In fact, many of these indicators are recognized within the JLARC draft. For example on page 105 of the report it is stated; "According to these [local jail] regional managers, their level of involvement with jails varies depending primarily on the staffing level and staff expertise at the jails." On page 101 the report notes probation and parole managers indicated that they "also work with local officials, law enforcement agents, judges, and human service agencies." To more accurately gauge the level of workload among regional staff, JLARC strongly urges that DOC incorporate such measures into the development of the agency-wide manpower plan.

Redistribution of Central Regional Staff

The redistribution of certain staff currently housed in the central regional office (CDI specialist, ombudsman, and maintenance positions), recommended in the JLARC analysis of DOC's initial response, recognizes current patterns of assignment and increased needs in certain areas under the four-region proposal. The possible creation of staffing "advantages" under JLARC's proposal as stated by DOC is not relevant to the maintenance and ombudsman positions. While most regional staff are currently assigned regardless of regional workload variations, these positions are generally allocated by DOC to the regions based on workload. For example, because the northern, central and western regions have approximately two to three times more field units than the other two regions, an additional maintenance position has been allocated to those regions.

Under the four region proposal three of the four regions would have an increased number of field units. The additional maintenance positions from the central region could be reassigned to these regions based on need.

Concerning the ombudsman position, the east central region currently has two ombudsmen due to the large number of inmate grievances in that region. With Mecklenburg Correctional Center reassigned to the southeast region, DOC may want to reassign the ombudsman from the central region to the southeast region in order to handle the increased workload.

Since the CDI program is planned for expansion, it may be advisable that the CDI specialist position from the central region be retained. Although the assignment of this position may create a staffing "advantage" if specifically placed in one region, the utilization of this position among more than one region may alleviate any increased workload resulting from the four region structure.

Adult Institutions

DOC's assertions that JLARC concluded that an excessive number of facilities are currently located in the east central and southeast regions misinterprets the actual content of the discussion on institutional workload of the adult services regions. On page 99 the report notes that the east central and southeast RAs were of the opinion that they had too many facilities. Their opinions contrast with the opinions of the RAs in the western and northern regions, who indicated that they could handle more facilities. These opinions were cited in the report to confirm JLARC's conclusion that a significant workload disparity exists under the current regional structure.

Although it is apparent that the east central region has a disproportionate share of the institutional workload, as pointed out by DOC on page 21 of its response, it is not apparent that the east central region's workload is excessive. Rather it appears that workload in other regions may be too light.

JLARC's conclusion that the remaining regions could absorb additional workload is supported through the recent actions of DOC. In FY 1983 DOC transferred both Staunton Correctional Center and Culpeper Field Unit to the northern region due to that region's relatively light workload. Some east central regional facilities could have been as easily transferred to the northern region, since the northern region borders Goochland and Henrico counties. DOC's actions appear to recognize the institutional workload imbalance. But rather than alleviate the heavier workload in the east central region, DOC chose to increase the workload of the northern region.

The apparent unwillingness of DOC to alleviate the disproportionate share of workload in the east central region and recent actions

to increase the workload in the northern region do not support DOC's conclusion that the east central and the southeast regions are overworked. JLARC maintains that in fiscally austere times a more reasonable solution to lessening DOC's workload disparities is to bring the lighter workload regions into relative balance with heavier workload regions. This can best be accomplished by eliminating one region and redistributing its facilities among the remaining four regions.

The DOC response criticizes JLARC's use of data on inmate grievances, employee grievances, and assaults at facilities. When the report was written, data on grievances was available only up to June 1983. Tables in the report will be updated to reflect the data presented on the response, and to include grievances resolved at levels above the RA.

While grievances and assaults may not be the best workload indicators, they are about the only aspects of regional workload which are kept in quantified fashion. They are used in the report only to confirm the variation in regional workload reflected in the more aggregate measures. It may not be appropriate to make conclusions about appropriateness of regional workloads, as DOC urges, on the basis of a relatively minor part of regional staff's total workload.

Only the ombudsmen appear to spend a significant portion of their time with these matters, and they handle only inmate grievances. Based on JLARC fieldwork, monitoring of inmate grievances by the operation and training managers -- who are assigned this duty in their job description -- varied between regions. The western, northern and central managers indicated that they had virtually no responsibility for handling inmate grievances. In the east central and southeast regions, however, the managers indicated that inmate grievances are a measurable part of their workload, although less than 15 percent of their time is consumed by this activity. In the other three regions, this activity is carried out by the ombudsman in conjunction with the regional administrator. Three RAs (in the western, northern, and southeast regions) stated that inmate and employee grievances combined required less than ten percent of their time. The central RA stated that all inmate-related matters, not just grievances, took 10-20 percent of his time. The east central RA did not provide a time estimate for these activities.

Due to the variation in who at the regional level actually handles grievances, and since the principal staff positions spend little time with grievances, a redistribution of grievance workload is unlikely to significantly affect regional staff. In addition, as the Penitentiary is phased out and other system changes occur, the grievance and assault workload of the east central region could be significantly reduced.

The reassignment of facilities under JLARC's four-region proposal, described in the exposure draft report, achieves a more equitable distribution of workload in terms of the number of inmates and employees. As shown both on pages 100-101 of the JLARC report and

on pages 26 and 28 of DOC's response, the current and proposed distribution of inmates and employees is improved considerably under the proposed four region structure.

Under the JLARC proposal, the number of inmates and employees in the east central region will be reduced by three percent and two percent, respectively. The southeast region's workload increases the least amount among the remaining regions. The actual net increases in workload are still below levels already handled by the east central region. The geographical location of Mecklenburg Correctional Center places it reasonably within the purview of either the east central or southeast region under a four-region approach. Considering travel time and current workload it appears that Mecklenburg could be best served by the southeast region. Although Mecklenburg holds a uniquely difficult inmate population, one institution does not justify the existence of a fifth region.

The additional facilities reassigned to the western and northern regions significantly reduce the workload disparity which currently exists. While five facilities are added to the western region's workload, the proposal actually represents only three more facilities than that region supervised prior to 1982. Of those three, DOC already plans to include the Augusta Correctional Center in the western region's workload. JLARC's proposal, therefore, recommends a net increase of two facilities above the planned and past workloads of the regional staff.

There are errors in three of the maps contained on pages 35-39 of the DOC response which show the JLARC proposals. Specifically, maps in error include the probation and parole district map, the jails map, and the adult institutions map. The maps contained in the JLARC report are accurate.

JLARC Staff Recommendation (7). The five regional food operations manager positions in the adult services division should be eliminated. In conjunction with the elimination of these positions, DOC should consider (1) redefining the job description of one security position at each field unit to require prior food service experience; (2) assigning the food operations managers at the major institutions the responsibility of providing technical assistance to the regional field units; (3) assigning responsibility for the inspection of food service operations to DOC's two facility sanitarians and the direction of food operations; and (4) delegating the remaining duties of the regional managers, such as reviewing equipment and food purchase requests, to the regional support services managers.

DOC Response:

DOC maintains that the abolition of the positions of Regional Food Operations Managers would result in a loss of uniform food service planning, regional coordination, monitoring for operational consistency and adherence to policies and good management practices.

Maintaining an efficient and effective food service operation is an essential factor to the good order and security of any correctional institution. The current system of Regional Food Operations Managers was influenced primarily by two factors: sporadic institutional disturbances concurrent with inmate complaints directly related to food service activities throughout the Division of Corrections; and the Crime Commission Study of 1973-74 which stated that the Division of Corrections must improve its food service operation, particularly at the Field Units; thus, additional staff (Area Supervisors) with food service expertise were added to oversee respective food service operations throughout the field unit operations.

The 1974 System of Central Office Administrative Staff for adult food service operations was composed of 2 staff for 7 major institutions and 4 staff for 30 field units. This totaled 37 facilities with 6 staff and a total inmate population of 5,400. The 1984 System of Central Office Administrative Staff for adult food service operations consists of 6 staff for 15 major institutions and 27 field units totaling 42 facilities and an inmate population of 9,800. Thus, the reorganization to the establishment of Regional Food Operations Managers has not increased staff, but has greatly improved quality and services in the area of food operations. Reducing these services by any degree will not serve the Commonwealth's best interests.

Investigations following most prison disturbances throughout the nation have identified unsatisfactory food service operations

as a contributing factor preceding inmate disturbances. Before establishment of the Regional Food Service personnel, the DOC was involved in court litigation pertaining to food related matters. Since establishment of these positions, court litigations have been greatly reduced and we have successfully defended our food service operations; moreover, there have been no disturbances directly related to food service matters. The Regional Food Operations Managers have been a key factor to our success and they save the Commonwealth money through assistance in menu planning, central purchasing, food service inspections, inventory control, coordinating USDA distribution, monitoring of food preparation and serving practices and providing overall technical assistance throughout their respective region.

The Food Operations Managers keep food service staff in the field abreast of changes and updates in policy, management and operations. These Managers conduct weekly visits to facilities to develop and maintain a uniform system of control. This is accomplished through analysis and evaluation of food preparation, waste control, inventory cost containment, equipment maintenance and purchasing methods. They can offer recommendations to improve these methods and provide technical assistance wherever needed.

The Regional Food Operations Manager is also trained and qualified to perform emergency functions. If an Institutional Food Service Manager is incapacitated or the position becomes vacant, the Regional Food Operations Manager is trained to step in and assume the duties as long as the temporary situation exists. He is also trained to coordinate food services during emergency situations such as fires, escapes or riots.

In visits to facilities, these Managers listen to staff problems and inmate complaints, thus reducing communication from inmates to regional or central office staff. The Food Operations Managers serve as liaison between the field and the Director of Food Operations in the central office. Without these Managers, this link would be lost and it would not be possible for the Director of Food Operations to deal directly with Staff from over forty facilities. The cohesiveness and efficiency of the system would be lessened. The Managers also maintain a viable role by providing follow-up inspections relative to reports and recommendations submitted by the Food Service Director and the Sanitarians.

The Regional Food Operations Managers perform tasks which are essential to an efficient food operation and which other staff positions do not have the time or expertise to perform.

Equipment Purchase Needs (Provide regional and state coordination):

The Regional Managers research equipment purchase needs and, where possible, procure equipment from other state and federal

agencies. They are aware of the location of surplus food and equipment within the DOC, and can move equipment and commodities from one facility to another. (Example: Stainless steel shelving at Buckingham not being used and transferred to Southeastern Region. Savings of \$7,300). Their expertise and time spent in equipment purchases has brought a large cost savings to the Department.

Menu Planning:

The Director of Food Services is the only licensed Dietician within the Department and, with input from the Managers, plans the Master Menus which are considered to be nutritionally balanced based upon the dietetic and special needs of the inmate population. This plan also gives guidelines for substitutions. The individual facilities develop individualized menus based on the Master Menu and the Regional Food Operations Managers monitor facilities for proper substitutions, balanced meals, proper stock rotation and inventory control. This control would be lost with the abolishment of these Managers. The Support Service Managers are not trained nor would there be time to perform these tasks.

Coordination with Agribusiness Program:

The Regional Managers are involved in the agribusiness program and coordinate from region to region in regard to availability of food (i.e., fresh vegetables, meat). They know where needs and surplus supplies are located and coordinate distribution accordingly.

Decrease in Food Costs:

A decrease in per diem food costs per inmate over the years has been attributed to proper inventory control, the 28-day menu, portion control, limited waste, improvements in meal preparation, adequate menu planning, use of USDA subsidy products and sound management procedures. The Food Operations Managers have been responsible for ensuring that such practices are consistently followed; thus, weekly visits are vital in the accomplishment of this mission.

Coordination of USDA Food Commodities:

The Food Operations Managers coordinate the utilization of USDA commodities in order to provide the best meals possible at reasonable cost. They ensure that all commodities are utilized to the fullest extent and are properly stored and utilized in accordance with established menus and policies. Their coordination of this program has meant a cost savings to the Department. Increased usage of USDA commodities by the Regional Food Operations Managers has attributed to reduced food costs per meal. Constant monitoring of proper utilization of USDA commodities is essential and without the Regional Food Operations Managers, this mission would not be accomplished.

An example of cost savings in this area is the USDA Regional Cold Storage Operation in Region V. By having their own cold storage operation, Region V does not have to incur the monthly storage costs and thus their payment to Richmond Cold Storage is greatly reduced. This operation also saves regional employees time on the job through reduction in travel to Richmond. The estimated annual storage cost savings of this operation in Region I is \$17,241.

The Food Operations Manager in Region V supervises and monitors the utilization of this Regional Cold Storage Operation. With abolishment of the five Regional Food Operations Managers, this intensive supervision would not be available, nor would other regions have similar supervision over other cold storage operations (i.e., institutionally owned and/or rental facilities).

The JLARC Staff report focused on duplication of functions among various positions and suggested that through elimination of the five Regional Food Operations Managers, the DOC would be left with an effective food service operation at less expense. The report recommended the following changes to ensure adequate food services coverage at the field units and institutions.

1. Reclassification of one security position at each field unit to a food service supervisor.

The average size field unit has approximately 30 staff; 25 security officers and five support/administration staff. These staff provide coverage seven days a week, 24 hours a day. On any shift there will be three to four officers at the unit. The officer assigned to the kitchen will spend approximately 25% of his time in the kitchen and 75% of his time will be utilized performing other duties at the unit. Since the Regional Food Service Manager is available to provide assistance and support to the Unit Food Service Operations, the unit has the flexibility to utilize this kitchen officer for other duties around the unit.

Six field units presently have one permanently assigned food service supervisor. These positions came about not because of reallocations but through transfer from major institutions or from work release units which were closed for various reasons. These supervisors perform food service duties only and cannot be used for security duties around the unit. They do, however, receive technical assistance, training and support from the Regional Food Operations Managers. Since food must be prepared seven days each week and employees only work 40 hours before overtime, approximately 4-6 hours of overtime is utilized in a field unit mess hall on a daily basis. Each field unit food service operation requires coverage 14-16 hours daily.

Presently, appropriation restrictions do not allow reclassification of security positions to support positions. With only 3-4 officers assigned in the unit, the field units cannot safely take a position from a security post and utilize it for food service operations without an adverse impact. If a food service supervisor

position were established at the unit, this position could only be used for food service operations and we would lose the flexibility of being allowed to utilize the position to perform other security duties around the unit.

This would not be a cost-effective system. With the abolishment of five Food Operations Managers, we would need to allocate, at a minimum, 21 food service supervisor positions (one at each field unit that does not presently have such a position) at an average annual salary of \$17,467 for a total annual salary of \$366,807. This supervisor could only work 40 hours each week before overtime hours would be utilized thus resulting in overtime pay. There would be the need for relief staff in cases of illness, vacation, etc. and, therefore, there would always be a need for officers trained to perform food service duties.

The Department further contends that if the position of Food Operations Manager were to be abolished and regional support and coordination is therefore eliminated, then at least two qualified staff, plus relief staff, would be needed at each field unit to maintain the present level of efficiency (minimum 14-hour post - 7 days per week). This would result in the allocation of 42 positions at an approximate annual salary of \$733,614.

2. Utilization of the food operations managers at the major institutions to provide technical assistance to the field units.

Food Operations Managers at the institutions would not have the time nor the motivation to provide technical assistance and training to the field unit food service supervisors. The experience level in assisting facilities of such varied sizes and missions is not present. Looking at the current regional division of the state, the northern region, for example, would have a food service manager at one institution (Staunton) who would be responsible for providing training and assistance to food service supervisors at eight field units. If the proposed regional division contained in the JLARC Staff Report were implemented, two Food Service Managers in the northern region would be responsible for training and assistance to food service supervisors at 10 field units. This training and assistance would be extremely time consuming. In addition, where would be the line of authority? It would not be uncommon for a situation to arise where a Food Service Manager is scheduled to provide assistance at a field unit but is called back by the Warden at his respective institution because of a "pressing" situation at that facility.

3. The responsibility for the inspection of food services operations could be assigned to the DOC's two facility Sanitarians and the Director of Food Operations.

The two Department Sanitarians are responsible for maintaining

the public health and sanitary conditions for all correctional facilities including 17 major institutions, 27 field units, 8 learning centers, 6 youth homes, 2 halfway houses, 1 training academy, and 1 field unit warehouse. Upon request, the Sanitarians also go into the jails. Approximately 70% of their time is utilized for sanitation inspections and taking wastewater samples and inspections are currently conducted bimonthly at each correctional facility.

The Regional Food Operations Managers conduct weekly food service inspections at the facilities by inspecting such areas as palatability, display of servings, sanitation of equipment, portion and waste control, food product storage, stock rotation, etc. The Director of Food Operations visits the facilities annually and as emergencies arise, and reviews the overall food service operation. In regards to the Regional Administrators, Managers for Support Services and Managers for Operations and Training, these staff are not trained in the area of food service operations and basically make general observations of the food service operation when inspecting the total facility.

The Sanitarians inspect the total facility for unsanitary conditions in areas of pest and rodent control, solid waste collection and disposal. The Sanitarians, however, do not provide extensive food service inspection and are not trained in this area. They do not become involved with palatability, proper cooking techniques, serving temperatures, stock rotation, equipment sanitation and maintenance, portion and waste control, utilization of standardized recipes, etc.

The Sanitarians provide an essential function by monitoring health and safety conditions for all correctional facilities, however, their inspections do not involve extensive inspection of food service operations. The Sanitarians are not trained in this area, nor would they have the time to perform such a function. The Regional Managers for Food Operations are therefore the only staff who conduct extensive inspections in the specific area of food preparation and service. These Managers are also able to perform follow-up work based on their observations and follow-up to the Sanitarian's inspections.

The inspection schedule used at commercial restaurants would not satisfy the requirements of a correctional institution as customers possess the freedom of choice. In a correctional setting, the inmate has no choice, therefore, food service operations must be adequate. A private citizen doesn't file suit against a restaurant until he becomes ill. In the correctional setting, the institution can be sued for not meeting the dietary and preparation standard established for the institutions. In addition, the Department attempts to adhere to the Standards for Adult Correctional Institutions as outlined by the American Correctional Association. Standard 2-4248 states that written policy and procedure require weekly inspections of all food service areas including dining and

food preparation areas and equipment. It would not be good management practices for a facility food service supervisor to inspect his own facility. Neither the Sanitarians nor the Director of Food Operations would have time to assume the responsibility of the inspection of all facilities on a weekly basis. With the Regional Food Operations Managers in place, we are able to comply with this standard.

4. Assumption of duties of the Regional Food Operations Managers by the Regional Support Services Managers.

The Department maintains that the services of Regional Food Operations Managers are essential to the success of the food service program and that their duties and responsibilities could not be performed with the same degree of efficiency and effectiveness when assumed by other positions which do not have the experience and technical skills in food service management.

The Support Services Manager is responsible for performing a wide range of activities to include the following:

1. Budgeting and Accounting - (approximately 65% of his time) budget analysis, monitoring expenditures and financial reports, briefings with institutions, audits, etc.
2. Personnel matters - (approximately 20% of his time) employee grievances, performance reviews, disciplinary actions, monitoring maximum employment levels at facilities, etc.
3. Property control (approximately 5% of his time) inventory and monitoring of property at institutions, etc.
4. Other - (approximately 5% of his time) Capital Outlay, evaluation of radio communications, duty officer, handling problems as they arise, etc.
5. Food Services - (approximately 5% of his time) periodic inspections with Food Operations Manager, assistance in locating funding for equipment purchases, etc.

There are several functions which the Food Operations Managers perform which the Support Service Managers would not have the expertise and/or the time to perform. These include overseeing and inspecting food service operations in respect to:

1. Menu preparation and monitoring of facilities' adherence to these menus and substitutions.
2. Utilization of standardized recipes.
3. Sanitation and safety standards.

4. Serving techniques.
5. Portion and waste control.
6. Training.
7. Maintenance of equipment.
8. Inventory levels.
9. Utilization and storage of USDA and farm commodities.
10. Food storage procedures.
11. Policy development.
12. Monitoring for stock rotation and purchasing of food items.

CONCLUSION:

The Department contends that the position of Regional Food Operations Manager is crucial to the mission and operation of the institutions and, therefore, the Department rejects the proposed recommendation of abolishing these five positions. The duties and responsibilities of these Managers relate to all aspects of an institutional food service program and with their abolishment, needed services would be lost. The Director of Food Operations and the Sanitarians do not have sufficient time nor do the Sanitarians have sufficient training to pick up many of these responsibilities. The Managers for Support Services would not have the training and expertise to assume some responsibilities delegated to the Food Operations Managers. Reclassification of a security officer position at each field unit to a food service supervisor is not feasible and allocation of new positions is not cost-effective.

**COST SAVINGS RESULTING
FROM USE AND PURCHASE OF
SURPLUS EQUIPMENT AND SUPPLIES
FISCAL YEARS 1979-1981**

TOTAL STATE SAVINGS
\$984,480

REGION 1	REGION 2	REGION 3	REGION 4	REGION 5
249 VALUE \$94,000 COST \$-0- SAVINGS \$94,000	VALUE \$13,000 COST \$-0- SAVINGS \$13,000	VALUE \$70,000 COST \$-0- SAVINGS \$70,000	VALUE \$790,500 COST \$32,520 SAVINGS \$757,980	VALUE \$53,000 COST \$3,500 SAVINGS \$49,500

The total savings for Fiscal Years 1979 - 1981 represents an
average savings of \$328,160 per year

Cost Savings Resulting from Participation in USDA Program

Fiscal Year 1983

Total State Savings \$1,657,835

REGION 1	REGION 2	REGION 3	REGION 4	REGION 5
250 Savings from participation in USDA Commodities Program: \$170,038	Savings from participation in USDA Commodities Program: \$291,035	Savings from participation in USDA Commodities Program: \$163,004	Savings from participation in USDA Commodities Program: \$636,152	Savings from participation in USDA Commodities Program: \$397,606

Cost Savings vs. Salaries of Regional Food Service Operations Managers

It is the Department's position that without the coordination and initiative of these Managers, these savings would be substantially reduced.

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<u>Cost Savings</u>	<u>Costs for Salaries and Benefits for 5 Food Service Operations Managers</u>	<u>Net Savings*</u>
Participation in USDA Program (FY 1983) \$1,657,835	Grade 10 - \$22,813 including benefits X5 = \$114,065	\$1,871,930
Use and Purchase of Surplus Equipment and Supplies (Annual Average for FY 1979-1981) \$328,160		
Total \$1,985,995		

*Net Savings = Annual Savings from USDA Program + Annual Average Savings from Surplus Equipment and Supplies - Annual Salaries for Food Service Operations Managers

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 7. REGIONAL FOOD OPERATIONS MANAGERS

JLARC stands by the recommendation to maintain an effective level of food services at the adult facilities while organizing activities carried out by the regional food operations managers in a less expensive way. We continue to believe that DOC should take steps to achieve this objective, culminating in the elimination of the regional food operations managers.

The department cites two factors as influencing the development of the current regional food operations. First, sporadic institutional disturbances concurrent with inmate complaints directly related to food services, and second, a 1974 study by the State Crime Commission which identified the need for improved food operations at the field units. Consequently, the department created area supervisor positions, later to become regional food operations managers, to assist at the field units.

A review of the State Crime Commission's 1974 study, Report on Bland Correctional Farm and 13 Field Units in Virginia, indicates that the Commission found numerous instances of poor food services at the field units. As a result the Commission recommended that dining room facilities be improved and that proper eating utensils and storage space were needed. It also recommended that persons working in food service be trained in program health and sanitation procedures. The Commission did not explicitly recommend regional food service staff. The thrust of the Commission's recommendations were to improve the daily supervision of food services at the field units. The department elected to use regional managers (area supervisors) instead of directing its attention at having experienced supervisory personnel at each field unit.

Under JLARC's proposal, correctional officers with prior food services experience would provide the field units a higher level of food services coverage than presently exists. Under the present system correctional officers with little or no experience are assigned to food services in the field units. Due to high turnover and a consequent high demand for training, such a system is costly and provides only infrequent food service expertise to the field units. Each regional manager must cover three to eight field units.

The department maintains that an effective and efficient food service operation is an essential factor to order and security of any correctional institution. To that end, JLARC's proposal would improve stability and quality in the food operations of each field unit.

During interviews with the regional managers, a number of tasks listed by the department as being performed by the regional managers, such as menu planning, coordination of equipment purchases,

coordination with agribusiness, and coordination of USDA food commodities, were listed as being performed on limited basis or not at all by the managers. For example, the department indicates that as a result of the regional managers' participation in the USDA program, savings have occurred in each region. In the interviews only one manager indicated any activity in the USDA food commodities area, and that required only 5% to 10% of his time. In fact, the food operations director and the purchasing unit, both located in the central office, manage the USDA program for DOC.

As indicated in the exposure draft, the managers collectively spend the most time (an average of 45 percent of their time) conducting inspections at the field units. The other primary duty of the regional manager, which consumes an average of 35 percent of the incumbents' time, is training field unit personnel. As discussed in the report, training is necessary due to the extensive turnover of field unit security personnel who are assigned food service responsibilities. Our recommendation for personnel with food service experience at each field unit was previously described by the department as "ideal, and has been desirable for many years." However, DOC's current response suggests that "at least two qualified staff, plus relief staff would be needed at each field unit" if the regional food operations managers were eliminated. Six field units each currently have one permanently-assigned food services supervisor, as noted on page 110 of the JLARC exposure draft report. These positions apparently provide an adequate level of service, so there is little reason why two positions would be necessary at each of the remaining 20 field units. To suggest that 42 positions would be needed if the five regional managers were eliminated, as does DOC on page 44 of the response, is clearly excessive.

The department states that JLARC recommends reclassifying one security position at each field unit to a food service supervisor. The recommendation clearly states that redefining the job descriptions--not reclassification--of one correctional officer should occur for the 20 field units that do not have food service supervisors. This is an appropriate personnel action and would not violate the funding restrictions in the Appropriations Act.

DOC also takes issue with the JLARC recommendation that the food operations managers at major institutions provide technical assistance to regional field units. Several options are available to the department in this regard. Such assistance would require less time than it does at present because under the JLARC recommendation each field unit would have an employee with prior food service experience. In addition, it would appear reasonable for DOC's Academy for Staff Development to offer training in food preparation and service. Field unit personnel could attend training at the major institutions, reducing the need for the institutional food operations manager to leave the premises. Other options may also be available to provide technical assistance to the field units.

DOC disagrees with the part of the JLARC recommendation to assign inspection of food service operations solely to the department's

sanitarians and food operations director. The sanitarians are the DOC personnel who conduct the sanitary inspections required under the *Code of Virginia*. DOC has chosen for these sanitarians to inspect more frequently than is required at public restaurants, which seems appropriate. However the regional food operation managers do not currently conduct weekly inspections at facilities, as the department's response states, and they focus primarily on the field units. Consequently DOC is not in compliance with the cited ACA standard even with these positions.

JLARC's recommendation for the regional support services managers to assume some duties of the food operations managers does not appear to be burdensome. Tasks transferred to these managers should be based on their duties. Personnel selection, and reviewing equipment purchases and inventory reports, may be compatible with duties presently performed by the support service managers.

The JLARC report acknowledges the need for transition planning, and recommends that DOC phase in the recommendations by July 1985. We believe this is a reasonable period of time for DOC to take the steps required to phase out the regional food operations manager positions.

JLARC Staff Recommendation (8). DOC should eliminate the two positions serving as administrative assistants to the northern and central adult services regional administrators. These positions perform tasks assigned to manager positions in the other regions and are located in regions with relatively light workloads. In addition, the remaining three regional administrators appear to function adequately without assistant positions.

DOC Response:

The Department maintains that staff positions will continue to be needed to perform the work of the former administrative assistants, even though the latter positions are no longer in the regional offices.

One of these administrative assistant positions is among 10.5 clerical positions in the regional offices that will be eliminated July 1, 1984, as a result of the 1984-86 Appropriations Act. Funds for these positions were deleted from the administration budget request, based on the JLARC Staff initial Exposure Draft Report of January 3, 1984. The other position was on loan to the regional office and has been returned to its original location.

Subsequent to abolishing the Regional Program & Planning Managers, administrative duties and responsibilities were given respectively to one full-time employee in the Central, Northern and South-eastern region. Primarily, though not exclusively, they reviewed for procedural error all actions of the Institutional Adjustment Committees and to handle all related appeals emanating from the Adjustment Committee action. This entailed a thorough review of all background information, review of taped recordings, contact with institutional personnel for purposes of clarity, review of legal obligations, and subsequently prepare the appropriate response for the Regional Administrator to all issues raised during the appellate process.

This service to the inmate (avenue of appeal in Adjustment Committee matters) is mandated by court action, *Landman vs. Royster*, 333 F Supp. 621 (E.D. Va. 1971), which challenged "due process" regarding punitive actions against the inmates. For the Western and East Central Regions, these services are being provided by staff at the East Central Region through employment of law students (P-14, 60 hours per week) from the University of Richmond.

The work performed by personnel in these positions ensures that the policy procedure maintains consistency during the review process and assures fulfillment of compliance with court-mandated requirements. Likewise, the two administrative assistants provided the same services for the Central and Northern Regions. In the Southeastern Region, the service is temporarily being handled by the Regional Administrator's office until a permanent solution can be found.

CONCLUSION

Loss of these two positions will result in centralizing for review all Institutional Adjustment Committee action by staff at the East Central Region headquarters, constituting a need for utilization of additional part-time staff under P-14 employment. The task must be performed.

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 8. ADMINISTRATIVE ASSISTANTS

The elimination of the administrative assistants in the central and northern regions complies with the JLARC recommendation. As indicated in the exposure draft the two administrative assistants were not performing the duties that the department had originally assigned to the positions, nor were they performing the duties discussed in the department's response. In addition, the workload was not adequate to justify two full-time positions, and functions performed by the administrative assistants duplicated functions performed by other regional staff.

The department's response indicates that subsequent to abolishing the five regional program and planning manager positions, some administrative duties and responsibilities were assigned to the newly created administrative assistant positions in the central, northern and southeast regions. The rationale, according to the department, was to have the assistant pick up some of the workload of the manager positions.

A review of the program and planning manager's job description indicates that these positions were responsible for a number of duties, including:

- Planning, developing, and managing inmate rehabilitation programs throughout the region.
- Monitoring inmate education programs and acting as liaison with the Rehabilitative School Authority.
- Managing volunteers and volunteer programs.
- Managing the operations of the institution classification committee and insuring compliance with division guidelines.
- Managing the operations of the institution adjustment committees and insuring that all inmates receive due process.
- Preparing requests for federal and State grant funds, administering grants and insuring achievement of grant objectives.
- Preparing and submitting legislative proposals and changes thereto.
- Monitoring the institutions' farming and enterprises programs including State road force operations.
- Consolidation and final review of all capital outlay planning.

- Acting for and in the absence of both the regional administrator and the manager of operations and training.

None of these duties of the program and planning manager were performed by the northern region's administrative assistant. The central region's assistant performed only two of these duties. In the southeast region the former manager's duties were either deleted entirely or performed by other regional office staff.

The department bases its response on the duties of the administrative assistants in processing adjustment committee appeals. The data gathered by JLARC, however, does not support the department's argument that these were the primary duties performed by the positions. As noted, one administrative assistant had no involvement in adjustment committee appeals, while the other assistant was occupied only part-time with such appeals.

As discussed in JLARC's exposure draft on page 111, the administrative assistant in the northern region was responsible for a number of duties, including:

- Assisting the jail manager with inmate classification and providing technical assistance to local sheriffs.
- Acting as the regional office manager by processing all regional staff personnel actions and paperwork.
- Investigating employee grievances.

None of these duties related to adjustment committee appeals or to the other duties assigned to the former program and planning manager. Moreover, these functions and duties overlapped those assigned to other regional positions.

The central region administrative assistant spent part-time on adjustment committee appeals; however, the exact percentage of time was not made available to JLARC staff. According to information supplied by staff in the central region, 90 appeals were received in the regional office during a six-month period in FY 1983, for an average of 15 per month. This does not appear to be an adequate workload to justify a full-time position. As in the northern region, the central region administrative assistant performed a variety of other duties not related to the adjustment committee appeals.

As a consequence of these factors the elimination of these two positions appears well founded.

JLARC Staff Recommendation (9). DOC should eliminate three regional juvenile delinquency prevention specialist positions.

DOC Response:

The Department maintains that the present level of staff is necessary in order to carry out the mandates of the Prevention Program.

Time and activity studies conducted by the Department during the last 2 years cite the need for a minimum of 6 Juvenile Delinquency Prevention Specialists positions to carry out the services mandated in §53.1-251 through 53.1-260 of the Code of Virginia.

The proposal to remove 3 Juvenile Delinquency Prevention Specialists from DOC Regional Offices and centralize their functions in the DYS Central Office:

- A. Was written at a time when the 1984-86 target budget projected a substantial cut in the Virginia Delinquency Prevention and Youth Development Act program. However, a companion supplemental appropriations bill introduced in the General Assembly restored this funding with an approximate 8 percent increase.
- B. Misstates the scope of the Regional Specialist's workload.
- C. Understates proposed time required for monitoring and supervising the Department's Juvenile Delinquency Prevention Program.
- D. Demonstrates a misunderstanding of the basic focus of the Department's Juvenile Delinquency Prevention Program.

A discussion of points B, C, and D above follows:

B. The Scope of the Regional Specialist's Workload

As reported in the "Workload of Regional Offices of Youth Services: Juvenile Delinquency Prevention Specialists" (pp. 169-174), it is implied that the scope of the workload of the Regional Juvenile Delinquency Prevention Specialists is limited to monitoring and providing technical assistance to existing DP&YD Act grants to localities' programs and developing new Act grants to localities' programs.

§53.1-251 enacted in 1974, charges the Director of the Virginia Department of Corrections "to develop and supervise delinquency prevention and youth development programs," and to "cooperate with state and local authorities in establishing and maintaining delinquency prevention and youth development programs," and "to appoint necessary agents for carrying out of these programs as may be needed." Since 1974, the services mandated in §53.1-251 have been conducted statewide by DOC Regional and Central Prevention Specialists. In 1979 additional responsibilities were assigned to the Department of Corrections (§53.1-252 to §53.1-260) to administer delinquency prevention and youth development program grants to localities funded through General Funds to supplement the already existing DOC prevention program thrust. Today 21 programs involving 24 Virginia localities are operating under this portion of the Department's delinquency prevention and youth development program.

However, two workload studies and task analyses of each DOC Juvenile Delinquency Prevention Specialist position have been performed since the fall of 1981 showing that on the average less than 0.5 FTE of each position is spent monitoring or assisting existing Act grant programs or developing new Act grant programs. The majority of the Regional Prevention Specialist's remaining time is spent in developing and implementing prevention programming and activities not dependent upon or related to existing or future Virginia DP&YD Act grant funding. Figure 1 lists examples of these activities. Therefore, more than half of the present workload of each regional specialist was not considered by JLARC staff in their analysis and recommendations.

C. Computation of Time Required for Monitoring and Supervising the Juvenile Delinquency Prevention Program

The JLARC staff's first Exposure Draft (1-3-84) proposed a staff allowance of 1 day per program x 4 visits per year x 21 programs equals 84 days a year or 0.35 FTE position for a Juvenile Delinquency Prevention Specialist assigned to the DYS Central Office to perform required monitoring and supervising of the Department's Juvenile Delinquency Prevention Program. Although this ratio is somewhat modified by the second draft (3-13-84) which recommends a staff of 3 specialists, it continues to understate the time required to perform the services the Department provides through the program. A summary of these services plus the FTE required to perform them follows:

1. Virginia DP&YD Act Grant On-site Monitoring: While each quarterly monitoring visit currently requires only 3-4 hours on site, travel time from Richmond to site and return has not been adequately allowed for by JLARC staff computations, even if several sites are visited during each trip, and extensive overnight trips are made. Some sites (i.e., Bristol, Wise

County and Tazewell County) require 6-8 hours, one way, travel time (including meals) from Richmond. More realistic estimation of travel and required on-site monitoring would be a minimum 24 days a quarter for an approximate required 0.39 FTE, not the 0.35 FTE as computed by JLARC staff. NOTE: The time necessary for writing the 21 monitoring reports and the correspondence associated with them has not been included in the computations of time required for monitoring Virginia DP&YD Act Grant programs by JLARC staff (0.39 FTE).

2. Virginia DP&YD Act Grant Program Certification, Evaluation, Application, and Budgetary Supervision: Bienial certification, annual impact evaluation, annual regional grant review, and on-going budgetary development, monitoring, payment, and amendment processes are necessary for Act programs (0.20 FTE).
3. Virginia DP&YD Grant Proposal On-site Technical Assistance: Besides the quarterly site visit to monitor compliance with Virginia DP&YD statutory, regulatory, and annual grant workplan requirements, Regional Juvenile Delinquency Prevention Specialists make an additional 2-3 visits each quarter to each site to provide technical assistance. Examples of this technical assistance are:
 - a. Financial/Grantsmanship: In FY 1983 Specialists helped DP&YD Act Grant communities write grants and secure \$2,279,917 worth of public and private funding (not including Act monies), VISTA placements and other staff assistance, and equipment/material donations. Some examples are as follows: Bristol, \$19,614; Tazewell, \$44,826; Wise Co., \$63,355; Lynchburg, \$110,419; Alexandria, \$544,046; Richmond, \$98,332; Newport News, \$31,199; Norfolk, \$242,186.

When the cost of the FY 1983 DP&YD Act Grant program (State General Fund, \$732,730 and Local Match, \$355,647) is compared with the \$2,279,917 fiscal resources secured, the Virginia DP&YD Act Grant program generated for use in local youth services programming more money than twice its cost.

- b. Training: Training at the statewide, regional and community levels for Virginia DP&YD Act grant local program staff and their youth services citizen boards is per-

formed or brokered by Regional Juvenile Delinquency Prevention Specialists. Some examples of training performed in 1982 and 1983 are: "Effective Boardmanship," "Designing Organizational Purpose," "Facilitator Skills for Managers of Meetings," "Enlisting and Utilizing Volunteers," "Law Related Education," and "Restitution for Young Offenders."

- c. Program Development: Regional Juvenile Delinquency Prevention Specialists assist Act grant programs to assess needs, improve/revise present programs, and establish new projects. Regional Specialists assist to infuse new program ideas from the state of the art in prevention programming. Without the infusion of technical assistance and the coordinative role of the Specialists, programs are not likely to remain productive nor increase in productivity.

NOTE: The JLARC staff report does not reflect the importance of the Regional Specialist in providing such technical assistance to Virginia DP&YD Act programs. In fact the original JLARC staff proposal did not provide any Departmental staff time for this function. (Three visits per quarter x 0.39 FTE = 1.17 FTE.)

4. Plan, develop, and supervise the Virginia DP&YD Act Grant Program at the State level: Currently 0.45 Juvenile Delinquency Prevention Specialist position is required to supervise statewide the Act grant program and to perform such activities as: biennial budget document preparation; develop and distribute annual Request for Proposals; chair Central Review of Act grant applications and write Act funding recommendations; prepare annual letters of grant award and grant contracts; consult on formulation, revision, interpretation, and implementation of the Act's provisions, regulations, and minimum standards; provide technical assistance and training in program development; and prepare reports on program implementation. These duties are in addition to and differ from the duties of the Regional Juvenile Delinquency Prevention Specialist as outlined in #1 above (0.45 FTE).
5. DOC VISTA Project On-Site Monitoring: Required quarterly on-site monitoring and travel time for the Department's 19 project sites (0.35 FTE).
6. Community Prevention Project Technical Assistance: Staff time required to develop and implement prevention programming and activities not dependent upon

or related to Virginia DP&YD Act grant funding. Major activities performed under this category are financial/grantsmanship, training, and program development. See Figure 1 for examples of these activities. This carries out the DOC's statutory mandate to provide prevention services statewide as stated in the Code of Virginia §53.1-251. (5 Regional Specialists x 0.5 FTE = 2.5 FTE.)

7. Public Speaking Engagements/Publications: Testimony before local and state legislative bodies, speaking engagements to civic and professional groups, and the development and editing of publications for prevention programming (0.20 FTE).

Summary of Many of the Functions of Prevention Specialists (not intended to be all-inclusive):

DOC Prevention Program Services	FTE Required
1. Va. DP&YD Act Grant Monitoring	0.39
2. Va. DP&YD Act Grant Program Certification Evaluation, Application & Budgetary Supervision	0.20
3. Va. DP&YD Act Grant Program Technical Assistance	1.17
4. Va. DP&YD Act State Level Supervision	.45
5. DOC VISTA Site Monitoring	.35
6. Community Prevention Project Technical Assistance	2.50
7. Public Speaking Engagements/Publications	<u>.20</u>
TOTAL	5.26 FTE

D. Basic Focus of the Department's Juvenile Delinquency Prevention Program

Delinquency occurs in a community. To deal effectively with preventing juvenile delinquency, programming efforts must be in the community where the systems for youth services for children and their families operate. Participating with concerned citizens, professionals, and local units of government, Prevention Specialists intervene at the community level to assess present services and to organize and plan for better services for youth.

Departmental experience over the last 10-12 years demonstrates that attempts at effective planned change must start in a community at a level where genuine interpersonal communication is possible. Relationships must be fostered, and support built and maintained, while prevention programming is being established. The Specialist must spend much time in a community, and must be located relatively close to the area they service. Sitting in the Central Office in Richmond dependent upon telephone communications or limited on-site visits will not foster growth or maintenance of effective prevention programming in the Commonwealth.

Examining the focus/emphasis of the Department's Juvenile Delinquency Prevention Programming since its inception will demonstrate that when the Department switched from a central office focus to a regional office focus in 1975, programming expanded rapidly. In fact, although staff was cut by more than 50% in 1978, the number of prevention programs/projects has tripled since that time while using the regional focus.

ACTIVITIES THAT COULD NOT CONTINUE UNDER THE MOST RECENT
JLARC STAFF PROPOSAL

1. Training: Training as delivered through the Community Skills Development Series Training Network, the Northern Virginia Youth Services Coalition, etc. at statewide, regional, and community levels requires Specialists to participate as trainers and/or brokers. Such training is about the only source of prevention-specific training for local prevention program personnel.
2. Financial Grantsmanship Assistance to Localities not utilizing Virginia DP&YD Act Grant monies for Prevention Programming: In FY 1983 Specialists helped Virginia communities write grants and secure over \$2,000,000 dollars worth of public and private funding (not including Virginia DP&YD Act grant monies), 21 VISTA placements, and other staff assistance and equipment/material donations.
3. On-site Community Prevention Project Development: This is the basic emphasis and component of the present DOC Juvenile Delinquency Prevention activity.

Should the Prevention Specialist staff be reduced from 6 to 3 positions, the DOC will be forced to drastically reduce its activities in assisting communities to improve/revise present programs or to establish new projects which are not funded by DP&YD Act grants to localities. Regional Specialists spend approximately 35% of their time with Virginia DP&YD Act grant program sites and the remainder of their time with activities

not dependent on funding from Act monies. This reduction would potentially affect provision of service to all Virginia localities with the exception of the 24 Virginia communities presently operating with Virginia DP&YD Act grant programs.

CONCLUSION

If the Prevention Specialist staff is reduced from 6 to 3 positions as proposed by the JLARC staff, the Department of Corrections will be forced to drastically reduce its activities in assisting communities to improve and/or revise present programs or to establish new projects which are not funded by the Virginia DP&YD Act grants to localities. The elimination of this staff will reduce provision of service to all Virginia localities with the exception of the 24 Virginia communities presently operating with Virginia DP&YD Act grants to local programs.

Figure 1

The following is a listing by category of some of the more recent activities of the six Delinquency Prevention Specialists.

ALTERNATIVE FUNDING/GRANTS

Technical assistance has been provided to at least 15 communities in writing grants and proposals for youth development activities.

Assistance is routinely provided to communities in reviewing grants and proposals.

TRAINING

Specialists in the past year have been involved in the initiation, coordination, or provision of training in the following areas:

Effective Parenting	Neighborhood Leadership
Teenage Employment	Boardsmanship
Substance Abuse	School Volunteerism
Developing Community Resources	Teenage Depression and Suicide
Working with Single Parents	Motivating Youth for Change
Crisis Intervention	Setting Limits for Youth
Working with Emotionally Disturbed Youth	Teenage Sexuality

COMMUNITY CORRECTIONS

Assistance has been provided in the following areas:

Restitution Program Development	Diversion Program Development
Group Home Development	Conference Planning
Status Offender Programs with Court Service Units	Detention Home Special Programs

SCHOOL PROGRAMS

Involvement of Specialists includes:

In-school Suspension Programs	School-Based Alternative Education
State PTA Board Involvement	Local PTA involvement
Community Education Projects	School Climate Survey Projects (9 divisions)
School Volunteer Programs (20 divisions)	

VOLUNTEERISM

Involvement of Specialists includes:

Court Service Unit Volunteers	Community Voluntary Programs
Volunteer Development	

INTERAGENCY INVOLVEMENT

Involvement of Specialists includes:

Runaway Networks	Substance Abuse Coalition
Community Interagency Councils	Multi-Discipline Team Councils
Domestic Violence Coalition	Northern Virginia Youth Services Coalition
Governor's Advisory Committee on Child Abuse and Neglect	

PROGRAM DEVELOPMENT

Involvement of Specialists includes:

County-wide Emergency Shelter System	Drug Education Program
4-H Programming for Youth at Risk	Law Related Education Programs in Group Homes and Court Service Units
Wilderness Program Guidelines for Division of Youth Services	

Specialists are routinely involved in responding to technical assistance requests from communities and organizations in the areas of:

Resource development	Public Information and Education
Community development	

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 9. JUVENILE DELINQUENCY PREVENTION SPECIALISTS

DOC's Point A

DOC's overall position concerning the delinquency prevention program appears contradictory. The department's response appears to suggest that no reductions are possible in the program, yet the department deleted funding for the entire program from its budget request to the 1984 General Assembly. Funding was restored, with an increase, by the Governor's initiative. Consequently, it is unclear whether this program is a priority for DOC, as stated in the response.

The JLARC recommendation concerning the delinquency prevention program was developed on the basis of fieldwork at the regional offices without regard to the department's budgetary intentions for the program. Consequently, the findings are valid regardless of the budgetary outcome.

DOC's Point B

The JLARC report assessed statutorily-imposed staffing requirements as part of the overall assessment of DOC. This approach facilitated the identification of duties not explicitly required by statute. A key point of disagreement is whether, under this approach, JLARC proposals would provide enough staff time to carry out the essential duties required under the Delinquency Prevention and Youth Development Act. The view expressed in the report is that these duties consist of supervising the existing 21 programs approved for funding under the act. The department appears to argue that all activities performed by delinquency prevention specialists are essential and required under the DP+YD Act. The JLARC recommendation also provides time for an additional duty, because DOC has executed an agreement with the federal ACTION agency to monitor 19 VISTA project sites. The department states that this duty will require 0.35 FTE annually. In fact, under the JLARC recommendation some time would be even available for additional non-essential activities because the time required for the specified duties totals 2.56 FTEs while the recommendation is for three full-time prevention specialists.

DOC's response indicates that the agency would like to continue to provide a broad prevention program to Virginia communities. However, the department also seems to suggest that the only options for the program are to provide the full, broad range of activities it has provided in the past, or to cease funding the prevention program altogether. Under fiscally austere conditions the JLARC recommendation is a reasonable way to continue the delinquency prevention program.

DOC's Point C

The JLARC report explicitly used the time estimates provided in DOC's initial response. All activities identified by DOC as directly related to the DP+YD mandate were included in the JLARC recommendation, as was time for VISTA site monitoring. In paragraph C1 the DOC response takes issue with JLARC time computations which are not used in the JLARC report. The time estimates used in the report were provided in the previous DOC response.

The chief component of the prevention program excluded in the report is "technical assistance to community prevention programs," estimated by DOC as requiring 2.5 FTEs. This is defined in the response as "staff time required to develop and implement prevention programming and activities not dependent upon or related to Virginia DP+YD Act grant funding". These activities were excluded from the JLARC recommendation on precisely that ground. Page 60 of the response lists examples of activities not related to the Act. Prevention specialists appear to be involved with a wide variety of activities, not all of which are clearly targeted at the delinquent-prone population or available only through the auspices of DOC.

The DOC time estimates were incorporated in the JLARC report even though they may overstate actual involvement with the 21 funded programs. Only one delinquency prevention specialist stated to JLARC that he visited the funded programs three times per quarter. Specialists in the other four regions all stated that they make site visits less often. Specialists in three regions stating that they visited the DP+YD programs one time per quarter. Thus the inclusion of 1.17 FTEs in the time estimate, which DOC states is based upon three site visits per quarter, is inflated.

DOC's Point D

The JLARC exposure draft report focuses on staffing in the central and regional offices. Consequently, no comment is made in the JLARC report on the department's philosophy of or approach to delinquency prevention programming. As discussed above, the basis for the JLARC analysis is the DP+YD Act and the maintenance of the 21 programs funded under the Act. Activities such as technical assistance to unfunded localities would appear to be lower in priority for DOC than maintaining the funded programs.

It is unclear what criteria were used to select the "activities that could not continue under the JLARC staff proposal" which are displayed on page 58 of DOC's response. In fact, the department states that VISTA site monitoring would be deleted, although time for this activity was explicitly provided in the report. In addition, such low priority activities as public speaking would apparently continue even though financial grantsmanship assistance would be terminated. Closer review of the program is indicated if DOC seriously intends this listing to reflect its priorities for the DP+YD program under austere conditions.

JLARC Staff Recommendation (10). Each adult services regional office should have only two secretarial positions. Reductions to only one secretarial position in each youth services regional office should also be accomplished. DOC should consider pooling secretarial staffs between youth and adult services regional offices.

DOC Response:

Although action of the 1984 General Assembly reduced the DOC budget by 9½ FTE secretarial positions (based on the recommendations of the initial JLARC Exposure Draft Report), the DOC maintains that these reductions of the secretarial staff are excessive and will prevent the Regional Offices from processing its required work in a full and timely manner.

The Department's response is hampered because the Draft Report provides little rationale as to methodology or data used in arriving at the JLARC staff conclusions. In response to a request for information, JLARC staff indicated that interview, observation and common sense were the basis upon which the recommendation was made. Statements in the report as follows, would not be (in the judgment of DOC) justification for such sweeping staff reductions.

"In at least one region this level of staffing appears excessive as one secretarial position in the Northern Region actually works for the adult service community diversion specialist." (p. 126)

"Each adult services regional office has a complement of four to five secretarial positions...which is a higher ratio than for DOC central office administrative positions." (p. 111)

"Some regional manager positions generate little typing." (Example given - regional food operations managers spend little time in the office.) "Consequently, the adult services regional offices appear more heavily staffed with secretaries and clerk-typists than may be necessary." (p. 112)

The basis of the Department's concern centers around the apparent lack of factual research which would provide accurate workload data upon which recommendations could be made to decrease or to increase the present level of secretarial staff. During the next several months, the Department will conduct this type of research to determine the secretarial staff needs in the regional offices.

The workload criteria in the staff report for these positions seem to focus on typing. However, with increasing populations and reporting requirements, the clerical personnel in the regional offices are crucial to the preparation of reports and responding to urgent requests for information from central office, inmates, employees, and inmate family concerns. The clerical staff performs information gathering, logging, collating, mailing and filling of inmate and employee grievances and inmate Adjustment Committee appeals. These are time sensitive functions that cannot be accomplished by the administrative staff alone. A large volume of mail must be time stamped, logged and distributed. Telephone calls are received, directed to the appropriate staff member and made for the staff.

Meetings and travel arrangements must be made. Distribution of information to the institutions and receipt and compilation of information from the institutions are performed by the clerical staff. The maintenance and processing of administrative matters such as personnel information, leave, mileage, petty cash, photocopying, updating policy and guideline manuals and ordering office supplies all fall to the clerical staff. During emergencies, the clerical personnel maintain communications and relay vital information for the Regional Administrator and the Managers.

The Department found it necessary to reduce secretarial staff in the Youth Division due to the Executive Budget-mandated reduction of 201 FTE positions 1984-86. Five half-time secretarial positions for Youth Services will be eliminated. While this is not the most desirable situation, the reduction of one position to half-time is a less severe move than the proposed alternatives. The remaining one and one-half positions that would have been left in each youth regional office after July 1984 were an essential staffing level. One secretary cannot adequately handle the workload of four Youth Services staff and also be a receptionist-office manager and cover the general functioning of an office relating to state programs, local programs, and private citizen inquiries and interests in services.

Since the regional offices are widely separated, they must function in a more independent manner than the central offices to which they were inappropriately compared. They, therefore, require a higher ratio of secretaries. Neither do the regions have an automated word processing unit upon which they can depend as does the central office. In addition, many matters are delegated by DOC headquarters to regional offices for handling.

The regions currently pool resources on an as-needed basis. With the proposed and actual reduction of secretarial support for the regional offices, adequate coverage will not be available during vacation time, sick leave, annual leave, or emergencies, as well as to handle periods of peak workloads.

The reference in the staff report to the Northern Regional Office regarding secretarial assistance from the Youth Services staff to the Adult Services Community diversion specialist is one example of cooperative support when needed and not an ongoing regular assignment (but is given as documentation alleging that the Youth Services staff secretary works for Adult Services because of insufficient workload).

During the period when the JLARC staff visited this office, an Adult Services secretary was absent due to illness and Youth Services was providing clerical assistance. Since the Adult Services clerk has returned, Youth Services' assistance is no longer required.

The impact of future workloads does not appear to have been taken into consideration. For example, the Northern Regional Office will be developing a group home in the Northern Neck area of Virginia, and the Department has been asked by the City of Alexandria to operate its court service unit as a state-operated service. These programs, along with others, will bring additional responsibilities and workloads.

The staff reference to managers being out of the office approximately two days a week is misleading. The managers are not always out two consecutive days nor are they all in the field during the same time period. They often leave work to be completed before leaving as well as bringing work back with them.

Not addressed in the report is whether the clerical reductions should have taken place regardless of the elimination of one region and the enlargement of others. It is the DOC's position that an increased workload caused by four regions would necessitate more help rather than less. Also not addressed is the relief factor if one of two clerical staff members is on leave or ill. One secretary could not possibly carry out the clerical functions of the regional office. Also not addressed is clerical assistance provided by regional offices to central office positions based in the regions.

It is believed that the only way the clerical positions can be safely reduced is to automate the Department completely by a network computer system. This is not likely to happen in the near future. In the meantime, clerical personnel are vital in a system that is responsive to emergency situations and calls for information on an often urgent basis. The relative low cost of the clerical positions in question, \$33,000 by JLARC staff statistics, seems to indicate that efficiency and responsiveness would be sacrificed for a sum that would have little impact on the overall budget.

CONCLUSION

The DOC is concerned that the JLARC Draft Report recommended sweeping statewide reductions in the regional office secretarial and clerical staffs without using measurement instruments which would yield factual information on staff workloads. Without such measurements, the staff needs can be based on no more than impressions and subjective judgements.

During the next several months the Department will study these secretarial workloads and report the finding in time for any necessary amendments in the 1985-86 mini budget proposals.

JLARC ANALYSIS OF DOC RESPONSE
RECOMMENDATION 10. SECRETARIAL STAFFING

The elimination by the 1984 General Assembly of twelve secretarial positions in the DOC budget was consistent with the exposure draft recommendation. These positions included the 9.5 mentioned in the response plus an additional 2.5 youth services regional secretaries which DOC agreed to eliminate, as part of a 201-position reduction.

The department questions JLARC's methods used to develop the recommendations to decrease secretarial staffing in the regional offices. As indicated in the report, several methods were used, including convergence of workload indicators, interviews with secretaries and regional managers, a comparison of secretarial to administrative staffing ratios in both central and regional offices, and the potential for efficiencies through secretarial pooling.

The department indicates that it will conduct a study of secretarial workloads in the regional offices to refute JLARC's findings. While such an effort should be conducted for the manpower plan, it is not clear that DOC will conduct the study in an objective fashion. In fact, the department states on page 62 of the response that "one secretary cannot adequately handle the workload of four youth services staff" as well as other related duties. The department has already indicated through its response that the secretary positions are needed, without presenting any data to refute JLARC's findings. If the study is going to be conducted only to support the department's argument for retention of the positions, then we would question the study's utility.

JLARC's recommendation continues to be that one secretary for each youth services regional office and two secretaries in each adult services regional office should be sufficient. If no other JLARC recommendations are adopted, this would still represent a total of 14 secretarial positions for 73.5 administrative positions, a ratio of one secretary for every five administrators. Because the youth and adult services offices are located in the same facilities, the department should be able to resolve any manpower emergencies or other contingencies by pooling secretarial staff between the two offices. By pooling resources the department should be able to gain a number of efficiencies in its regional secretarial staff.

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