



# Department of Corrections Action Plan

PREPARED FOR:  
**Governor Bob Riley**

PREPARED BY:  
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## OVERVIEW

### I. MAJOR PROBLEMS

The Alabama Department of Corrections (ADOC) continues to confront four major problems, the first two of which were addressed by the Governor’s Task Force on Prison Crowding:

1. Prison crowding at medium or higher level security facilities;
2. Personnel shortages, especially at the Correctional Officer level;
3. An aging and poorly maintained physical plant, and;
4. Soaring healthcare costs for inmates.

This multi-faceted Action Plan offers potential solutions for all of these problems, a timeline for bringing these problems under control, and identifies resources required. Some resources may be realized by increasing the funds generated by inmates themselves, and some must come from other sources, primarily from the state general fund. Most, if not all of these problems, are the result of the unprecedented growth in inmate population in the last 15 years, and the solutions all hinge on achieving a reversal in inmate growth. The reversal of this growth trend is critical, possible, but by and large beyond the control of the Department of Corrections.

#### A. The Overcrowding Problem:

The overcrowding problem is easy to understand: on average each month about 700 new inmates requiring space in medium or higher level facilities enter the system and only about 581 medium or higher level prisoners leave – thus every month the department must find space for an additional 119 prisoners or the prisoners stack up in county jails causing problems for local officials. Unless and until the 119 number can be reduced to zero or become a negative number, all solutions, such as squeezing more beds in existing space,



outsourcing prisoners to private contractors, building new facilities, moving inmates to minimum security work release facilities, are only temporary fixes. Eventually all existing space will be filled and the acquisition of additional space will be cost prohibitive.

**B. Staff Shortages:**

The Department of Corrections is authorized 4,434 personnel of all categories, but has on hand only 3,547, nearly 20% fewer than authorized. The numbers for Correctional Officers are 2,927 authorized, and 2,483 on hand, or a shortage of 444 (about 18%). Moreover, it is likely that the authorized strength of Correctional Officers is substantially lower than the optimum level required for efficient operations. In Alabama, our Officer to prisoner ratio is 1:10; for our surrounding states it averages 1:6. While 1:10 may seem adequate on its face, it must be remembered that prisoners must be guarded 24 hours per day, 7 days per week, requiring a 3 shift operation. On any given day hundreds of Correctional Officers are either on military duty, sick leave, annual leave, in a training mode, guarding prisoners in hospitals where two CO's must be on duty for each hospitalized prisoner 24-hours a day, providing security for prisoners in transit, or fulfilling other important but distracting functions. Accordingly, it is not uncommon for one Correctional Officer to be supervising up to 250 - 300 medium or higher level prisoners for an extended period of time. At this writing the problem is getting worse. Recruiting and retention of Correctional Officers has suffered in recent years. Currently we lose about 30 Correctional Officers each month, some due to retirement, but many go to other law enforcement jobs. While we have the capacity of training 450 or more new Correctional Officers each year, the most recent class due to graduate in April has only 32 cadets --thus the net loss for the first quarter of 2006 is 58 Correctional Officers.



**C. Aging Facilities:**

The newest Corrections facility we operate was constructed in 1998; the oldest still in use was constructed in 1939. The only facility for housing female inmates was constructed in 1942, and the average age of our major facilities is 32 years. Repairs and renovations have been basically on an emergency basis – no systematic preventative or routine maintenance program has been in existence except where required by court settlements. Roofs leak, sewage systems overflow, kitchen equipment is worn out, plumbing and electrical problems are widespread, locks don't work properly, and no smoke or fire alarms exist in some prisoner sleeping areas. Many prisoners are housed in temporary shelters (mobile homes or portable classrooms) long past the useful life of these facilities, others reside in warehouses or industrial facilities (i.e., canning shop) converted to inmate housing. All facilities are in need of some repair; some need major renovations, some may not be economically repairable at all. Almost none of our facilities meet the federal Americans with Disabilities Act requirements, which recently became mandated under federal court litigation.

**D. Inmate Health Care:**

The cost of inmate health care has spiraled in recent years driven by four factors: (1) the increased number of inmates incarcerated, (2) an increase in the severity of illness and degenerative diseases of inmates received into the systems as a result of a lack of free world health care coverage, (3) improvement in healthcare services as a result of new medical technology including advanced drug treatments, and mandated access to higher levels of care by litigation in federal courts, and (4) physical plant limitations of the institutional health care units do not allow for onsite long-term or advance care services, resulting in a dependency on costly free world community providers. The required transportation and security coverage for inmates receiving care in the free world has a direct effect on both costs of



salaries and staff resources, because it is necessary to pull from institutional staff to provide security in the community. In the last three years the cost of inmate health services has risen from \$44.1 million to nearly \$80 million during the current fiscal year. Inmate healthcare costs inclusive of medical and mental health services, have accounted for about 55% of the increase in general fund dollars appropriated by the Legislature to the Department over the past 3 years.

## II. PROPOSED SOLUTIONS

### A. Overcrowding

The highest priority must be given to programs that have the potential to change the positive 119 inmates per month number to a negative number. As stated above, until that number is reversed, all “fixes” are temporary and become increasingly costly.

Fortunately, the Governor’s Task Force on Prison Crowding carefully considered this issue and provided a road map. Four of its recommendations, if aggressively implemented, have the potential to reverse the prison population growth trend.

1. Pass and implement sentencing reform and especially the Sentencing Commission’s sentencing guidelines: Potential – reduces the projected prison population by about 500 the first year (average of 41 beds per month); more than 1000 in year 2, growing to a reduction of about 3,000 in year 5.
2. Create and aggressively implement a statewide Community Corrections System: Potential -- diverts 200 spaces per month.
3. Establish and fully utilize a technical violator’s center for minor probation and parole violations: Potential -- saves 50 spaces per month.
4. Establish and fully utilize education and/or transition centers to take medium and higher inmates and prepare them for reentry to outside life or prepare them for lower classification of incarceration earlier in their



sentence: Potential -- saves 65 spaces per month.

The total potential bed space savings from this proposal is estimated to be 356 spaces per month within the first year, growing to 565 within a relatively short period of time.

In the short run, while these initiatives are coming on line, we will create about 850 new medium beds in our facilities by restructuring, and continue to contract out 1100 male beds and 320 female beds in private facilities. The Department will need seed money from the General Fund to institute an intensive educational center program plan designed to reduce classification levels 2 – 3 years earlier than is the case now, but projections indicate that the program can be self-funding within 2 years.

**B. Recruiting and Retention:**

Recruiting and retention of a ADOC staff, and especially Correctional Officers must be our second highest priority. The plan calls for an intensive recruiting effort aimed at producing at least 450 new Correctional Officers each year, while at the same time reducing our attrition rate by making employment with the Department of Corrections more financially attractive to young Correctional Officers. A manpower survey will be conducted to scientifically validate our personnel requirements for support staff and Correctional Officers. Armed with this information, and with the approval of the Governor, the Department will seek additional funding from the Legislature to make the salary adjustments necessary to enable us to recruit the required staff and to retain those we have recruited and trained. The estimated cost to achieve salary parity with other law enforcement agencies is between \$11 or \$12 million annually. This is a general fund item. Savings from reduced overtime costs may be enough to cover the cost of hiring up to 300 additional Correctional Officers.



**C. Renovation of old facilities and construction of a new facility:**

The department will contract with an engineering/architectural firm that specializes in correctional facilities to inspect thoroughly our existing physical plant and determine cost effective repairs and renovations that can be accomplished. After this inspection, it is anticipated that some older facilities may not be economically repairable, and will be considered for closing when other bed space is available. The facility survey will determine the cost of bringing all facilities up to currently accepted codes, including the provisions of the Americans with Disabilities Act.

The repairs and renovations will be prioritized based on the most urgent needs of the department, and will be scheduled to be accomplished over a period of 7 to 8 years, and a preventative maintenance program will be implemented. Cost estimates are not available at this time, but the plan calls for the costs to be covered by increased funds generated by Correctional Industries.

The Department is exploring the possibility of contracting out its sewage treatment operations for the facilities in litigation. This will avoid capitol outlays of between \$6 and \$8 million to correct the environmental problems, but will increase monthly operating expenses. These increased operating costs will be reflected in the Departmental FY 2007 budget.

Before the end of 2006, the department and the facility survey team will establish the parameters for a new 1,600 bed women's correctional facility. It is anticipated that Tutwiler PFW would be closed when this new facility is brought online. Construction plans will also include a new 200 bed infirmary facility to provide comprehensive health care services and capacity for the department. During the early months of 2007, financing options will be explored and a recommendation will be made to the Governor concerning how best to finance and acquire a new facility. A competitively bid contract will be let and a



new facility should be on line by the middle of 2009. The cost for a new facility is unknown at this time, but rough estimates place the cost at between \$40 and \$50 million to be amortized over 25 to 30 years. The cost of the new facility will be borne by funds generated by increased inmate labor, supplemented by the General Fund.

**D. Health Care :**

The establishment of health care administrative and clinical staff in the ADOC Central Office means that the Department is no longer at the mercy of healthcare contractors to determine the level or standard of care and cost for prisoner's healthcare.

It is anticipated that establishing our own standards of care through policies and procedures for the contractors to meet, as well as implementing a viable quality improvement program and engaging in service contracts based on shared risks, will enable us to provide cost effective, constitutionally adequate, healthcare. Initiatives by the State Department of Finance that assisted in securing discounted inpatient hospital rates through the Blue Cross/Blue Shield hospital network will continue to have a positive impact on our overall healthcare costs. Implementing wellness and preventative health programs will assist in maintaining a proactive approach to healthcare, with the ultimate goal of reducing the severity and longevity of illness and degenerative disease, thus, reducing the incidence of catastrophic illness and the associated cost of treatment.

Finally, as mentioned above in conjunction with the initiative to construct a new 1,600 bed women's facility, plans call for establishing a minimum of a 200-bed inpatient long-term and special needs infirmary. This special needs medical unit will enable us to centralize long-term and specialty care for inmates as well as reduce the associated cost of security and transportation. This should result in an



increase in the continuity and quality of care, as well as a reduction of financial and legal liability.

### **III. SUMMARY**

In summary, the Department will fully implement the recommendations of the Governor's Task Force on Prison Crowding, and the Governor's Letter of Instructions to Commissioner Allen dated February 15, 2006. These documents task the Department to take whatever actions are necessary and expedient to bring the operations of the department into the 21<sup>st</sup> century. Key among these mandates will be upgrading our ancient computer system for keeping track of all operations, especially inmate records, and the automation of transcript information. The cumulative effect of these innovations should be a decline in the inmate population and a much more efficiently operated system that will result in lowering the costs to tax payers for inmate incarceration for years to come.



# Alabama Department of Corrections Action Plan

## I. Sentencing Reform Legislation

The Alabama Sentencing Commission, with the support and endorsement of Governor Riley, drafted sentencing reform legislation designed to address the prison and jail overcrowding issues in the state. The proposals offer both short term and long term solutions for criminal justice and sentencing reform. The proposed legislation emphasizes the need to reserve prison bed capacity for violent offenders; the expansion of judge's sentencing options for nonviolent offenders; eliminating unwarranted sentencing disparity; and, resolving ambiguities in our criminal laws. Passage of this legislation would have a positive impact on the Alabama Department of Corrections (ADOC) overcrowding problem by reducing the prison population by 500 the first year (average 41 beds per month); more than 1,000 beds in year 2, and growing to a reduction of about 3,000 in year 5. The ADOC and the Alabama Sentencing Commission are working to encourage the passage of the sentencing reform legislation.

## II. Criminal Justice Information Systems Improvement / Data Exchange

A major deficiency in the Information Technology (IT) capabilities of the ADOC was identified in a study conducted by the COLSA Corporation, Huntsville AL, in April, 2001, and was confirmed in the Task Force on Prison Crowding final report. Both reports identified a critical need for the ADOC to utilize compatible and state-of-the-art criminal justice information systems to accurately collect, process, and exchange vital criminal data. The COLSA Corporation "*Corrections Criminal Record Improvement Study*" or *CCRI Study*, found that the ADOC faces a crisis in the handling of the vast quantities of data and documentation that it is required to process. This is being caused by an unprecedented growth in the number of inmates in the prison system. The following was adapted from the CCRI Study:

"The current Inmate Management System (IMS) software is inadequate to assist ADOC personnel in meeting the challenges of today's prison system. The current software was originally written over twenty-five years ago and does not provide the ease of use, automated forms, data storage, statistics, and reports that are required and needed by ADOC users. The current ADOC Unisys mainframe consists of proprietary hardware and software and does not allow utilization of an open systems type environment. Due to the antiquated technology of this system, requests for non-standard data require additional coding of report-generating programs on a case by case basis. Prison and State officials do not have immediate access to needed information with the current system and, therefore, may not have all the facts necessary to make effective decisions concerning the prison system. Recidivism data is virtually non-existent, and many beneficial statistical reports are not readily available. It is clear that much of the information necessary to operate the



ADOC effectively is not available, and that which is available is being generated at excessive cost due to the manual labor involved. Upgrades to all criminal justice agency information systems will enhance the ADOC's ability to collect, interpret, and disseminate criminal data that would ensure a more accurate classification of inmates within the prison system. The records that are retrieved are mainly for operational necessity and not to produce the type of summary information that is essential to effective management."

Maintenance on the mainframe system is currently not available, and a failure at this time would result in a total system shut down that would effectively bring the ADOC operations to a halt.

Legislation to authorize the legal exchange of criminal history information was introduced in this legislative session but failed to receive support for passage. This legislation will be brought forward for consideration again next year.

Act 2006-218 was passed requiring the filing of either post-sentence or pre-sentence reports for every felony conviction, and requires such reports to be completed in electronic format. If this information is received prior to the in-take process, it will expedite and improve the classification process by providing accurate information to the ADOC.

The ADOC is currently working with the Alabama Office of Courts to develop and implement an "E-Transcript" system that would facilitate the electronic transmission of court transcript information into the ADOC computer information system. This process will automate the integration of court transcript data into the ADOC Inmate Data Base System, eliminating the need for manual input by Central Records personnel. It is estimated that approximately 160 labor hours would be saved each week (\$125,000 per year) in the Central Records Division if the transcript entry process was fully automated and data input was eliminated. The E-Transcript process will be ready for pilot testing at a selected circuit court within 2 months and should be fully operational in all judicial circuits by October 1, 2006.

The ADOC is currently evaluating the feasibility of contracting with private service companies to scan inmate file records into the ADOC Records Management System. The inability to staff fully this section of the Central Records Division has prevented the ADOC from completing this project in an efficient time frame. Cost / benefit analysis will be conducted to determine the most efficient method for completion of this project. Assuming the ADOC will make the decision to utilize contracted personnel to scan records, the ADOC projects that 100% of active inmate records could be scanned and available for electronic queries / data sharing within 1 year. If this project is not outsourced, the time frame for completion will be a minimum of 3 years. The approximate contracted cost to complete the scanning of active records into the Records Management System is \$900,000. This will be paid out of existing funds; part this fiscal year and part FY2007.

The ADOC is currently working with a private company to assess the current manual processes for compiling and processing the department's personnel time and attendance information. Upon completion of this assessment, a recommendation will be made relevant to the conversion of these processes to an automated, electronic process for tracking such data. An electronic Time & Attendance System also has the potential to interface with the state's Government Human Resource System (GHRIS) to improve accountability and productivity. The approximate cost to implement an electronic Time & Attendance System is \$500,000. The system will be implemented within 1 year with resulting savings of \$750,000 in FY07. An estimated \$1 million annual savings is expected in subsequent years.



Planning to modernize the information systems of all criminal justice agencies is almost complete. As part of this information systems initiative, the ADOC is working with IT personnel from other agencies in a joint development effort to ensure that upgrade plans will move the ADOC into an era of truly integrated data and common business-process modeling. A primary goal of the ADOC plan is to design and develop the hardware and software architecture to replace the current "Legacy" mainframe systems with new web-based application programs and data base technology.

In an effort to ensure the effective and efficient completion of this major project, the ADOC will contract with additional development specialists to assist the current staff of Information Systems personnel. The approximate cost to re-engineer the ADOC Inmate Management System is \$2.1 million. This project has commenced and completion is expected within 1-2 years. Additional General Fund dollars may be needed in FY 2006 and FY 2007.

The department's financial accounting system is several generations behind the state's current financial accounting system and is obsolete. We've been informed by the Finance Department that a new state-wide financial system will be implemented in early FY2007 and that this department will be one of the first to be upgraded. Expenses are expected to be borne by the Finance Department.

### **III. Alternative Corrections / Punishment for Offenders**

#### **A. Technical Violators Center**

The implementation of a Technical Violators Center would serve to address the ADOC overcrowding issue by diverting approximately 50 parolees on a monthly basis from returning to the state prison system. The ADOC will work with Pardons & Parole as necessary to support their efforts in the planning, design, and implementation of a Technical Violator Center.

#### **B. Parole Transition Centers**

The implementation of Parole Transition Centers benefits the ADOC through the early release of eligible inmates and the provision of programs designed to assist the inmate in the successful re-entry into society. Reduced recidivism rates should be realized for offenders that complete these programs. Relative to the overcrowding issue, the selection of eligible medium custody inmates to participate in the program would provide the maximum benefit to the ADOC. The potential impact on the ADOC population could be a reduction of 65 inmates per month.

The L.I.F.E. Tech Center for male parolees will open in April at Thomasville, Alabama. Pardons and Parole has committed to the paroled release of 50 inmates per month from ADOC custody until full capacity has been reached.

The L.I.F.E. Tech Center for female parolees in Wetumpka is operating at 100% of capacity.

To assist Pardons and Parole in this effort, the ADOC will aggressively work to identify inmates that may be eligible for parole and transfer to the L.I.F.E. Tech Centers. See Section III.E for detailed action plan.



### **C. Community Corrections Programs**

Implementation of Community Corrections Programs (CCP) has proven to be an effective means for addressing the ADOC overcrowding issue. Over the past two years, more than 2000 offenders that normally would have been transferred to ADOC custody have been diverted into established CCPs. The ADOC will be aggressively working with CCP personnel, county officials, and circuit court judges to expand the program on a statewide basis. The program has the potential to divert 2000+ offenders from ADOC custody this fiscal year.

Short term activities will include meeting and working with Judges, District Attorneys, and CCP personnel to significantly increase the number of offenders sentenced to community corrections as a "Front-End" diversion case. To encourage increased utilization of CCP services, incentives will be offered for those programs that are successful in the front-end diversion of more than 50% of their eligible offenders.

Increased "Institutional" diversions will also be emphasized in the short term. The ADOC will aggressively work with CCPs to establish monthly and annual goals for the number of institutional diversions for each program. Again, incentives will be offered for those programs that are successful in achieving the established goals for institutional diversions.

The ADOC will aggressively work to enhance business relationships with current CCPs through improved communication and increased efforts to educate program and court personnel about ADOC procedures and regulations. ADOC personnel will also meet and work with Judges, District Attorneys, County Commissioners, and other officials to promote the program in counties that currently do not have a CCP established. Technical support will be provided as needed, and "Seed Money" will be available to assist with the development of new programs. The ADOC has established a program expansion goal of implementing the CCP in all 67 Alabama counties within 4 years. We are on target to develop eight (8) additional CCP programs in 2006. The following year (FY2007), ten (10) additional counties should be added, and the remaining seventeen (17) counties are expected to be added within 3-5 years. If these expansion goals are achieved, the ADOC projects 3000 offenders will be diverted each year in the mid term, and 4000 offenders will be diverted each year in the long term.

Additional ADOC administrative personnel will be needed to support the program expansion efforts. Plans include employment of an Assistant Division Director, a Departmental Program Manager, and an Administrative Support Assistant. The ADOC Community Corrections Division currently has an annual operating budget of \$5.2 million. An additional \$3 million in annual funding will be needed for the program in the mid term, and \$6 million long term. Additional General Fund appropriations will be needed to fund the program expansion plan.

### **D. Consolidation of Community Based Services**

The ADOC will cooperate and provide technical assistance as necessary to evaluate the feasibility of consolidating all community based services under one governing entity.



## **E. Constant Review of Potential Parolees**

The ADOC recognizes the positive role that the Pardons and Paroles Board plays in addressing the overcrowding issue. In an effort to fully utilize this means of reducing the inmate population, the ADOC will implement an inmate assessment initiative to assist in the identification of potential candidates for parole.

Short term plans include the development of an inmate data base program designed to screen all active inmates within a defined time frame for parole consideration. The program will be run on a monthly basis to generate a roster of potential candidates for an earlier parole consideration at each institution. This roster will be forwarded to classification personnel at each institution for review and analysis.

Institutional classification personnel will review the file records of inmates identified on the roster and provide a "Parole Recommendation Listing" to the Warden for review and approval. The listing will identify inmates with parole review dates within a time frame of 6 months to 3 years from current date.

The Warden will forward the "Parole Recommendation Listing" to the Central Review Board for coordination and delivery to Pardons & Parole. Copies of the recommendation listing will be placed in the inmate files and also forwarded to the Information Systems Division for tracking purposes.

In an effort to evaluate the effectiveness of this ADOC initiative, a program will be developed to track and monitor those inmates recommended to Pardons & Parole for parole consideration. After six (6) months, a "Parole Activity Listing" will be generated for the ADOC Commissioner that highlights those recommended inmates who were actually paroled or have had a new parole review date set. This parole activity listing will subsequently be generated on a monthly basis for the Commissioner's review.

Implementation of this initiative will be completed within one year. The number of actual parolees and the effects on the ADOC inmate population as a result of this initiative will be dependent upon the actions of the Parole Board.

## **IV. Prison Industries & Work Programs Expansion**

### **A. Inmate Skills / Needs / Risk Assessment**

The ADOC recognizes the importance of effectively screening inmates, conducting a thorough security classification procedure, and assessing the needs of each inmate in an effort to make appropriate decisions on housing. Assessment also serves to evaluate each inmate in order to make recommendations for meaningful work and rehabilitative program opportunities during incarceration. Current and new initiatives will be emphasized relative to this assessment process.

1. The ADOC is currently evaluating the education levels, vocational skills, and rehabilitation needs of all inmates during the intake process at Kilby and Tutwiler. Another evaluation is conducted if an inmate violates terms of parole and is returned to ADOC custody. Identification of work skills and abilities at intake will be emphasized with ADOC personnel so that inmates can be utilized more efficiently in established work



programs. An initial classification process is also conducted at intake to determine if an inmate meets eligibility criteria for transfer to a Work Release / Community Work Center.

2. A Re-Assessment Initiative will be implemented in the short term to identify additional Work Release / Community Work Center inmates. See Section IV.E.5 for details of this action plan.

## **B. Prison Industries Expansion**

The Alabama Correctional Industries (ACI) division serves a vital role in the operation of the state prison system. Gross sales of ACI products and services generate approximately \$15 million in annual gross revenue and the profit from this activity can be utilized to support the operations of the ADOC. Projected profit for the ADOC in FY2006 is approximately \$1 million. In an effort to increase operating revenue and provide meaningful work opportunities for the inmate population, it is imperative for the ADOC to expand the existing ACI programs and create new industry programs, including the development of on-site, private sector industry partnerships. Legislation has been introduced that would expand the authority for marketing of ACI products and services.

In the short term, ACI will seek to increase its sales revenue by 15-20 % by implementing an aggressive marketing strategy for their current line of products and services. Efforts will be put forth to increase sales of products to governmental markets at all levels. State law requires that all state agencies consider the products and services provided by ACI and give preference to the ADOC in the procurement process. The ADOC is soliciting support from the Governor to reinforce this requirement and should realize additional sales revenue if a directive is issued. ACI will also seek to expand its current sales market to include non-profit businesses, employees of the State of Alabama, and other non-governmental state associations.

The ADOC is currently exploring the potential for correctional industry expansion. Short term actions will include the expansion of the auto paint and detail shop, the furniture restoration operation, and the janitorial chemical market. Other short term actions involve planning and design for expansion of the Printing Plant, Chair Assembly Plant, and new industries such as an Embroidery / Screen-printing Plant, and an Asbestos Removal Service Operation. It is also necessary to make needed repairs to the growing ponds of the Catfish Operation to maximize full potential of this industry.

Mid term and long term plans include the design and construction of a new Fleet Service Garage, a new Sewing Plant, and a Tilapia Fish Production Plant. Construction to expand the Printing Plant and the Chair Assembly Plant could be completed in the mid term.

The cost to plan, design, and implement this expansion initiative is approximately \$4 million. It is estimated that the expansion projects could be self-funded, completed, and operational within 1 to 3 years.

In addition to the noted expansion plans, efforts are currently underway to upgrade the ACI website, including an enhanced web page and on-line catalog. Improvement to ACI's enterprise management software is also planned. A new "Job Tracking" software system is recommended to increase the efficiency of the ACI operation. The cost to implement these actions is \$50,000, which will be self-funded.



### **C. On-site Private Sector Industry Partnership Development**

The ADOC is currently exploring the potential for on-site private industry development. Legislation to authorize on-site prison industries and work programs has been introduced. Other short term activity will include the acquisition of Prison Industry Enterprise Certificate Program (PIECP) certificate, planning and design of on-site industry projects, and identification of potential business partners.

Assuming that legislative authority is granted, private industry contracts should be secured and facility construction completed within 1-2 years after passage of legislation. Implementation of on-site industry could be completed in 2-4 years. A typical private sector industry partnership program, employing as few as 60 inmates, could generate approximately \$250,000 to \$500,000 for ADOC in the first year of implementation.

### **D. Pre-Release Centers**

The Task Force Final Report recommended the establishment of three Pre-release Centers at existing Work Release Facilities to create about 600 medium security beds. The department initially planned to utilize three W.R. Facilities housing 200 inmates each as Pre-release Centers. After a thorough assessment of this proposal, the ADOC has determined that two alternative sites should be developed to accomplish the Pre-release Center goals of having approximately 600 new medium security beds. The sites were selected due to the proximity of health care at the adjacent facilities, existing security fencing / lighting, minimal additional staff requirements, among other considerations.

The plans for the development of two ADOC Pre-release Centers include the utilization of Montgomery Community Work Center (MCWC) and an existing building that will be renovated on site at the Limestone Correctional Facility (LCF). MCWC, which currently has an operational capacity of 296 beds, will serve as a pilot center for the Pre-Release Program. Pre-release programming will include class lecture, video presentation, and interactive computer lab work in the areas of literacy, communication skills, basic computer skills, job search activity, and life skills development. Coursework and instruction will be cyclic in nature to allow inmates transferring into the centers to begin participation at any phase of the 90 day program curriculum.

Short term actions include the planning and design of a 90 day Pre-release Program, as well as the transfer of 296 MCWC minimum security inmates to other Work release/Community Work Center facilities around the state. Additional fencing will be constructed as necessary to provide adequate security for higher risk level inmates that are transferred to the Pre-Release Centers. The new medium level pre-release beds will be filled within 90 days, and the full implementation of the Pre-release Program at the MCWC should be on-line within 6 months.

Renovation of the LCF Pre-Release Center with a capacity for 300 inmates should be completed in approximately 1 year. Implementation of the Pre-Release Program at LCF should be completed by June, 2007.

Once both Pre-release Centers are up and running, overall program participation capacity will be approximately 600 inmates (300 at each center). Given the current end of sentence (EOS) release rate for the general inmate population, an estimated 200 inmates should be transferred into the Pre-release Program monthly to maintain maximum utilization of



available bed capacity. The implementation of the Pre-release Centers will ultimately impact the overcrowding problem by providing approximately 600 medium custody beds. The LCF Center will provide 300 additional medium custody beds. The MCWC Facility will convert 300 minimum custody beds to medium custody beds and will have a net effect of 300 additional beds.

The initial cost to implement the Pre-release program in FY2006 is approximately \$750,000. Projected cost for the program in FY2007 is \$2.85 million which includes capital expenditures. This will require a General Fund appropriation.

### **E. Utilization of Work Release Bed Capacity**

1. The ADOC is exploring a partnership with the Alabama Department of Post-Secondary Education to plan and develop Special Training Centers for selected medium custody male inmates who are 3-4 years away from EOS release date. This intense recidivism reduction program, which encompasses an inmate's every waking hour, will be 4-6 months in length depending upon inmate need, and will include assessment activity, cognitive-behavioral training, substance abuse treatment, life skills, general education (GED), and vocational training. ADOC training center programs will serve to enhance the successful re-entry of inmates into free world society. Assuming a lower security classification can be granted at program's end, the program could also act as a feeder to work release or accelerate the transition to minimum custody.

The ADOC will be working with Post-Secondary to develop a Request for Proposal (RFP) to plan and develop the specific programs to be implemented within the training centers. In January, 2007 the program could provide 400 beds which will "re-program" 800 – 1200 inmates per year. The initial ADOC cost to implement this program would be \$32 per inmate per day for a total cost of \$4.7 million per year. The program has a potential to increase work release revenue with a potential net realized profit of \$9.5 million by FY10. General fund monies will be needed as seed money to fund this initiative.

2. The ADOC is currently conducting an assessment of the existing Work Release classification criteria for inmates to be eligible for Work Release placement. A committee comprised of ADOC personnel and representatives from the Legislative Prison Oversight Committee, the Southern Poverty Law Center, and the Association of County Commissioners has been appointed to complete this assessment.
3. Additional substance abuse programs (SAP) will be implemented at selected Work Release Facilities to increase treatment program capacity for inmates whose sentencing includes completion of SAP as an eligibility requirement for work release. Currently, a lack of sufficient treatment programs determines that these minimum security inmates be housed at major facilities until they can complete their court-ordered SAP. Additional treatment programs could be implemented within 1-2 years, resulting in increased utilization of work release beds. This initiative will have a positive impact on the overcrowding issue by freeing up medium custody beds currently occupied by offenders who otherwise would be appropriate for assignment to minimum / community placement for drug treatment. One additional Drug Treatment Counselor will be needed per facility where the program is implemented. The additional cost to implement this program per facility would be \$50,000 and this would be a General Fund program.



4. The ADOC will implement a "Re-track" Program for inmates that have failed their eligibility requirements to remain in a work release program. Currently, inmates that fail on work release are automatically transferred back to a major facility. The Re-track Program would be 3 months in length and would include manual labor, restricted privileges, supplemental treatment programs, and other activities as necessary to regain eligibility for regular work release placement. Upon successful completion of the program, eligibility could be restored and the inmates would be transferred back to their previous work release facility. The facility selected for this program will have adequate security for housing this inmate population. Re-track Program activities could be developed within FY2006, and site selection / implementation could be completed within in FY2007.

One additional Drug Treatment Counselor and one security position will be needed per facility where the program is implemented. The additional cost to implement this program per facility would be \$100,000 and this would be a General Fund program.

5. The ADOC will implement a Re-Assessment Initiative in the next 3 months to evaluate and identify inmates currently housed in major facilities that may qualify for transfer to lower security institutions.
  - a. Institutional classification personnel will review the records of all inmates in major facilities (Security Level IV or above) that have been denied parole. Assessment of records will result in a listing of inmates that could be considered for less restrictive placement. The listing will be provided to the Warden for review and approval, and then forwarded to the Central Review Board for evaluation.
  - b. Central Classification and Information Systems will develop an inmate data base program designed to screen all active inmates in major facilities (Level IV-VI) who may be candidates for minimum security eligibility. A roster of potential minimum security candidates at each institution will be generated. Institutional classification personnel will review the file records of inmates so identified on the roster and will then generate either an appropriate recommendation or provide a written response detailing reasons of ineligibility to the Central Review Board for evaluation.
6. The Bullock County Work Release Facility will be closed to facilitate the opening of the Mental Health Unit at the Bullock Correctional Facility and will in effect decrease work release beds by 230 and increase medium beds by 250. See Section VI A.

## **V. Increase Correctional Officer Staff**

Although the inmate population in the past 10 years has steadily been growing, the number of employees has seen very little growth. There are shortages in both security and support personnel but the greatest shortage is in the correctional officer I classification. Despite all efforts to recruit and train, the number of correctional officers is declining instead of increasing. In 2002, there were 10 on-site tests for correctional officers; 1,151 applicants were tested; 794 passed the test and 357 failed. In 2005, there were 12 on-site tests; 654 were tested, 406 passed the test and 248 failed. Among the reasons for the dwindling applicant pool is the competition with other local and state law enforcement agencies; competition with private industry; the correctional officer job is not perceived as an ideal career opportunity by applicants; salaries are not competitive with other law enforcement



agencies; and the working environment. In the past thirteen months, there were 395 terminations due to resignations or retirements; an average attrition loss of 30 officers per month. Most of the resignations were due to transfers to other law enforcement agencies that offered better pay and/or better working conditions. In addition, there are approximately 70 officers currently on active military duty. Due to the security staff shortage, many facilities are forced to work officers on mandated overtime in order to cover critical posts. Overtime costs have accounted for a large part of the budget increase in the last five years.

In the past several years, the ADOC has implemented strategies to increase the security staff such as reduction in the age requirement to the minimum (19) years for APOSTC Certification; elimination of a lower training rate of pay; increase in job testing frequency; 5% pay increase to applicants who accept employment at Donaldson Correctional Facility; allowance for individuals to show up for examinations without an application on file; and rehiring retired correctional officers.

Currently, the ADOC has a total of 4,434 authorized positions: 2,927 for security and 1,507 for support. The actual number of total personnel currently employed is 3,547, a 20% shortage. The actual number of correctional officers currently employed is 2,483 which is equivalent to an 18% shortage. The ADOC officer to inmate ratio is currently 1:10 as compared to 1:6 for surrounding states. However, it is not uncommon for an officer to supervise a dorm for an extended period of time with an inmate population of up to 250-300.

Another major concern, relative to the personnel shortage issue, is the increasing numbers of personnel that are currently eligible or nearing retirement eligibility.

### **A. Needs Analysis**

The ADOC is currently coordinating an independent, scientific manpower study to assess the needs of the agency and develop recommendations for appropriate staffing levels in all facilities and divisions. The study, which will validate the departmental personnel requirements, should be completed within 1 year.

### **B. Officer Recruitment**

The ADOC will implement an aggressive recruiting initiative in the short term that involves increased publicity / advertising, and recruiting partnerships. The ADOC is also working with the Alabama Broadcasters Association to develop recruiting Public Service Announcements. A package of free and paid advertisements will be developed. This is a cost-effective method of reaching potential employees throughout the entire state. The cost of these recruiting initiatives will be approximately \$50,000 and will be funded by revenue produced from contracted training services. The ADOC goal from this initiative is to recruit and train 450 new correctional officers within two years. Realized savings through overtime reduction will fund the salaries of additional security staff. Specific actions to be taken include:

1. Development and implementation of television and radio advertisements, as well as public service announcements.
2. Development and implementation of a state-wide recruiting partnership with the Alabama National Guard.
3. A recruiting initiative that focuses military personnel leaving active service.
4. Identification of potential employees via Federal Job Corp training programs.
5. Army Reserve Employment Partnership.



### **C. Salary Increases**

The State Personnel Department is currently conducting a study of ADOC security classifications. Appropriate actions relevant to current pay rates and job classification pay ranges are pending the outcome of these studies.

Assuming the validation of the manpower study and approval from the Governor, the ADOC will work to garner legislative support for future pay rate increases. The estimated cost to achieve salary parity with other law enforcement agencies is between \$11 million and \$12 million annually. Introduction and passage of appropriate legislation will be sought in the 2007 legislative session.

## **VI. Increase ADOC Inmate Capacity / Renovate Existing Facilities**

### **A. Increase Capacity**

The ADOC will continue to contract with private prison companies in the short term to secure in-state and out-of-state bed capacity for female and male inmates in an effort to address the department's immediate overcrowding problem.

The ADOC will contract with an engineering / architectural firm that specializes in correctional facilities to establish the parameters for construction of a new 1,600 bed women's correctional facility. In conjunction with this construction initiative, capacity increase plans also include the construction of a new 200 bed infirmary unit to provide for the centralization of long-term care and specialty needs care for inmates. The estimated cost to conduct an assessment of a new correctional facility as well as the condition of the existing facilities is \$500,000 to be paid from already appropriated capital outlay funds. Financing options for a new facility will be considered and a decision made in FY 2007 on the most cost effective method of acquiring such a facility. The ADOC will utilize a competitive bid process to acquire pricing estimates. Estimated costs for a new facility of this capacity range from \$40 million to \$50 million. It is anticipated that the Tutwiler Prison for Women will close when the new women's prison is brought online.

Pursuant to the settlement agreement in the Bradley case, it will be necessary to open the new Mental Health Unit at Bullock Correctional Facility. Construction is expected to be complete on or near April 15, 2006. Due to the number of security staff vacancies at Bullock Correctional Facility, the ADOC will have to open this unit utilizing overtime for security staff. In order to minimize the cost of additional staff and amount of overtime needed, ADOC proposes to close Bullock Work Release and absorb the staff into Bullock Correctional Facility. Bullock Work Release is a 230 bed facility located on the property of Bullock Correctional Facility. Housing consists of several dilapidated portable classroom type buildings, with food and health care services provided by Bullock Correctional Facility. The current population of Bullock Work Release would be transferred to vacant work release beds at Elba and other work release facilities. Every effort will be made to minimize the impact on the local community. By closing this facility the impact to the infrastructure (food, health care, laundry services, etc.) at Bullock Correctional Facility would not be compounded.

Opening the Mental Health Unit will allow the transfer of 250 mental health inmates from inside Bullock Correctional Facility to the new unit and ADOC would backfill these beds with medium custody inmates.



Operational costs for the Bullock Mental Health Unit are estimated to be \$700,000 in FY2006 and \$2.3 million in FY2007. This proposal will be completed within 60 days after construction completion. This is an unfunded requirement at this time.

## **B. Renovate Existing Facilities**

The average age of the ADOC major facilities is 32 years. An average inmate population of 24,000 is currently housed in facilities constructed with a designed capacity for 12,444. Lack of funding and maintenance personnel has prevented the ADOC from implementing a routine preventative maintenance program. Repairs and renovations have been made basically on an emergency basis. Major facility infrastructure problems including roofing leaks, inadequate sewage capacity, and inadequate fire alarm systems are common throughout the system. The contracted assessment noted in Section VI.A would also include the evaluation of existing facilities to determine improvements that are necessary in facility infrastructure to restore a safe, secure, operational condition for inmates and staff. The purpose of this assessment will be to determine:

1. The optimum number and types of beds needed at each facility;
2. Conditions of Mechanical, Electrical, Plumbing (MEP), and fire protection systems;
3. Ability to meet building code and ACA physical plant standards compliance;
4. Structural condition of each building;
5. Cost to bring each building up to life safety and code compliance;
6. ADA code compliance;
7. Cost to replace / or repair MEP systems and building structure;
8. Ability of infrastructure to support current and projected inmate population;
9. Cost benefits analysis relative to remodeling, expansion, closing, and new construction.

## **C. Sewage Treatment Litigation**

The Attorney General of Alabama has brought suit for declaratory, injunctive relief, and civil penalties to enforce the provisions of the Alabama Water Pollution Control Act. This suit arises from the wastewater treatment plants and sewage lagoons operated at various correctional facilities, specifically: St. Clair CF, Draper CF, Elmore CF, Farquhar Cattle Ranch, Fountain / Holman, Limestone CF, and the Red Eagle Honor Farm. These wastewater treatment plants and sewage lagoons have been cited by the Alabama Department of Environmental Management (ADEM) for non-compliance with their respective discharge permits.

To resolve this litigation and comply with environmental regulations, the ADOC is in the process of drafting a Request for Proposal (RFP) to outsource the operation, maintenance, and control of these wastewater treatment operations. Outsourcing these operations will result in the elimination of the environmental problems, the decreased exposure to liability, and resolve the pending litigation. By outsourcing of these operations, the department will avoid a capital outlay of \$6 million to \$8 million needed to correct these problems. The estimated time frame for completion of the RFP process is 6 months, and the projections are that environmental compliance can be achieved within 6 months after contract is let.

An additional \$1.7 million operating fund will be required in FY 2007.



## **VII. Improve ADOC Inmate Drug Treatment Program**

### **A. Administrative Oversight**

An additional administrative employee will be hired during FY07 to provide necessary administrative oversight of all ADOC treatment programs. The position of Drug Treatment Supervisor has been created and should be filled within the current fiscal year. This individual will be located in the central office and supervise all drug counselors and specialists. Eventually this should be expanded to Regional Supervisors.

### **B. Program Management**

The ADOC is researching options for implementing a program management system that supports the collection of all treatment data and statistics inclusive of medical, mental health and substance abuse treatment. A number of Electronic Healthcare Record systems that would incorporate all data into an individual inmate's health record are being evaluated by ADOC Health Services and Information Systems. A return on investment study is part of the evaluation to insure cost effectiveness. System implementation could be completed in FY07 at a general fund cost of \$1.2 million. Potential realized FY07 savings would be \$750,000, increasing to \$1.8 million in FY08, and \$2.3 million in subsequent years. In the interim, funds need to be allocated to support computers for counselors and supervisors at the institutions to allow for enhanced communication through an e-mail system.

### **C. Drug Treatment Personnel / Program Certification**

All ADOC substance abuse personnel attended the Alabama School of Alcohol and Other Drug Studies (ASADS) conference in March. Completion of the conference programs resulted in the drug treatment personnel receiving their continuing education credits that are necessary to work within the prison system programs.

The ADOC is currently investigating the requirements for drug treatment personnel to be certified by the Alabama Alcohol & Drug Abuse Association. A feasibility study is being conducted to determine if established treatment programs can acquire certification by the Alabama Department of Mental Health due to the physical plant limitations of the institutions.

## **VIII. Inmate Health Services**

### **A. Comprehensive Medical Care**

ADOC Inmate Health Services encompasses medical, mental health and substance abuse treatment programs and services. The ADOC is required to make these services available to those inmates in our care custody and control, no matter where housed. Comprehensive services are available at the major institutions with some regionalization of specialty services such as dialysis at St. Clair and HIV at Limestone. This includes medical staff on-site in the institutions 24 hours per day, 7 days per week. There are a number of physical plant limitations at the major institutions that have not allowed us to accommodate the increase in the volume of inmates who require some level of health services.



Temporary housing structures and mobile services, to include a modular medical surgical clinic at the Kilby Correctional Facility, have been evaluated and will be implemented. Anticipated annual savings of \$487,000 will be realized from this initiative. Expansion of the dialysis unit at St. Clair to accommodate the on-site dialysis needs must take place within the next 12 months at a general fund cost of \$275,000.

Expanding the utilization of the provision of long term acute care at the Just Care, Inc in South Carolina to include specialty services such as Oncology, will continue to reduce the direct and indirect cost of providing these services. The potential of establishing this level of services by creating a 200 bed infirmary unit in conjunction with the new proposed 1,600 bed women's facility, will enable the ADOC to provide these services in a more cost effective manner in the long term. The establishment of this institution would provide the ADOC with a "Special Needs" unit that could accommodate a multitude of healthcare services. Correctional health care studies demonstrate that this type of facility increases the quality of care, and ultimately reduces provider, security and transportation costs.

## **B. Minimum Security Inmate Medical Care**

Historically inmates housed in the work camps and work release programs required minimal care and were able access free world health services. Therefore, the camps were not constructed to include space for the delivery of medical or mental health services. The recent housing of minimal custody and pre-release individuals in these institutions now charges the ADOC with developing a system that will provide expanded health care services to these inmates.

A mobile regional multidisciplinary health services team is under development to deliver services to the outlying work camps, where minimal custody and pre-release inmates are to be housed. Utilization of a van or bus to provide a portable exam room and store equipment and supplies is being investigated. The current health services contract does not provide for the additional staff needed to support this system. However, a proposal for these services has been presented to the vendor as part of a proposed contract renewal.

## **C. Medical Services Contract**

The current medical contract will expire on November 3, 2006. The contract allows for two (2) one year renewal options. However, the contract specifications and structure does not provide for the additional medical services that are necessary for outlying Work Release Facilities. The contract structure has not proven to be financially advantageous for the department. A proposal to renew the current vendor with modifications to current terms and cost is under consideration. The Office of Health Services is in the process of developing a strategic plan in preparation for the release of a request for proposal either this year or next year to include the following objectives:

- Prepare specifications to down stream financial risk associated with pharmacy, secondary and tertiary care, eliminate utilization of aggregate caps.
- Mandate on-site specialty clinics and utilization of mobile medical surgical unit to reduce direct and indirect cost associated with security and transportation.
- Mandate minimal standards of care to include court settlement and community standards of care to reduce further litigation.
- Mandate reporting requirements and establish performance penalties.



- Pursuant to the on-going court monitoring and litigation, utilize an RFP process versus an ITB to insure program stability and allow for best practices.
- Establish minimum vendor qualifications to insure the operational capabilities and financial stability of bidders.
- Mandate minimum staffing levels to maintain compliance with settlements and community standards. Specify staffing vacancy pay-backs for positions of mid-level and above.
- Provide increases in current salary ranges of front line staff to reduce turnover and agency dependency.
- Develop options for Electronic Health Records.

The initiation of the interagency agreement with the State Employees Insurance Board (SEIB) to access the Blue Cross Blue Shield discounted inpatient hospital rates in December of 2005, has the potential of securing long term savings associated with inpatient care. This contract should insure the ADOC with the most cost effective private hospital network rates.

#### **D. Medical Services Court Settlements**

The ADOC is currently under four court settlement agreements related to medical services. Additional services and physical plant accommodations to meet the health care needs as outlined in the settlement agreements, have added to the overall increase in the direct and indirect cost of health services since October of 2004. Significant progress has been made in meeting these requirements and should lend to a leveling out of the year to year percentage increase in health care cost.

Gaddis v Allen: Anticipate resolution and release by May of 2006. Concerns continue to surround compliance with diabetic diets and continuing education. Focus on food services private vs. self-op with internal operational revisions.

Laube v Allen: Second year of four year settlement agreement, focus on building ADOC infrastructure to assume monitors role. Strides have been made in both medical and mental health services. Multiple issues identified with physical plant and recent ADA issues by the Department of Justice. Legal and medical services are coordinating assistance from the Arkansas Department of Corrections ADA Committee to establish ADOC program.

Leatherwood v Allen: Last two consecutive court monitoring reports demonstrate compliance. Settlement agreement to terminate of June 26, 2006 and do not anticipate any obstacles to compliance and resolution.

Baker v Allen: Court will release ADOC in June of 2006 pending a report of full compliance. Task force has been established to enhance ability to address remaining issues of non-compliance.