

# Department of Correction



## *At a Glance*

**SCOTT SEMPLE, Commissioner**

**Monica Rinaldi, Deputy Commissioner of Operations and Rehabilitative Services**

**Cheryl Cepelak, Deputy Commissioner of Administration**

**Angel Quiros, Administrator of District 1**

**Edward Maldonado, Administrator of District 2**

**Karl Lewis, Director of Programs and Treatment**

**Christine Whidden, Director of Security**

**Karen Martucci, Director of External Affairs**

**Joseph Haggan, Director of Parole and Community Services**

**Dr. Kathleen Maurer, Director of Health & Addiction Services**

**Nicole Anker, Esq., Director of Legal Affairs**

**David McNeil, Director of the PREA Unit**

**Holly Darin, Director of Affirmative Action**

**Established – 1968**

**Statutory authority – Conn. Gen. Stat. Sec. 18-78**

**Central office – 24 Wolcott Hill Road, Wethersfield, CT 06109**

**Number of full-time employees – 5,029**

**Recurring operating expenses – \$601,651,484**

**Capital outlay – \$4,986,407**

**Organizational structure – Four sections of management which are Operations and Rehabilitative Services; Administration; Parole and Community Services; and External Affairs. There is also an Affirmative Action Unit, and a Legal Affairs Unit.**

## **Mission**

*The Department of Correction shall strive to be a global leader in progressive correctional practices and partnered re-entry initiatives to support responsive evidence-based practices aligned to law-abiding and accountable behaviors. Safety and security shall be a priority component of this responsibility as it pertains to staff, victims, citizens and offenders.*

## **Statutory Responsibility**

The Department of Correction, by direction of the courts, confines and controls accused and sentenced offenders in correctional institutions, centers and units, and by statute administers medical, mental health, rehabilitative, and community based service programs.

## **Public Service**

The Department of Correction (DOC) on June 30, 2017 confined 14,389 offenders, a 6.1% decrease when compared with the incarcerated population on June 30, 2016. Including those offenders on department administered community supervision, correctional staff supervised on June 30, 2017 a total population of 19,025 offenders, a 3.5% decrease when compared to June 30, 2016.

## **OPERATIONS AND REHABILITATIVE SERVICES DIVISION (Reports to the Commissioner)**

The Deputy Commissioner of the Operations and Rehabilitative Services (OARS) division oversees 15 correctional facilities, which are divided under the direction of two District Administrators. Correctional institutions confine sentenced males and in the case of the York Correctional Institution, sentenced and un-sentenced females. There are approximately 14,100 incarcerated offenders. Correctional centers in Hartford, Uncasville, Bridgeport and New Haven serve primarily as jails, acting as intake facilities for un-sentenced males, though they also process and confine males with sentences of two years and longer. The Walker building of the MacDougall-Walker Correctional Institution serves as the reception center for male inmates with sentences longer than two-years. The division also maintains a medical–surgical ward at the University of Connecticut (UCONN Ward) in Farmington Connecticut. The Manson Youth Institution confines sentenced male offenders between the ages of 14 and 21. The OARS Division also includes programming for the state; and the Programs and Treatment Services Division which provides a wide range of offender programming as well as overseeing the department’s offender classification system and population management. Additionally, the OARS division oversees the Operations Unit under the auspices of the Director of Tactical Operations. This unit encompasses a staffing analysis team (Operations Unit); the Property Claims Office; a range of emergency operations, including Correctional Emergency Response Team (CERT), Special Operations Group (SOG), Situational Control (SITCON), Tactical Support Unit (TSU), Emergency Plans Unit and the K-9 Unit comprised of 17 dog-handler teams; the Correctional Transportation Unit (CTU); and the department's Honor Guard and Pipe and Drum Band. (Some TRUE Unit description is needed here.)

## Department of Correction Districts and their Facilities/Areas of Responsibilities

District 1	District 2
Brooklyn CI	Bridgeport CC
Carl Robinson CI	Corrigan-Radgowski CI
Cheshire CI	Garner CI
Enfield CI	Hartford CC/UCONN Ward
MacDougall-Walker CI	York CI
Manson Youth Institution	New Haven CC
Willard-Cybulski CI	Northern CI
	Osborn CI

The OARS division continues to track, review and identify trends with the statistical information compiled from the facilities through the Statistical Tracking Analysis Report (STAR Report) to determine any discernible patterns that may impact facilities. In Fiscal Year 2016-2017, key statistics reported inmate-on-staff assaults decreased -3.80% from the previous year's figure, and -7.81% from the 2-year mark. Inmate-on-inmate assaults report a decrease of -16.43% from the previous year and decreased -17.81% from the 2-year average. Inmate fights reported a decrease of -5.28% from the previous year and a decrease of -13.62% from the 2-year average. Inmate disciplinary infractions reported a decrease of -13.51% and a decrease of -11.73% from the 2-year average and Use of Force incidents increased by 2.34% from the previous year and decreased by -.33% from the 2-year average.

The ATLAS staff-scheduling program has been implemented at all facilities and several ancillary units. It has assisted in scheduling staff and storing the information into a database that can specify by day and hour the time-off taken by staff and overtime needed. This system has allowed for a streamlined scheduling process and has eliminated redundancy; it generates more accurate and detailed reporting; and it requires less manual input by scheduling, payroll and operations staff. The Correctional Transportation Unit (CTU) provides transportation to a great number of the offender population with various security levels. Special transportation usage has increased to provide services to offenders with various special needs, in an effort to minimize the impact on facilities. CTU provides transportation for special assignments and special detail for Parole and local authorities when requested.

The ActSoft GPS system modules have been installed into the majority of inmate transportation vehicles and several specialty unit vehicles. This system enhances safety and security by optimizing emergency response times and increasing communication efficiency. The GPS system has the capability of contributing to significant savings in fuel and maintenance by optimizing routes and by minimizing idle/stop times, thereby increasing efficiency. The GPS system generates real-time detailed reports that allow greater visibility into daily transportation operations; this includes routing and dispatching activities, as well as historical data.

### **OFFENDER CLASSIFICATION AND POPULATION MANAGEMENT**

In FY 2017, the Offender Classification and Population Management Unit approved 59,685 population transfers. Due to staff shortages, the assessment unit completed 1,299 assessments for male offenders with sentences greater than two years, 381 requests for DNA samples and 183 inquiries regarding sex offender registration, DNA and dangerous Weapon Offender Registration. The Audits and Training Unit completed 44 hearings for Administrative Segregation and 11 for Special Needs statuses. Unit staff was tasked with training approximately 110 staff members on the Judicial Electronic Bridge (JEB) system, Offender Based Tracking System (OBTS) and Classification training.

## **SENTENCE CALCULATION AND INTERSTATE MANAGEMENT UNIT**

The Sentence Calculation and Interstate Management (SCIM) Unit oversees the offices of Central Records, Interstate Compact, Risk Reduction Earned Credit (RREC) and the Records Warehouse. Central Records manages record keeping and sentence calculation functions while providing assistance to Records staff located at correctional institutions and community offices. During this fiscal year, staff attended and/or provided testimony for 21 civil/criminal court proceedings that involved the Department of Correction (DOC). They also responded to 87 letters from the Office of the Attorney General, Division of Public Defender Services, private attorneys, Office of the Chief State's Attorney and offenders. Ongoing communication with the Office of the Attorney General is conducted due to matters related to pending litigation, current legislation, Appellate and Supreme Court matters as well as research of prior DOC policies and court decisions. The Central Records office also provides technical assistance and training to facilities regarding sentence calculation and the application of credit along with auditing individual time sheets to ensure accuracy prior to an offender's discharge date. Statewide audits are performed on single topics to ensure groups of similar inmates are calculated pursuant to all sentencing statutes. Central Records staff also processed 342 certificates from the Board of Pardons and Parole. The unit works with other State and Federal agencies which include, but are not limited to, the Department of Children and Families, Sentence Review Division, Department of Mental Health and Addiction Services and the Social Security office. During this fiscal year, the SCIM Unit responded to 1,711 requests and 3,906 phone calls. Along with sentence calculation, members of the SCIM Unit are assigned to the Discharge Review Panel (DRP). This panel reviews offenders who require programming, discharge planning or pose a possible threat to public safety.

In Fiscal Year 2016-2017, the DRP reviewed 262 cases. Of those cases, 21 rescission hearings were held and 16 cases resulted in rescission of RREC.

The Records Warehouse maintains master files of offenders who discharged from the Department of Correction. The unit processes requests regarding readmitted offenders, addresses Freedom of Information requests and responds to subpoenas for offender who have discharged from DOC custody. During this fiscal year, staff processed 15,644 readmit requests and accepted 16,449 files.

The Interstate Compact Office (ICO) oversees both the Corrections Compact and Interstate Agreement on Detainers (IAD) processes. Twenty-two (22) out-of-state inmates were temporarily transferred to Connecticut under the IAD to resolve pending charges in our state. Fifty-three (53) Connecticut inmates were temporarily transferred out-of-state under the IAD to resolve pending charges in another state. Twenty-four (24) *Form 6's Evidence of Agent's Authority to Act* for Receiving State were processed. The ICO received 37 referrals from other states for placements in Connecticut and 29 referrals from agency staff for transfers out-of-state. Five (5) Connecticut inmates were transferred out-of-state and seven out-of-state offenders were transferred to Connecticut. The unit coordinated 33 additional interstate movements working in conjunction with both Connecticut and out-of-state staff. They responded to 212 letters regarding interstate matters.

## **OFFENDER RE-ENTRY SERVICES UNIT**

The Offender Re-entry Services Unit assists offenders with obtaining proper identification (birth certificates, Social Security cards, and DMV identification) prior to their release. During Fiscal Year 2017 re-entry counselors obtained a total of 1,796 birth certificates; 758 Social Security Cards; 758 DMV driver licenses; and 1,844 DMV non-driver identification cards. Re-entry counselors at ten facilities also focus on other re-entry needs to include: housing/211 calls; medical insurance; clothing; family reunification; and employment. Consistent with the agency's Offender Management Plan, this unit has a collaborative relationship with community agencies and halfway houses to ensure continuity of care and services for releasing offenders.

## **OFFENDER RE-ENTRY PROGRAM UNIT**

The Offender Re-Entry Program Unit is responsible for staff training in the facilitation of core programs such as Domestic Violence, Anger Management, and VOICES. This unit also designs, implements and evaluates evidence-based or evidence-informed programs and provides clinical supervision to ensure effective delivery and fidelity of program curriculums inside the facilities. This unit currently oversees a variety of institutional-based programs to include Embracing Fatherhood, Young Father's Program, CLICC, How to be a Responsible Mother, Good Intentions/Bad Choices, and the Second Chance Pell Program. As of June 2017, 350 inmates in nine facilities are attending college classes through the Second Chance Pell Program.

The Offender Re-Entry Program Unit also works in conjunction with community contracted programs and grant initiatives to coordinate programs and services for the offender population. Examples of these integrated efforts in FY 2017 include the Second Chance iBEST program; Train to Work; and LEAP programs. These programs focus on improving the employment prospects for released offenders by providing opportunities for credentialed training, internships, and enhanced employment supports in the community.

The Offender Re-Entry Program continues to assist in the development and support of units to assist special populations (to include offenders aged 18-25 and incarcerated Veterans). In addition to developing a partnership with the Department of Veterans Affairs and CT Veterans Centers, this unit also helped develop an MOU (Memorandum of Understanding) with Soldier On in FY 2017. These partnerships focus on providing programs and services responsive to the incarcerated Veteran population.

## **CENTRALIZED COMMUNITY RELEASE UNIT**

The Centralized Community Release Unit was established in March 2015 after a LEAN event conducted by the Department of Correction.

The Community Release Unit (CRU) prides itself on promoting public safety by ensuring that offenders are reviewed for Community Release by one high level decision maker and paring the correct level of supervision with dosage of community treatment for each offender. This is accomplished by utilizing assessment tools such as the Statewide Collaborative Offender Risk Evaluation System (SCORES). CRU has enhanced the understanding of how the community release process works with staff members throughout the agency and with the offender population. CRU continues to look for ways to streamline processes, further communication with its partners and enhance public safety. From January-December 2016, CRU reviewed 10,474 cases that were eligible for release consideration. These release types, governed by Connecticut General Statute or Department of Correction policy, include Community Release, Transitional Supervision, DUI Home Confinement, Furloughs, Dual Supervision and Transitional Placement. CRU also assists the Commissioner in his review of offenders being considered for release to the contracted Nursing Home for end of life care.

## **EDUCATION UNIT**

Unified School District #1 (USD #1) is the legally vested school district for the Connecticut Department of Correction. USD #1 provides academic and vocational services, special education, English as a Second Language and other opportunities, including reentry classes, resource fairs and family education/parenting. During the 2016-2017 school year, USD #1 educated students in basic academic and vocational programs. USD #1 serviced 4,838 unique students through our programs servicing a total of 9,174 students overall through multiple programs and facilities. USD #1 provided our 21-day Reentry curriculum to our population, resulting in over 464 students completing this program. Our Education Unit also worked collaboratively with colleges to offer both non-credit and

credit programming to our offender population. This was accomplished through private colleges offering free classes to our students, community colleges offering classes paid for by the inmates, and the Second Chance Pell Program.

In addition to the number of students who demonstrated academic grade-level progress and increased vocational skills, USD #1 awarded 165 GED Diplomas, 35 Adult Education diplomas through the Credit Diploma Program, and awarded 9 High School diplomas, based on credits and credentials, through the CT State Department of Education. The transition to the computer based GED test was completed in the 2016-2017 school year with test administration available in 13 of our 15 schools.

The Career Technical Education programs (vocational programs) issued 1,230 achievement certificates for module completions and 211 certificates for program completions. Additionally, the assessment committee has worked closely with Mastery Connect to create benchmark and grade level assessments in alignment with the English Language Arts and Math Curricula, Connecticut Common Core Standards, and KUDs.

## **VOLUNTEER SERVICES UNIT**

More than 2,500 Department of Correction active Volunteers, Interns and Professional Partners (VIPs) work with approximately half of the State's inmate population, assisting them with the "ABC's of Corrections": Addiction Services, Basic Adult Education Programs and Chaplaincy Services. Inmates enrolled in voluntary/elective activities were required to remain discipline-free.

Some of the many correctional programs & services supported by our VIP Auxiliary Staff include: AA/NA 12-Step & Panel Fellowship Meetings; Alternatives-to-Violence; Creative Arts; Hospice; Internships; Youth Offender Mentors; School Support Programs (tutors, college classes, vocational planning); Health/Mental Health Clinical Services; Research; Reintegration Support Programs; Thresholds (Decision Making and Problem Solving); and Religious Services.

As evidence of the viability of these foundational self-help recovery and restoration activities, most elements were incorporated into Governor Malloy's Second Chance Society inspired Reintegration Unit at Cybulski Correctional Institution.

Recreation Supervisors further enhanced wellness, fitness and voluntary-elective programming for all inmates. Unless restricted due to disciplinary action, inmates were scheduled for indoor & outdoor recreation on a daily basis. Activities included: Aerobics, Cardio Fitness, Soccer, Handball, Weight Conditioning, Arts and Inmate 'Photo Program' Fundraisers. Wardens and Recreation Staff dispersed proceeds to support: Special Olympics, Ronald McDonald House; Domestic Violence Prevention; and Mentor Programs for Children of Prisoners.

## **RELIGIOUS SERVICES UNIT**

Our Connecticut Department of Correction Chaplains are the best in the nation. The last staff Chaplain hired was on November 13, 2015, and the Religious Services Unit is currently down from 52 Chaplains in 2015, to 38 today, plus four Chaplains hired on Personal Service Agreements. Our Department has a lot to be proud of in these Chaplains.

- A new Director of Religious Services was hired May 12, 2017.
- The Religious Services Unit presents a training module for all Pre-Service Class members, informing them of "Religious Services in Corrections"—with emphasis on minority religions, legal issues, etc.
- Annual Religious Services Audits were held in all facilities.
- The new Director of Religious Services participated in the training opportunities of both the summer and winter national Correctional Congresses of the American Correctional Association

as well as the American Correctional Chaplains Association. This training benefited the DOC and the Religious Services Unit.

- The Director of Religious Services taught a workshop January 22, 2017 at the American Correctional Association Winter Conference in San Antonio on “Addiction, Spirituality and Incarceration: The Links and Consequences.”
- Day long Chaplain Denominational Meetings are held twice a year. All the Chaplains of the same denomination, e.g., Protestant, Catholic, Islamic, meet for training and issues specific to their religious denomination.
- All Chaplains met with the new Director June 22, 2017 for training.

## **SECURITY DIVISION**

The Security Division has the responsibility of ensuring the safety and security of the department. This division is comprised of the Investigations, Security Risk Group, Special Intelligence, Computer Forensics, Telephone Monitoring and External Units.

The Investigations Unit has the primary responsibility of conducting internal investigations at the direction of the Commissioner as well as joint investigations with federal, state and local authorities. This unit also conducts security audits and oversees the disposal of contraband collected in the facilities.

Members of the Security Risk Group, Computer Forensics, Telephone Monitoring and External Units work collaboratively to acquire, analyze and disseminate pertinent security information throughout the department and law enforcement community. Through targeted and random monitoring of non-privileged communication, both internal and external criminal activity is reduced and in some cases prevented.

The Special Intelligence Unit provides an intelligence gathering conduit for the exchange of intelligence information with federal, state, local and judicial agencies related to criminal and terrorist activity. This unit is also responsible for the forensic examination of computer and digital media devices in support of investigations to recover, analyze and document evidence.

The Special Intelligence Unit, Security Risk Group Intelligence Unit and Telephone Monitoring Unit work closely together in the gathering of gang intelligence information. The Security Risk Group Intelligence Unit provided training in gang identifier recognition, latest trends and management techniques to over 24 different local community, state, and federal groups.

### ***Special Intelligence Unit***

The Special Intelligence Unit (SIU) provided intelligence gathering methods designed to ensure the highest standards of integrity. The SIU also sparks a significant amount of criminal intelligence information by providing indispensable resources to support federal, state and municipal law enforcement agencies.

The SIU provided analytical data, tracking internal trends related to serious assaults, gang activity, violence, weapons and narcotics; its relationship to facility issues as well as its impact on the surrounding communities.

The SIU is committed to networking with the State’s Attorney Office, Attorney General, and municipal agencies in an effort to support gun violence reduction strategies and provide analytical data for the purpose of tracking violent offenders in our partnership with the Shooting Team Task Force, Connecticut Intelligence Center (CTIC), Cold Case Unit, FBI and the Serial Killer Task Force.

The SIU completed 4,862 Connecticut On Line Law Enforcement Telecommunication (COLLECT) backgrounds investigations of all Department employees, applicants, contractual

employee, promotions, lateral transfers, weapon certification, volunteer, vendors, researchers, media and labor relation.

In addition, the SIU provide various services to include but not to limit; Cell Phone Detection within our facilities, the tracking and handling of Confidential Informants and its policy & audits, Surveillance Equipment for Covert Operations, Computer Assisted Photo Identification (CAPI) for lineups, Department of Motor Vehicle Secondary Offender Identification Project and the Project Management of the TouchPay Lobby Kiosks, Debit Release Card, Self Bond Process, Admitting and Processing Kiosk, Video Visitation and all of its related training.

### ***Telephone Monitoring Unit***

The Telephone Monitoring Unit (TMU) staff assisted outside law enforcement in nearly 345 investigations involving over 400 inmates. TMU concentrates primarily on reviewing telephone communications as well as incoming and outgoing mail for targeted inmates. Our unit has honored nearly 450 subpoenas for testimony, call records, phone recordings and original pieces of mail. TMU staff has been called upon to take the stand to testify in 28 court cases during this time period. The telephone monitoring unit manages well over 400,000 telephone calls and an average of 8,500 visiting calls placed by offenders each month.

### ***Security Risk Groups Unit***

From July 2016 to June of 2017, the SRG Unit has conducted 24 trainings on current trends in Security Risk Group identification and management. It was conducted for numerous agencies throughout the State. The majority of training was conducted for our facility staff, the Assistant Attorney General's Office and Court Support Services Division.

### ***Computer Forensic Unit***

The Computer Forensic Unit worked on a total of 291 cases involving the following devices: 106 cell phones; 58 personal computers; 105 gaming systems; and 22 other devices.

### ***External Unit***

The External Unit provides an intelligence gathering conduit for the exchange of intelligence information related to criminal and terrorist activity with federal, state, local and judicial agencies. The unit also assists with gathering intelligence on the prison population and in facilitating and interviewing subjects of investigations.

### ***Investigations Unit***

The Investigations Unit is responsible for internal investigations and the review of incoming publications to assess compliance with Departmental policy,

From July 2016 to June 2017, the unit conducted 139 formal investigations and 15 informal inquiries. Pursuant to Sections 18-81-28 through 18-81-51 of the Regulations of Connecticut State Agencies, the Media Review Board is required to review all incoming media for prohibited or objectionable material. The Media Review Board reviewed 1,664 media items from July 2016 to June 2017.

## **ADMINISTRATION DIVISION (Reports to the Deputy Commissioner of Administration)**

### **FACILITIES MANAGEMENT AND ENGINEERING UNIT**

The Engineering and Facilities Management Unit provides all maintenance, construction, telecommunications, project design, building management, engineering, environmental and fire safety support.

The Unit supervised the completion of 12 construction projects for a total of \$3,245,685.17.

In addition to continued energy savings, the Unit pursues all available incentives and rebates. During the past twelve months we have received \$133,474.00 in utility incentives from EverSource. These energy efficiency incentives were for heating pumps, steam traps, and interior/exterior lighting. We have, also, received from United Illuminating \$47,242.00 in utility incentives. These efficiency incentives were for building exterior lighting, parking lot lighting, garage lighting and rec yard lighting.

The Unit also received funds from DEEP through their Lead by Example Program. During the past twelve months we received \$225,735.00 in project funding. These funds were used for an exterior lighting upgrade and steam trap replacements.

At the Bridgeport Correctional Center, (29) Twenty-nine, 250 watt high pressure sodium exterior building lights were replaced with 78 watt energy saving LED lighting. This will provide a cost savings of \$4,261 per year.

Also, at the facility, parking lot pole top lighting was replaced with (10) ten energy saving 400 and 440 watt LED lighting. This will provide a cost savings of \$4,339 per year.

At Brooklyn CI, the existing computer-based Building Management System was upgraded to a new program, including web accessible color graphics, to provide control for the building's mechanical and electrical equipment. The previous system had become outdated and was no longer factory supported.

At Hartford CC, we performed a \$280,000 telephone system upgrade. This project replaced the existing outdated PBX and upgraded all telephone equipment.

At Cybulski CI, a water conservation project took place. All plumbing controls were outdated and were replaced with water saving controls. This was done by in-house maintenance staff. The resulting water savings add up to 6.7 million gallons of water each year resulting in a simple pay back in 2.2 years.

At Osborn CI, we upgraded (9) nine electrically operated cell doors that were original to the building to new modern operators and controls. The original parts will be kept and be used to make repairs to the current cells that are still operable. The old system has become obsolete and parts are no longer available.

At the Osborn and Enfield Correctional Institutions, steam for heating is produced by natural gas fired steam boilers. A total of 45 steam traps on the steam equipment were found to be deficient, producing approximately \$120,500 in annual steam losses. These steam traps were replaced and this project brought a reduction in natural gas consumption saving 81,952 cubic feet of natural gas, which is equal to an annual cost savings of \$59,825. The anticipated payback is estimated to be less than one year.

The DOC Environmental Unit continues to work on the removal of underground storage tanks. All underground tanks are being tested for integrity. Tanks that are at their end of life expectancy are being removed and replaced with new above ground tanks. During this fiscal year we have replaced two underground tanks at Carl Robinson CI with above ground tanks, one near the Administration Building and the other near the gym.

The DOC Environmental Unit is certified to assist with the daily operations of the Enfield/Somers drinking water system. Utilizing our staff we achieved a savings of \$36,440 versus contracting out DPH requirements for water systems.

DOC Environmental Unit staff continued to be certified to test underground tank and lines, conduct cathodic protection tests, and inspect the condition of underground & aboveground storage tanks. By utilizing our staff we have achieved an average cost savings of \$49,625 compared to using services by contracted vendors.

## **FISCAL SERVICES**

The Fiscal Services Unit administered the Department's budget, directed commissary and warehouse operations, centralized services, inmate accounts, purchasing, accounts payable, payroll, accounting, asset management, planning, contracts administration and fiscal analysis functions as well as the agency's lean and performance measurement functions.

Budget/Accounting coordinated the tracking, projection, and reporting functions of general fund appropriations exceeding \$607 million dollars encompassing 76 separate spending plans and provided all financial reporting requirements of the agency's appropriated and non-appropriated funds. Account Payables processed 28,027 invoices while aggressively pursuing prompt payment discounts. Through prompt payment and diligent cash management Fiscal Services saved \$127,812 in Fiscal Year 2017.

The Purchasing section prioritized expenditures against limited funds, processing over 5,148 requisitions and over 7,107 purchase orders.

The Contracts Administration component managed over 385 contracts and agreements with a combined value in excess of \$262 million.

The Warehouse unit encompasses two supply warehouses that service sixteen facilities and disbursed inventory valued over \$6.5 million and one uniform warehouse which distributed to over 4,400 correctional employees valued at approximately \$1.7 million.

The Asset Management group tracked, accounted for, performed physical inventories of, and reported on the agency's approximately 12,660 capital and controllable assets located in 16 facilities valued at over \$52 million and controlled disposition of surplus items valued at \$2.7 million.

Centralized Services oversaw and enforced policies for agency wide usage of vehicles and mobile communication devices. Vehicle mileage is reported monthly for 579 vehicles, 517 which are leased and 62 are owned. In addition Vehicle maintenance, complaints and violations are routed through this unit. This unit also processed requests to add new lines, upgrade cell phones and procure various accessories and equipment.

The Inmate Accounts unit managed and accounted for all funds earned, received, or expended by inmates, processing 249,002 individual receipts and issuing 26,283 checks during the fiscal year. The Inmate Trust fund had a balance of \$2,744,174 as of June 30, 2017.

The Correctional Commissaries received over 800,000 orders generating sales in excess of \$17,078,986 including a holiday program offering an expanded menu of items. The Commissary sales resulted in approximately \$362,958 in sales tax collected and forwarded to the Revenue Department. In addition, the Commissaries covered more than \$2,960,283 in payroll expenses and \$118,716 in wages to inmates.

The Payroll unit processed biweekly payroll of approximately \$15,256,304 for an average of 5,370 employees each pay period in Fiscal Year 2017.

***Some notable accomplishments for DOC's Fiscal Services unit for FY 17 include:***

***Budget:***

Despite continued budgetary constraints, including a Deficit Mitigation instituted by the Legislature (PA 17-51) which swept \$2,250,000 from the Industrial fund and \$350,000 from the Correctional General Welfare fund, DOC finished the fiscal year well within budget. Notwithstanding economic pressure to reduce spending and year after year budget reductions, the agency was able to advance its reentry and reintegration efforts, launching the 18 to 25 unit at Cheshire CI as well as support the Governor's Second Chance Society initiatives which continue to positively impact the offender population – aiding in reducing the total inmate population, reductions to the state's recidivism rate and improving public safety.

***Finance:***

Streamlined Commissary Financial Reporting after extensive review of numerous backup Microsoft Excel worksheets, maintained in the past, to weed out or lean various manual steps through the utilization of the Core/EPM data query module to capture the critical data required to complete the monthly financial statement. This has increased efficiencies and reduced the timeline for completion of the monthly financial reports.

Developed a comprehensive overtime report utilizing data downloaded from the Atlas System which captures overtime usage by reason code and tracks significant anomalies or changes by reason code from payroll to payroll.

Worked collaboratively with the Core-CT on the implementation of a state analytical reporting system (STARS) that presents data in report format and interactive “dashboards”. Assigned a Financial Services staff member who assisted in the rollout by becoming a “STARS” trainer for agency staff as well as other state agencies.

Administered the successful implementation of the Core-CT Financials 9.2 upgrade specific to the “go-live” of a new P-Card module application and processes for use of procurement card from initial purchase to payment.

Through prompt payment and diligent cash management, the Fiscal Services Unit saved \$127,812 during FY17.

***Cost of Incarceration:***

In Fiscal 2017, the agency collected \$4,659,523 in “Cost of Incarceration” reimbursements that were deposited back into the State’s General Fund. The Agency collaborates with the Department of Administrative Services/Recovery Unit and the State Attorney General’s Office in the administration of cost of incarceration recoveries in accordance with CT State Statutes and Regulations.

***Inmate Accounts & Commissary:***

Both Commissary and Inmate Accounts have completed the Fit Gap Analysis for the OMS project.

Inmate Accounts was successfully transitioned to a Fiduciary Funded operation resulting in a savings of approximately \$500,000 in General Fund Salaries yearly.

Commissary approval and transition to CEC has been completed and mentoring of the new unit Director has begun and will continue to progress into FY 2018.

***Purchasing:***

The implementation of all CEC and Kitchen staff entering EREQS on CORE. (Also Receivers for CEC). Training is ongoing. All food service supervisors have been trained and are successfully submitting e-req’s for EBP Supply and MD Stetson orders.

Established and implemented a plan to relocate Fiscal Food Service procurement unit to Central Office, which included moving staff, equipment, files and duties resulting in a seamless transition.

Ongoing installation and configuration of MFP (Multi-Function Printer) / copiers, where appropriate to eliminate stand-alone machines resulting in savings to the General Fund budget.

Additional units have been trained on EPRO this year including Maintenance Staff (for Telecommunications ordering). Parole Offices (for drop ship project). CEC staff are currently being trained as well and will be online shortly after the start of the new fiscal year.

Correctional Video Surveillance and Management Systems for Department of Correction - \$3,000,000.00 contract to upgrade the entire agencies video surveillance capability.

***Payroll Unit:***

Fiscal Services assumed oversight of the agency's Payroll Unit effective 01/06/17.

***Lean:***

Fiscal Services coordinates and provides staff support to the agency's lean initiatives. Notable achievements include:

DOC September 2016 Kaizen Event – The September Kaizen event was held the week of September 26 through September 30, 2016. At this event three DOC lean projects and one DCP project went through the Kaizen process.

DOC January and May 2017 Kaizen Events – The January Kaizen event was held January 17<sup>th</sup> through January 19<sup>th</sup>. The May Kaizen event was held the week of May 8 through May 12, 2017 and. At these events two DOC lean projects went through the Kaizen process.

Annual Lean Showcase: DOC attended OPM's Spring Lean Showcase at the Capitol building, which provides an opportunity for state agencies (e.g. DOT, DEEP, DOH, DAS, DPH, DMHAS, etc.) to present lean accomplishments and initiatives with other state agencies, legislators, and the general public.

***Second Chance Act Grant:***

Adult Recidivism Reduction Planning Grant: Fiscal Services supported the agency's efforts to secure an Adult Recidivism Reduction Planning grant. Fiscal Services participated in the completion and submission of the grant application which was submitted by the August 30, 2016 deadline. DOC was notified at the end of September that our application for funding was approved for \$1 million.

**HUMAN RESOURCES**

The human resources team at DOC supports the agency's mission of promoting public safety, employee wellness and efficiency by ensuring that the agency has the best available talent in all positions and by providing high level support for employees and leaders across the agency.

The human resources function has undergone significant change in the past year with the hiring of a new Human Resources Director. Structural changes to the human resources (HR) service delivery model were needed in order to provide improved service to the agency's staff in the face of increasingly limited resourcing.

The new HR organizational design was announced in July 2017. The central focus for the organization is supporting our facility and unit leadership teams. In the new structure the unit/facility human resources representative will provide their leadership teams with human resource guidance on talent, HR processes, staffing, labor relations, human resources data, worker's compensation and organizational performance optimization. The HR representative will serve as the single point of contact for HR services for their client teams and will become deeply integrated into the business teams at their facilities/units as they continue to develop into strong HR business partners.

To support the facility/unit HR representatives an integrated HR services team has been chartered that will manage much of the administrative duties.

The integrated services team will ensure accurate HR data transactions, will facilitate complete and timely leave requests and will support the HR team with other administrative duties in order to enable the unit/facility human resources representative to fulfill the role as the HR business partner.

Another key enabler for the HR service model evolution comes from leveraging the deep technical depth in the HR function. For each of the key HR functional areas we have developed a center of excellence. The centers of excellence are labor relations, human resources information systems, organizational optimization, workers compensation and staffing. The HR experts in these areas will provide the technical support and guidance to enable the HR representatives to fulfill their mission of being the trusted partner for our units/facilities.

### ***Efficiency:***

The difficult and unpredictable financial climate in the state has made this a challenging year for the agency and for the HR team. We have worked closely with our units and facilities to ensure that the most critical talent needs are addressed in the face of increasing limited resources.

To continue to thrive in a resource constrained environment it is essential for the functional teams to assess the work being done and focus on what is most important. The HR team has developed a resource optimization process facilitated with unit leaders to guide their teams to focus efforts on the critical few priorities, enabling them to execute on the work that is the most impactful and best aligned to the agency's mission and vision.

In addition to assisting the agency drive efficiencies, human resources has taken significant steps to improve the effectiveness its own processes. Continuous improvement is a critical enabler to ensure high levels of service while reducing the associated cost. In the past year human resources has lost three more team members; the HR team members have demonstrated commitment, resilience and adaptability in continuing to execute for our customers.

Understanding that the state will likely be in a challenging financial situation for the foreseeable future we continue to seek and execute on continuous improvement initiatives within HR to eliminate less important work, streamline processes, leverage technology and harness creativity to do more with less. The human resources team has participated in and been involved with formal lean events focused on improving our internal processes. One event focused on standardizing our processes with regards to managing union business and union release leave. Another lean event was sponsored to streamline and improve the efficiency of ATLAS, our roster and payroll tool.

In January 2017 the payroll function was transitioned to our fiscal services division. This transition will ensure segregation of duties between human resources and payroll and will allow human resources to better focus on providing strong HR support. The new design is working well and is promoting increased collaboration between fiscal services and human resources.

To further leverage technology and eliminate labor-intensive manual processes we have expanded our use of Core Self-Service for processing time records. Human resources is collaborating with payroll and facility operations to improve the utilization and accuracy of our custody staff roster and pay approval tool. This improved usage of technology has improved our scheduling and pay accuracy and has further increase the efficiency of the units.

### ***Wellness:***

Human resources has taken a lead role in steering the wellness efforts for the agency. The employee wellness steering team was established that includes key leaders from the agency as well as from our largest labor partner organizations. Human Resources, in concert with our labor partners, have developed programs to support staff in response to the emerging opiate crisis nationwide. HR took a leadership role in the development of the POWER program to support staff who have been victimized by inmate assaults.

Human resources continues to lead the way in reducing the effects of workplace environmental stress to further improve overall employee wellness. We continue to partner with UConn to identify and deploy interventions that are supported by our labor partners that will positively impact our employee wellness. The use of administrative leave in our investigations process has been significantly reduced in order to minimize both the psychological impact to employees as well as cost.

We have made significant progress over the course of the past year in improving our relationships with our key labor partners. A labor-management steering team was established with our largest union, NP-4, to ensure that teams across the agency are working on issues that are most impactful. We have worked collaboratively with our labor partners on key initiatives across the agency; we continue to work together to improve our efforts around stress management, succession

planning, expedited corrective action procedures and simplification and communication of our human resources policies and practices.

Human resources focused heavily over the past year on supporting negotiations with our key bargaining units. The resulting completed agreements, as well as settled economics through the SEBAC negotiations, will enable us to resume normal operations and further reduce the stress and anxiety of uncertain contract status and economics. In the past year parole managers and the deputy wardens have successfully petitioned for inclusion to the NP-8 bargaining unit; negotiations for the terms for their inclusion are ongoing.

### ***Public Safety:***

Human resources has a significant impact on the agency's core mission of public safety. There is nothing more critical to supporting public safety than providing robust staffing processes to ensure that we have the best talent available in our most critical positions. HR continues to drive staffing processes that ensure that we are consistently promoting our best candidates into leadership positions in the agency. Due to financial issues at the state staffing opportunities have been limited and many critical functions are challenged to continue to meet their mandates. Human resources continues to guide the agency through these uncertain financial times by ensuring that only the most critical positions are prioritized and filled using robust process delivering the strongest candidates.

There is nothing more important in human resources than our corrections officer process. The majority of our talent, including our most senior leaders, begin their careers in corrections as a corrections officer or counselor. Human resources leads this effort by coordinating a detailed and diligent process to ensure only the best qualified candidates are selected into roles in our agency. The corrections officer process works constantly to ensure that the pipeline for quality candidates is always filled and ready when the agency has a need for staff. Though we have not sponsored a recruiting class in the past year due to the ongoing financial challenges for the state, we were able to return 48 officers who were laid off in 2016 to active positions.

To further improve our corrections officer staffing process human resources led the effort to include physical agility testing in the process. Collaborating with our labor partners as well as with external testing experts a valid and reliable physical agility test has been developed and will be deployed with the next iteration of the process.

A key focus for the past year has been to improve our leadership succession processes. Our efforts to build strong leadership succession plans begin at the Lieutenant level. Lieutenant is the first level management position at DOC and ensuring that candidates are well prepared for this step is fundamental in our development of future leaders. Though still early in the process, specific tools and plans have been developed that will enhance the effectiveness of the Lieutenant level promotions process.

In order to facilitate safe and secure operations of our facilities, human resources has worked closely with our labor partners to develop facility level emergency staffing plans for situations when staffing is not available to run our facilities at full complement.

### **CORRECTIONAL ENTERPRISES**

The Correctional Enterprises of Connecticut Unit (CEC) plays an important role in supporting the Department of Correction Second Chance Society initiatives. By state statute, CEC is authorized to provide goods and services to state agencies, municipalities, and nonprofit organizations while at the same time offering offenders opportunities to develop marketable vocational, occupational and soft skills. The unit operates shops at four facilities in the state and provides goods and services to approximately 150 customers annually. CEC continues to collaborate with the Cybulski Reintegration Center and has increased the number of offenders being transported daily to participate in our

programs at the Osborn facility. CEC has also invited OSHA to our shops for an occupational safety review and are working toward inmate participant certification. OSHA10 is a lifetime certification and may be useful in helping secure employment upon release.

One of the improvements and reinvestments into our shops this year is the purchase of a new Roland VS540i Eco-Sol Inkjet sign printing machine. This is the newest Roland model with the most current technological features.

It is also the third sign printing machine in the shop and have significantly increased the shop sign production capacity. This allowed the shop to complete orders in excess of \$100,000 for DOT Work Zone signs with the expectation of more similar production requirements in the future.

The Cheshire Shops are currently running a pilot DOC program to track and document skills inmates acquire through their specific work assignments. This program tracks hours worked in each assignment and the skills required to perform in their specific role. The Cheshire Shops are also working closely with the facility and preparing to classify inmates from the T.R.U.E. Unit to work assignments within the shop.

CEC continues to fulfill all license plate needs for the Department of Motor Vehicles. Series, special interest and vanity plates are being delivered in an expeditious manner to all branches as required. All new special interest plates (i.e. University of Hartford, Prostate Cancer Awareness) are designed and manufactured for production per DMV requirements.

At MacDougall, in the Wood Shop, CEC invested in a machine designed to process laminated panels into durable cabinet doors and increase production capacity, reduce deliverable timelines and reduce waste.

Some of the successes for CEC this past fiscal year include expansion and further development of business relationships with other state agencies and other customers. One example was an increase in the amount of furniture to be refinished and reupholstered from UCONN. Because many of the pieces of furniture that UCONN has are of high quality, these items can be reupholstered and refinished at a significantly lower cost than buying new furniture. CEC is also providing many custom fabricated items for UCONN including kitchen and bathroom cabinets and countertops. DEEP continued to provide many opportunities for CEC. CEC received significant orders for metal picnic table frames, embroidered and silk screened staff clothing items, aluminum signs, uniform patches, and to accommodate DEEP's needs, CEC now produces wood signs for the state parks.

Other existing customers who provided large amounts of work opportunities for CEC are the Department of Transportation and Newington Public Schools. DOT continues to purchase many fabricated metal products, highway reflectors, trash liners, work zone signs and other items from CEC. CEC was given the opportunity to produce the casework and countertops for Newington High School for a five classroom renovation. This project provided top-line sales of over \$100k. The size and scope of this project really took the wood shop capabilities to a higher level of quality and efficiency.

## **MANAGEMENT INFORMATION SYSTEMS**

The Management Information Systems Unit (MIS) maintains the Department's computer network and all hardware and software systems, as well as administering the extraction and reporting of data from department systems. The unit also provides technology support for the Board of Pardons and Paroles.

The use of video conferencing within the department continues to be an integral part of communication that allows for the safety and security of staff, offenders and the general public. Starting in FY 2011 when the use of video conferencing was expanded we have grown from 5079 conference held to over 8100 in FY 2015. The numbers decreased slightly in FY16 and FY17 but so has the incarcerated population. During that entire time period almost 50,000 video conferences were held for an average of more than 7000 per year. The average is almost 2000 more per year since we expanded the capabilities. More parole hearings are being done this way, more out of state hearings

are being conducted, more probation reviews, just to name a few of the many types of hearings being held.

The IT Strategic Plan was completed in August by MIS and submitted to DAS/BEST as part of the statewide IT plan. The completed plan was submitted to DAS/BEST on July 20, 2016.

Service Desk is the ticketing system used to track customer requests. The system had been an internal system to MIS but as part of the MIS LEAN was being expanded to allow customers to enter their own tickets. The pilot was completed in August, 2015 and went into production on August 26. The new system includes a complete set of videos to help staff navigate through the process of using the tool. Since its inception on August 26, 11463 out of 14311 tickets have been created by customers through the ticketing system or 80%. During this last year 8119 tickets were handled by the DOC IT staff with 6577 tickets have been created by customers through the ticketing system. 81% of the tickets were created by customers through the new ticketing system. This is a tremendous time saver for both the customers as well as MIS staff.

In Fiscal Year 17 there were 611 research related requests completed. This included many day to day requests as well as several high profile requests including Juvenile Recidivism Study, MacArthur grant, JJPOC study for Tow Institute, OPM Sex Offender Study, Project Fresh Start New Haven, RREC data for Senator Suzio, BJS Parole Survey, Justice Mental Health Collaboration grant for the city of New Haven, US DOL Grant of reentry employment in New London and New Haven, and the Sentencing Commission.

MIS designed and built a new subnet or secondary network in our Data Center to support data services for inmates. Initial services for PC's accessed by inmates include DNS, DHCP, file storage for Job PC's (resumes), etc. This network also supports inmate GED testing. This network removes inmate access to file servers used by DOC employees and helps us to meet HIPAA, FBI and other regulations once all inmate accessed systems are migrated to the new subnet. This was completed in July 8, 2016.

MIS finished converting over the remainder of PC's/printers connecting back to several network closets at Central Office, Client PC's and a printer in G38 Data Center. On 7/11 and 7/12 the Network Team also worked on changing the configurations for the wireless between 24 and 38 Wolcott Hill Road. On the afternoon of 7/12 MIS staff converted the users over at 38 Wolcott Hill Road and tested successfully.

The annual IRS data survey for the Questionable Return Program was completed and submitted to the IRS on September 12, 2016.

All DOC facilities and their DHCP ranges were successfully built on the new Linux servers. The old DHCP server entries were matched to our internal IP spread sheet to make sure we had accurate documentation. All static IPs for network printers, Collect machines, Command Center PC's, video conference units and various other pieces of equipment were verified. Each entry needed to be created manually. Network changes on each root switch were made so that each PC would not look at the local server for DHCP but look to the network for the new Linux servers. All of the facilities are now using the new servers. This was completed in September 2016.

IE 11 was deployed to all facilities. About 2,500 PC's were upgraded. This was completed in October 2016.

The DOC internal website DOCWEB was completely overhauled and is up and operational. There is still development on-going to add content from various units but the new site is up and running and has a new vibrancy to it. This was completed in November 2016.

MIS staff completed all account creation for HR/Payroll Dept. to launch production use of Service Desk. Payroll staff were trained and they are fully using the ticketing system for the payroll portion of ATLAS. This was completed in November 2016.

The new Expedited Pardons Process enhancements were completed in December 2016.

All of the facilities, Parole Offices, District Offices and Central Office have had their printers migrated to new Print Managers located at Central Office and assigned new drivers to each printer. MIS also migrated the inmate printers to an inmate server. A total of 639 printers are now managed at Central Office. This was completed in January 2017.

The process of migrating individual servers at the various facilities and offices back to the data center at Central Office began in January 2017 and was finished in March 2017. A Grand total of 2,936 users data was migrated consisting of 519,014 directories, 4,135,474 files, using up 1,622,932 MB (1.6 TB) of storage space. Backups that used to take 2 days for a full back up over the weekend now take less than 4 hours in the new Data Center. MIS staff also removed all of the servers from the facilities. This will be a cost savings since we will no longer have to replace these physical devices because they have been virtualized in the data center. This will also enhance the process of transferring accounts when staff move from one location to another. A process that may have taken days if not weeks to conclude will now be done in a matter of minutes.

The new CMMS system has been implemented. CMMS allows staff in the facilities to enter work order tickets. These tickets can then be assigned and tracked by Director Link's staff. The system was rebuilt using SQL Server instead of Oracle for the data base. The project went live in February 1, 2017.

Email accounts were setup for the five facilities that will be doing the kiosk bond outs with TouchPay. These accounts are setup so that they can either be accessed by staff members who have rights or logged into by anyone with the password. This allows Lobby Officers who may not have Exchange email accounts to open the OWA and login to the account that way. Instructions for both options have been provided to Capt. Angeles for training of Lobby Officers. This prevents the need for each Lobby Officer to require an individual Novell/AD login. This was completed in February 2017.

MIS was able to save money for the State by working cooperatively with DOC Engineering Services to interconnect the Video Surveillance systems at Willard with Cybulski.

Engineering Services was going to purchase a wireless video link and MIS suggested that we carry the video traffic instead. The savings are in the multiple thousands of dollars for equipment and configuration costs. This was completed in February 6, 2017.

MIS assisted with the setup of the 18-25 year old unit at Cheshire CI. MIS staff delivered inmate PC's to Cheshire CI and toned out the data jacks in the area and made them live. Staff also replaced the 24 port network switch with a 48 port network switch to ensure that staff had enough connections in this area of the facility. This work was completed on February 7, 2017.

Staff from the MIS Research team and the Case Notes team collaborated on a follow up report on the violations of Parole and Special Parole. They had been asked to do a follow up report regarding all violations and preliminary hearings since January 2016. This report was a collective effort from the RT System and Case Notes.

This report was very complex and includes variety of information like a report reflecting all violations (Technical, Criminal, Absconder, Other) since January 2016. This report was requested by BOPP on behalf of the Criminal Justice Clinic Office at Yale. The report was delivered February 27, 2017.

MIS and Fiscal Services have been collaborating on a new process to make the tracking of IT equipment much more manageable for all parties. The new process will have MIS staff enter a ticket into Service Desk outlining what has been transferred to whom, when and where.

MIS has also been granted access into the inventory section of CORE to then update the location information for that asset. The Technical Team in MIS as well as some members of the Network Team have this access to enter the information since they do the bulk of the inventory transfers. Other staff may have read access for this information. This will allow for better reporting. The process was piloted in February and went very well. As a result both MIS and Fiscal Services

decided to go forward with this process. The Directors of MIS and Fiscal Services signed off and we are good to go. As part of this process there will be a new process for scrapping equipment. Tickets will also be created for scrapping equipment. The ticket can then be printed and put on the equipment to be scrapped. The information will then be entered into CORE to reflect that the asset is no longer in service and has been scrapped. This should help with those items that have been scrapped but haven't been properly documented and now appear to be missing even though they have been scrapped. This process is for MIS transfer of equipment only at this point. Our goal is to reduce the time required for documentation of transfers and improve the accuracy of the data in CORE so that the annual inventory audit will produce better results with less time spent. This should make for a more efficient process. The new process went into effect on March 1, 2017.

On March 27 a new workflow went into production on Case Notes which is more efficient in terms of tracking fugitive investigation activity and producing reports. With this enhancement the system is capable of tracking real-time activity and can also provide historical reports moving forward. The Operations Database has been in pilot at Corrigan-Radgowski since 2015. MIS staff made several changes to the system that allowed the system to go from pilot mode to production. One significant change was to change the location field from a free form text field to a fixed table field. This will allow for consistency when entering in the location of the incident. The changes went into production on April 2, 2017 and then Corrigan-Radgowski shifted from pilot to production on April 3. The remaining facilities will be added on as the facility is trained and their locations are added to the tables. The new Uniform Warehouse system has gone into production. MIS staff worked with project sponsor, Brenda Coleman, to test the system and confirm that the system was ready for go-live. Brenda has been training staff at the various facilities and the facilities will be coming on-line as their turn to order comes up. Facility training for online ordering started on April 4, 2017. On May 1, the first online facility orders came back from: Central office; Brooklyn CI; MYI; and MCTSD.

A new process has been added to the TAG 11 system. The TAG system will now accept bail bonds. As part of a patch bail bonds will now be submitted along with regular nightly payments from the various vendors to update an individual's Commissary and Inmate Trust Account. The patch was put into production on April 5, 2017.

Installation was completed at the final facility, Enfield CI, for GED testing. With the completion of Enfield CI there are now 13 remote locations that have this capability as well as a setup station at Central Office. This was completed on June 2, 2017.

From April through June, 2017 MIS pushed out the upgrade to the new version of ZEN to all DOC sites. Right now we have 2,652 PCs in the new ZEN system with about 350 stragglers still showing up in the old system. All sites are set for automatic migration now. All GED PCs have been migrated to the new ZEN and updated with all patches. Education should be able to upgrade the Pearson software at any location they choose now.

The two year internal DOC IT plan for FY18 and FY 19 was completed on June 12, 2017. The plan is now on the agency's intranet site - DOCWEB.

## **AFFIRMATIVE ACTION**

The Affirmative Action Unit ensures that the principles of Equal Employment Opportunity, Affirmative Action and Diversity are integral parts of the employment and advancement process. The Unit prepared and submitted the Department's Affirmative Action Plan, which was approved by the Commission on Human Rights and Opportunities in April of 2017. At the end of the fiscal year, the number of people of color in the full-time workforce was 2053 (37.4 % of the total full-time workforce of 5485). The total number of female staff in the full-time workforce was 1429 (26.1% of the total full-time workforce of 2053).

During this fiscal year, continued to provide training to staff on Sexual Harassment, Discrimination, Workplace Diversity, and Cultural Competency. In addition, the Unit provided support

and assistance to the development of Diversity Councils at each facility which provide line staff with the opportunity to understand, value, appreciate, and respect staff diversity.

## **FOOD AND NUTRITIONAL UNIT**

The Food and Nutritional Unit provides food services to the inmate population. The Unit feeds approximately 15,000 inmates per day, three times per day, 365 days a year, totaling approximately 16,425,000 meals per year. Even with the increasing prices of food, the approximate cost per inmate per day is \$2.95.

As part of the LEAN initiative, we have begun transferring some of the food production back to the facilities, optimizing staff and reducing production and transportation costs. The food production center (cook/chill) provided approximately 2,500,000 lbs. of food for all facilities throughout the state. The Unit continues with an innovative program in which several facilities are producing rolls from scratch to be used in place of sliced bread to offset the cost of bread. Three of these facilities send rolls out to facilities that do not have the equipment and space availability. The replacement of bread with rolls has resulted in a savings of approximately \$20,000 per year.

The Unit continued to institute a more health conscientious menu, providing more protein and fiber, and lowering fat content in the meals. Taking advantage of opportunity and spot buys has helped with cost savings for the department. The Unit has taken advantage of using fresh produce from facility gardens throughout the state.

The Units master menu has significantly lowered sodium levels and increased fiber, this is in an effort to increase nutritional value and more healthy eating habits for the inmate population.

Working with Correctional Managed Health Care (CMHC), a more effective Therapeutic Diet menu has been developed, implementing low fat, low cholesterol cook chill products through the Food Production Center, helping to aid the facilities in serving special diets to inmates. We continue to work with CMHC to help educate the inmate population on healthy eating habits to help reduce the need for special medical diets, which will help lower the cost of medical expenses.

We continue to follow the Federal Child Nutrition food program at Manson Youth Institution in Cheshire and York Correctional Institution in Niantic.

We continue to run Café 24 at Central office in Wethersfield, working with the re-integration unit at Cybulski CI, we are teaching qualified inmates the culinary skills they will need to gain employment once they are discharged from the facility.

We continue to provide fresh produce to our facilities and charities through our farming program, providing approximately 50,000 pounds of produce.

## **PREA INVESTIGATIONS UNIT**

The PREA Investigations Unit was established in June 2013. This unit is comprised of four (4) staff members that are responsible for investigating all allegations of Sexual Abuse within the CT Department of Correction, maintaining statistical information for federal compliance, training material for staff and inmates, and coordination with in-state, out of state agencies, hospitals, and coordinate with victim advocate office.

The CT Department of Correction promote a “Zero Tolerance” policy for sexual abuse and sexual harassment of inmates. This unit continuously works together with statewide agencies such as Court Support Services Division, Community Confinement, Department of Children and Families, Security Division, and Parole & Community Services Division to achieve statewide compliance.

In 2016 the PREA Investigations Unit was assigned 148 cases beginning January 1, 2016 through December 31, 2016 and has completed 125 of these investigations with seven (7) substantiated cases. Through the investigative process, data is collected and compiled for the Federal Sexual Victimization survey, statistical information and federally mandated audits. This administrative data collection is based on allegations of sexual victimization by other inmates or staff that are reported to

correctional authorities. The collection includes an enumeration of incidents reported to state prison systems; state juvenile correctional systems; state contracted halfway house programs. Additional information is collected on substantiated incidents on the victim (s), perpetrator(s), characteristics of the incident, and outcomes

Both the staff and inmate population continue training in the guidelines of PREA through the Maloney Center for Training and Staff Development and the intake process.

Working with the Grants Unit, a new Auditor was selected to begin the second cycle of audits that started in June 2017 and will continue through August 2019. The PREA Investigations Unit is working with facilities to continue the proper tracking of allegations and that proper follow-up of an allegation is done.

Through the audit process the department will gain an understanding of the nuances of running a correctional facility and meet the strict guidelines of the PREA protocol through Auditor Assessment Plan.

This unit has created a new Victim Advocate Hotline contact number for the inmate population. An inmate can contact the victim advocate office directly from a correctional facility and speak with an advocate for support in dealing with victimization of sexual abuse.

### **BEST PRACTICES UNIT**

The Best Practices Unit (BPU) seeks to improve policies and practices while fostering and promoting evaluation-based and results-based policies and practices within the Connecticut Department of Correction (DOC). The BPU reports to the Deputy Commissioner of Administration. The BPU collaborates closely with other DOC divisions and units as well as a number of other agencies and universities conducting evaluation and research. The Director of the BPU chairs the DOC's Research Advisory committee which functions as an Institutional review Board, insuring the protection of human subjects who are involved in research. The Director of the BPU is regularly called on to consult with senior staff and others regarding significant initiatives, most recently the state's efforts in Results First, the Phoenix Project which is working to bring about culture change in the DOC, and the TRUE Unit funded and supported by the Vera Institute.

The Department of Correction's Grant Unit resides within the BPU. The Director of BPU and the Grants Manager work collaboratively to submit grant applications for units, programs, and facilities of Department of Correction. The Grant Manager is also responsible for managing the Department's grant awards and sub-awards. Many of the grants submitted by the Grants Manager are a joint collaboration between Department of Correction and other agencies and organizations. In 2016 and 2017, the Grants Manager was able to apply for many grants for the Department of Correction, and to submit sub-award applications with other agencies and organizations, that brought funding into the state. A 2016 Second Chance Act Statewide Recidivism Reduction Planning grant for \$100,000.00 and 2017 Second Chance Act Recidivism Reduction Implementation grant for \$1,000,000.00, both from the Department of Justice's Bureau of Justice Assistance (BJA), are just two of the competitive grants awarded to the Department of Correction.

### **HEALTH AND ADDICTION SERVICES DIVISION**

The Health and Addiction Services Division provides comprehensive health care to the offender population that meets a community standard of care that includes medical, mental health, dental, addiction and substance abuse treatment programs, as well as ancillary services, in compliance with applicable state and federal laws. CT DOC performs an oversight role in that the day-to-day care is provided by our vendor, Correctional Managed Health Care, a unit of the University of Connecticut Health Center. The CT DOC Health and Addiction Services Division is committed to moving forward the mission of the Department by ensuring the provision of quality and community standard of care to our offender-patients.

In addition, we believe that we have responsibility to further the Department's mission to support rehabilitation and successful community re-integration. Below are some highlights of our initiatives and achievements:

**Quality Management Tool Implementation—ISBAR.** CT DOC Health and Addiction Services recently implemented the ISBAR (Introduction/Situation/Background/Assessment/Recommendations), a real-time information and assessment tool designed to identify quality issues and request immediate corrective actions for those issues. Incorporated into the CT DOC Administrative Directives, this tool is already having a positive impact on the quality of care provided to our inmate patients, as well as improved effectiveness of communication, and accountability.

***Department of Correction Health Portal:*** This is a three phase initiative that will establish an electronic health record system within Department of Correction, establish a healthcare portal linking such records to various state agencies, outside community providers, and external hospitals and clinics involved in the healthcare of Department of Correction patients, while also feeding into the state's Health Information Exchange. Through the diligent work of staff, we began this initiative in September 2013, and in 2015, the Department, working with the Department of Administrative Services has selected a vendor and negotiated the contract. The contract is signed and the implementation is underway. "Go Live" for the EHR is planned for April 2018, and program implementation has remained on schedule and on budget.

***Applying for Health Benefits:*** Due in large part to a LEAN process event, the application for medical benefits across the criminal justice system has been streamlined. The efforts have resulted in the streamlining of paper applications and their submission, thereby reducing duplication; increased electronic use of the Health Insurance Exchange (ACCESS HEALTH CT) in order to increase access to healthcare coverage; direct electronic feed to DSS from Department of Correction; an increase in the overall percentage of the eligible population for seamless benefits and continuity of care, and increase data sharing and improved communication and efficiencies. Some of the key accomplishments through this process are: Department of Correction and DSS are manually able to update the SSN when discrepancies are found; verification of Medicaid status at intake, currently; a daily report is fed to DSS for incoming and outgoing inmates from the jails; and the most significant is non termination of benefits. Since April 1, 2015, inmates entering Department of Correction are no longer terminated from Medicaid coverage. The manual "suspension" workaround is in effect. Moreover, the Department of Correction provides a manual daily feed to DSS so that inmates remain eligible based upon criteria used. Department of Correction and DSS are currently developing an electronic interface. This project has resulted in much improved access to healthcare services for inmate patients as they re-enter the community, and subsequently better care upon re-entry.

***Mental Health Services:*** Connecticut Department of Correction provides mental health services to un-sentenced and sentenced inmates through the current memorandum of agreement with UCONN Health Correctional Managed Health Care (CMHC). Un-sentenced inmates often require assessment, crisis intervention and stabilization services over a shorter period of time. Sentenced inmates can involve more detailed assessment, treatment planning and programming specific to the individual needs of the inmate. All inmates receive psychiatric services as needed, and have access to mental health care throughout the correctional system. Specialized treatment and programming continues to be provided to inmates classified as Mental Health 4 (MH4), who have deficits in their level of interpersonal and psychosocial functioning secondary to mental health and/or cognitive impairment which make it difficult for them to manage within the general population environment. This design is successful, making it possible for inmates to manage in a more general population-like environment, with supports from mental health staff and accommodations, as necessary. There are over 400 inmates per month

classified as MH level 4, and given such treatment, many MH4's have received services by the Department of Mental Health and Addiction Services (DMHAS) in the community. These intensive mental health services are provided for adult male offenders at Garner CI and Osborn CI, while services for young male offenders and females are provided at Manson Youth Institute and York CI, respectively. These services include psychiatric evaluation and treatment in the form of psychotropic medication, individual and group psychotherapy and use of the specialized housing setting as a milieu-style environment. Treatment is provided by on-site, unit based mental health staff daily on first and second shift (8AM-9PM). Outpatient mental health services are provided by facility based mental health professionals at these, and all other correctional facilities throughout the state. These include psychopharmacological and psychotherapeutic interventions. Additionally, those inmates identified as requiring intensive mental health services are provided with mental health specific discharge planning services in order to coordinate care upon release back into the community.

This is typically done in collaboration with DMHAS, DDS, Veteran's Health Administration (VHA) and other community mental health providers.

***Multi-Agency Re-Entry Advisory Group:*** The Multi-Agency Re-Entry Advisory Group (MARAG) continues to identify "High Risk" inmates through the help of Connecticut Department of Correction Classification, a means by which offenders who are identified as "High Risk," as it relates to discharge planning. Inmates are identified months to over a year or more prior to discharge, with several individual cases identified up to two years in advance of their end of sentence. Simultaneously and unfortunately if they return, it allows the Department to identify who these individuals are as soon as they reenter into the system, allowing Department of Correction the ability to review and analyze what aspects of their discharge planning can be improved upon, to make their return to the community more durable. Additionally and when warranted, significant efforts are made to support the safe and successful transition of these inmates into the community through multi-disciplinary and interagency consultation, innovative application of available resources, and Community Supervision. The MARAG membership includes staff from Programs and Treatment Unit, Population Management and Classification, Mental Health (including Sex Offender Treatment), Discharge Planning, CSSD, the Mental Health Parole Unit, and DMHAS.

***Addiction Services Unit:*** The Addiction Services Unit provides a graduated system of substance abuse treatment programs. Based on the offender's individual need which is determined through a formal assessment, they may receive treatment in: Tier 1, a twelve session Pre-Release Substance Treatment Program focusing on drug and alcohol education, re-entry and reintegration issues for offenders returning to the community; Tier 2, a 10 week, intensive outpatient program with a curriculum that helps develop an understanding of addiction; Tier 4, which is a residential six month program in a modified therapeutic community setting. Tiers 2 and 4 offer an Aftercare Program designed to provide a continuum of care and maintenance of recovery. The Driving under the Influence (DUI) program offers intensive treatment to offenders. An assessment conducted by the Addiction Services Staff determines the appropriate level of treatment based on the identified need. The treatment levels are divided by tracks offering a range of 1- 4, based on the offenders treatment need.

The conservative estimation is that about 75% of all incarcerated offenders have an existing substance use disorder. ASU strives to offer treatment to offender during their incarceration. Recent efforts have increased to also connect offenders to community treatment providers prior to their release from incarceration.

***The CHANGE Unit at Willard Cybulski Correctional Institution (WCCI):*** is a Substance Abuse Treatment Program designed to specifically address the needs of those with DUI related charges; those eligible for DUI/Drug Home Confinement Program and those who have committed offenses related to

driving under the influence of alcohol and/or other drugs. The program offers a modified therapeutic community setting that allows the client to engage in treatment and also works to incorporate structure into their daily living.

***Medicated Assisted Treatment (MAT):*** is offered as a treatment option for offenders. The Methadone program operates in 2 correctional centers. The New Haven Correctional Center and Bridgeport Correctional Center have partnered with community providers to maintain those that become incarcerated while receiving methadone in the community. Methadone induction is also available for those offenders with shorter sentences and are returning to the community. Plans and preparations are in place to expand to other facilities, including Hartford Correctional Center, York Correctional Institution, and Osborn CI. Vivitrol and Suboxone is also available at several sentenced facilities through the connection that is established prior to release and the medication is administered post release.

***Expansion of Methadone Treatment Programs:*** As noted above, CT DOC has ongoing methadone substance use disorder treatment programs at our New Haven and Bridgeport jails. We treat 60 patients daily at these programs and they are running at full capacity. With the support of Department of Justice funds from the Office of Policy and Management and CURES funding through DMHAS, CT DOC is able to expand our MAT programs to include the Hartford jail, our York facility, and a new pre-release MAT program at Osborn Correctional Institution. This will be our first prison-based program. In addition, CTDOC has a program utilizing extended-release naltrexone (Vivitrol) at its Community Re-integration Center at the Cybulski facility.

***Living Free Program:*** Living Free is a joint Yale/DMHAS/CT DOC program designed to facilitate the re-entry of inmate patients with moderate to severe substance use disorders. Initially funded by SAMHSA, Living Free has posted remarkable results as after 1.5 years of its operation, more than 150 patients have enrolled in the program, and more than 95% have engaged with the treatment provider upon release (FORDD Clinic in New Haven). Fewer than 10% of the treated population has been re-arrested, and even less have been re-incarcerated. Because of the success of this program, DMHAS provided CURES funding to expand to a second site.

This expansion is taking place at Community Mental Health Affiliates in New Britain, a community mental health center that is a component of the DMHAS LMHA network.

***The Treatment Pathway Program (TPP):*** The Treatment Pathway is a pilot project designed to reduce incarceration and recidivism for those with substance use disorders and, if co-occurring, mental health disorders. The first site for implementation is in the Bridgeport court. The project brings together representatives from CSSD, Department of Correction, the States Attorney's office, local prosecutors, public defenders, the judiciary, and Recovery Network of Programs (RNP) - a local community substance use disorder treatment provider. The process began with the bail commissioner's review of potential candidates for the program. In general, these candidates have active substance use disorders, are on methadone treatment, and have an arrest for a crime that is minor in nature. The goal of the program is to identify and refer 75 candidates for treatment rather than incarceration. Follow-up is conducted for the 75 candidates to measure outcomes of this Treatment Pathway paradigm. The Bridgeport TPP program successfully re-directs 70% of the patients who enter the treatment environment. One hundred seventy six patients have been diverted from BCC at this time. With support from DMHAS and all of the other partners, two additional TPP programs have been funded with CURES funding, one in the New London Court and one in the Litchfield Court.

***Jail Diversion (DMHAS) and Mental Health Jail Re-Interview (CSSD):*** The Department of Correction and CMHC continue to coordinate with DMHAS to provide onsite re-entry programming

for inmates with mental illness who will be returning to the care of DMHAS upon release. Staff is actively involved with discharge planners to maximize appropriate early release options for unsentenced inmates with psychiatric disabilities. Department of Correction is part of a collaborative program called ASIST that provides day reporting, housing, assessment and case management services for psychiatrically disabled inmates releasing to the community. All mental health services are provided in concert with effective medication management when clinically indicated. Discharge planners are available throughout the state to assist inmates with identified mental health needs to establish access to services, upon release. Additionally, through a collaborative agreement, Department of Correction participates with DMHAS and CSSD in providing ASIST Emergency Housing funds for a limited period to a small number of presented and screened individuals who need this support to ensure continued safe and adaptive transition into the community. This vital service is provided to individuals who, in the absence of this support, would end up homeless, resulting in feeding criminogenic need, as opposed to continued stable functioning in the community.

***Veterans Administration/ Department of Correction Partnership:*** There are a significant number of veterans in Department of Correction's population. As such, the development and implementation of strategies need to be initiated through collaborations with State Agencies and Community Associates, in order to maximize the use of community partner resources.

A group was formed to evaluate the impact on veterans and to develop prevention strategies along with public/private stakeholders. Some of the key elements of this group involve early identification of veterans with mental health issues who enter Connecticut Department of Correction for improved continuity of care, and assistance with discharge planning for those veterans leaving the system. The identification of statewide VA resources for veterans is critical, especially when looking for opportunities for discharge status re-assessment for those inmates with dishonorable discharges and for those with other than honorable discharges. Also playing a significant role is the identification of possible temporary housing opportunities for veterans leaving the system to help them avoid homelessness. This group has built solid interagency collaboration, coordination and oversight for eliminating barriers to permanent supportive housing. It has also developed short/long term plans to meet the mental health needs of those veterans who are entering Connecticut Department of Correction, as well as to those releasing inmates, in order to reduce homelessness.

***Suicide Elimination and Suicide Risk Assessment:*** The Suicide Elimination Subcommittee of the Medical Legal Risk Committee continues its work in developing procedures, recommendations and policies focusing on the elimination of death by suicide within the correctional system. Currently, a comprehensive suicide risk assessment is completed for all first-time incarcerated individuals and for those persons in custody who are identified and/or referred for assessment as a result of identified concerns during the initial intake assessment process. Those individuals who have characteristics that meet criteria for suicide risk are also evaluated. The Subcommittee is utilizing innovative approaches to proactively identify, treat, and manage those at risk.

In conjunction with the Department of Developmental Services (DDS) the subcommittee produced a bilingual suicide prevention video which is located on the DDS website as well as a public access YouTube video accessible through a link found on the Department of Correction website. In this manner, loved ones of offenders can receive education on identifying potential indications of increased risk, and be knowledgeable regarding what actions they can take if they see these indicators when interacting with their incarcerated loved ones, particularly when delivering sad or unpleasant news. By letting families and loved ones know what to look for and who to contact, the Department will be better positioned to assist and support offenders facing additional personal crises. This same information is presented in both English and Spanish to all offenders entering our system as a part of the orientation process. Additionally, gender sensitive suicide prevention posters have been posted in

all correctional facilities so that inmates are provided with education and the ways one can reach out to staff if they or someone they know is in crisis and can disclose it to staff who stand ready to help. Data has been presented to all correctional facilities regarding facility specific and departmental statistics connected to suicidal or self-injurious behavior including shift of incidents, location, method of injury, severity of injury and custodial and mental health factors. Data collection is ongoing and used to improve facility response to such behaviors in order to minimize the severity of such incidents as well as attempt to proactively address facility specific issues which may be connected to these behaviors. These efforts and data collection continue.

***Sex Offender Treatment Program:*** Sex offender programming is provided by the Department of Correction's Contracted Health Services provider, UCONN Health Correctional Managed Health Care. It is designed to provide assessment and programming for identified inmates utilizing various approaches to prevent people convicted of sexual offenses from engaging in future sexual-based offenses. Studies have demonstrated that the application of effective and evidence-based treatment decreases the potential for these individuals to engage in behaviors that result in violation of their release conditions (probation, community release, parole). Assessment for sex offender programming is largely focused at the Walker Reception Center though this also happens at MYI and York CI for those specific populations), where population management and trained mental health staff identify and assess inmates with convictions involving sexual offenses for risk factors and level of service needs. Treatment is available at six facilities (Brooklyn, Cheshire, Garner, Manson, York and Osborn) and is being administered in three formats based on the completed assessment of service need. The *Short Term Group* is a 10-12 session program utilizes Cognitive Behavioral Treatment practices and includes assessment and identification of static/dynamic risk factors, healthy sexuality, combating cognitive distortions and community release planning. The *Track 1 Program*, based on the *Good Life Model*, is a year-long, intensive program, which includes a period of engagement in the treatment process, reviewing assisting in understanding of the offending cycle, assessment and identification of static and dynamic risk factors, identifying and combating cognitive distortions, skill development for emotional regulation, skill development for healthy sexuality, development of victim empathy, an autobiographical review of sexual development and behavior and the development of a comprehensive risk reduction plan. The *Track 2 Program* focuses on developing skills to manage risk, self-regulation skills, pro-social attitudes and behaviors, healthy interpersonal skills, completion of a victim impact statement and developing a risk plan for deviant sexual arousal. Recent completion of an external report through the Sentencing Commission entitled "A Report to the Connecticut Sentencing Commission: Assessment, Treatment, and Risk Management of Persons Who have Sexually Offended" has provided some specific recommendations regarding the provision of sex offender programming within the Department of Correction which is currently being reviewed for its application and implementation. The Department has begun a review of programming and recommendations for updating and streamlining the assessment, classification and provision of services for sex offenders. This process is ongoing and is intended to improve the services provided to inmates who require services while incarcerated as well as provide collaborative services upon community release and/or re-entry.

#### **MALONEY CENTER FOR TRAINING AND STAFF DEVELOPMENT**

The Maloney Center for Training and Staff Development (MCTSD) oversees all departmental training for the Department of Correction. This consists of the Pre-Service Training for incoming Correction Officers and annual In-Service Training for all current personnel. In addition to three training buildings and two Firearms Training Ranges, MCTSD also utilizes satellite training locations within the department at the former Webster Correctional Institution facility and at both MacDougall-Walker and York Correctional Institutions.

New curricula, curriculum redesign and efficiency continued to be a main focus at MCTSD during FY17. All curriculum is being designed with a focus on sound adult learning theories and practices such as relevance, rational, realism, reinforcement, repetition, progressiveness and effectiveness to improve the overall learning process for our trainees. To help ensure consistency with curriculum development, the MCTSD Lesson Plan and Development Guide was created.

Newly designed curricula introduced in FY17 included: ASHI CPR/AED and FA, Hearing Voices that are Distressing, Suicide Elimination, Professional Boundaries, Decision Making, Team Building, Instructor Development courses and the specialized curricula for the Young Adult Offender Training Program (three-week program of intensive instruction and skill development including *Human Development and Behavioral Impact*, *Trauma Informed Interventions*, *Motivational Interviewing*, *Therapeutic Communities*, *Promoting Positive Behaviors*, *Mediation and Conflict Resolution*, *Best Practices in Family Engagement*, *Mental Health Issues*, *Coaching*, and *Mentoring*).

No Pre-Service Training classes were conducted due to fiscal constraints.

A two-week Refresher Training was conducted for 62 returning employees away for six or more months including those rehired after layoff.

The department's annual FY17 In-Service Training consisted of eight hours of instructor-led training to 3,925 staff members; 17 hours of Learning Management Systems (LMS) computer-based training at 68,084 modules taken by staff in mandatory topics; and 15-hours of facility-specific training. Training was also provided to 36 staff members of UConn's Correctional Managed Health Care.

Changes to Firearms Training curriculum, including scenario-based situations, produced positive feedback. Department-wide Firearms Training in FY17 included 1,128 total staff Re-Certifications and 116 total staff member Initial Certifications.

One New Supervisor Orientation training class was conducted for 15 total department-wide supervisors.

At the request of department administration, the agency has been analyzing various job classes to enhance job standards. Comprehensive class standards further establishes consistency in training and employee performance expectations. MCTSD assisted by facilitating three DACUM's (Developing a Curriculum) in FY17 for the Captain, Lieutenant and Correctional Officer positions. The DACUM is a two-part process and is conducted through agency staff as Subject Matter Experts (SMEs). It incorporates the use of an SME focus group in a facilitated storyboarding process to capture the major duties and related tasks included in an occupation as well as the essential knowledge, skills and traits associated with the occupation; including validation of the results by an additional subgroup of SMEs.

In keeping with the Department of Correction's Strategic Plan Goals and Initiatives of collaboration, MCTSD is also the host site where other agencies conduct testing and trainings including the Department of Administrative Services, Federal Bureau of Investigation, Judicial Branch, Connecticut Training and Development Network, and multiple municipal police departments.

MCTSD hosted numerous Department of Correction specific meetings and trainings throughout the year, as well as other events such as the department's Staff Memorial Service and also the extensive Connecticut State Police Exam process conducted by the Department of Administrative Services.

Maloney Center for Training and Staff Development maintains American Correctional Association standards.

### **Legislative Liaison Unit**

In this long General Assembly session, the Legislative Liaison Unit tracked and monitored a wide variety of bills of interest to the agency and responded to a large number of inquiries from

state/federal public officials & agencies and Connecticut residents. Numerous legislators, federal and state legislative staff/interns and other state / local officials participated in the annual tours of the correctional facilities. Thanks in part to the larger percentage of offenders being supervised in the community, the Department of Correction now also offers tours of its Parole Offices as well. The Legislative Liaison Unit has also been an active partner with the non-profit community in Re-Entry services for Ex-Offenders. The two most important pieces of legislation of interest to the agency enacted during the General Assembly session: Public Act 17-239, An Act Concerning Isolation Confinement and Correctional Staff Training which prohibits the use of administrative segregation of inmates under age 18 in most circumstances and Public Act 17-217, An Act Concerning The Recommendations Of The Sentencing Commission With Respect to Victim Notification which requires the Department of Correction to make general offender sentencing information available to the public.

### **PAROLE AND COMMUNITY SERVICES DIVISION (Reports to the Commissioner)**

The Division of Parole and Community Services (P&CS) supervises and provides support services to offenders released to the community under the jurisdiction of both the Commissioner of Correction and the Board of Pardons and Paroles.

The Division is comprised of district offices located in Bridgeport, Hartford, New Haven, Norwich and Waterbury and the following specialized units: Residential Services, Central Intake, Special Management, Mental Health, Fugitive Investigations, DUI, Women's Re-Entry, Support Services, and Training and Staff Development. There are 150 staff members assigned to the Division. Parole officers in each of these districts and units continually strive to enhance public safety by providing offenders opportunities to successfully re-integrate into the community and be productive, accountable members of society. On July 1, 2017, the Division was responsible for the supervision of 4,643 offenders. This represents a 5.2% increase in the overall supervised population when compared to the previous year. The mission and vision of P&CS reads as follows:

***Mission:*** The Division of Parole and Community Services shall provide offenders with re-entry opportunities, consistent with public safety, informed by evidenced-based assessment, supervision, and treatment strategies.

***Vision:*** The Division of Parole and Community Services shall enhance public safety, reduce recidivism, and assist offenders to become law abiding members of society.

While the prison population has steadily decreased over the last several years, the trend has in the opposite direction for the community. This growing population has been managed by building on the previous success of the existing model of supervision driven by the following well established guiding principles:

- Providing effective supervision and enforcement of conditions imposed on offenders under all forms of release.
- Focusing on successful strategies to reduce recidivism and support the reintegration of offenders into the community by providing programs and structured activities with clearly defined behavioral expectations.
- Striving to employ evidence-based practices, emergent technology, and innovation to ensure effective supervision, service delivery, and accountability.
- Providing a range of social, substance abuse, and support services through contracted and non-contracted providers and in collaboration with other state, municipal, and private agencies.

- Enforcing the provisions of the Interstate Compact Agreement for offenders from other jurisdictions in accordance with Section 54-133 of the Connecticut General Statutes.

In FY17, the Division fully implemented changes to the way the 922 bed halfway house population is covered for medical, mental health, and substance abuse services in the community. Recent changes by the U.S. Department of Health and Human Services Centers for Medicare and Medicaid Services (CMS) extended Medicaid coverage to all Department of Correction offenders residing in halfway houses.

P&CS staff worked with representatives from OPM and DSS to implement a plan to allow halfway house offenders the ability to receive medical, mental health, and substance abuse services from community providers instead of correctional facilities or through contracted providers. This change provides a greater opportunity for parole officers to collaborate with local non-contracted community providers.

The Division completed an extensive planning process to develop a comprehensive series of evidenced-based recidivism reduction strategies that will be implemented with funding from a Bureau of Justice Assistance, Second Chance Act, Statewide Recidivism Reduction grant. This initiative includes a combined network of constituent agencies, community providers, and partnerships that will support the deliberate and efficient coordination of resources for offenders returning to the community. This collaborative re-entry process will be supported by individualized case planning, evidence-based assessment and post-release programming to ensure both accountability and the opportunity for a successful re-entry for all returning individuals. The target population for the grant is young adults age 18-24 (up to 25th birthday) and individuals released from prison to parole supervision.

A 2011 study conducted by the Office of Policy and Management showed that young adults make up only 21% of the release population, but have the highest return rates among other age groups with a three year return rate of 73%.

The five-year goal of the project is to reduce the recidivism rate by 31% in the parole population, by 51% in the young adult population, and by 51% in the statewide population.

To achieve these goals, P&CS is working in collaboration with the Center for Effective Public Policy, University of Cincinnati, University of New Haven, and Ashley Bauman, LLC, and have developed a five-year plan officially known as the *Statewide Adult Recidivism Reduction Strategic Planning & Implementation Guide*. The following initiatives have been identified as priorities for the project: **Activity 1:** Fully implement a risk and needs assessment (SCORES and WRNA) across DOC programs and validate it for Connecticut's offender populations. **Activity 2:** Use risk and needs assessment to inform case planning and program assignment based RNR (Risk, Need, Responsivity) Principles. **Activity 3:** Build quality assurance and program evaluation capacity across all DOC and DOC-funded activities. **Activity 4:** Ensure that community programs incorporate evidence-based practices and monitor fidelity of implementation. **Activity 5:** Institute graduated incentives and sanctions in community supervision. **Activity 6:** Institute staff training in Evidence Based Practices.

The Division expanded its contracted residential program network in order to provide re-entry opportunities to offenders in need of housing and other re-entry services. An additional 132 residential and scattered-site housing beds in various locations throughout the state were brought on-line for male and female offenders.

Included in this number is a five bed female inpatient mental health treatment facility, the first of its kind for P&CS. This program will provide a range of services for females leaving prison with mental health and substance abuse treatment needs. In response to the opioid crisis impacting offenders under supervision across the state, a total of 62 residential inpatient substance abuse treatment beds at the Apt Foundation in Bridgeport were utilized for male and female offenders engaging in chronic substance abuse while under community supervision.

P&CS established a Key Performance Indicator model to provide regular, objective and quantitative feedback on how well the Division is achieving its goals. This information will be used to

continually assess performance and guide managerial decisions related to improvements in supervision practices and service delivery. This comprehensive measurement system will address many of the tasks the Division is responsible for by tracking performance at multiple levels (individual cases, officers, districts/units) and examining both process and outcome measures. KPIs being measured fall into the following categories: Releases, Assessment, Case Management Plans, Program Intake, Employment, Substance Use, Incremental Sanctions Imposed, Intermediate Sanctions, and Recidivism.

Several parole officers participated in a Frontline documentary that aired on PBS called “Life of Parole.” The focus was on four offenders released to the community to halfway houses and private residences and highlighted the challenges of re-entry during their first year on parole. Filming took place over the course of two years and required frequent coordination with our External Affairs Division. In addition to the documentary, the New York Times published a series of articles detailing the stories of the offenders featured in the documentary.

### **EXTERNAL AFFAIRS DIVISION (Reports to the Commissioner)**

The External Affairs Division, a direct report to the department’s Commissioner, is comprised of the Office of Public Information, the Freedom of Information Unit, the department’s Victim Services Unit, and the Office of Standards and Policy. This division is responsible for fostering and maintaining the department’s liaison and communication functions throughout state government, among the agency’s staff, to media outlets, the general public, and other interested parties. The External Affairs Division seeks to support the department by ensuring that accurate and complete information regarding the agency, within the parameters of safety and security, is available in a timely and beneficial fashion.

During Fiscal Year 17, the External Affairs Division submitted, and assisted other units including the Fiscal Services Unit and the Legislative Liaison Unit, in the department’s various reporting requirements to state government administration on behalf of the department’s Commissioner.

In addition, the director’s office of this division continued to assist in organizing the department’s annual facility tours for local, state and federal officials, staff of the Judicial Branch including the state’s judges and members of the state’s Sentencing Commission. Each of the department’s correctional facilities are made available at a minimum of once a year for these prescheduled tours. The annual tours have proven beneficial in providing educational insight on the correctional environment for the State’s legislators and representatives of Connecticut’s criminal justice system.

### **OFFICE OF PUBLIC INFORMATION**

The Office of Public Information supports the department’s mission and vision by ensuring that information concerning department operations and activities are presented to state government, the media, the public and other interested parties in a timely, proactive and professional manner.

It is responsible for acting as a liaison for the agency with other federal, state and local government’s bureaus, departments and agencies; it also is responsible for the agency’s external communications with the news media; the public including friends and family of the offender population; as well as internal communication with the agency’s approximately 6,000 staff assigned throughout the state.

During Fiscal Year 17, the Public Information Office responded to more than 7,800 inquiries received via telephone, postal mail and email. Requests for information come from a wide variety of sources including media outlets; general public; family and friends of current offenders; current and former offenders; victims of crime; legal representatives; legislators; local, state and federal public safety officials; international Consulate General Offices; and other parties. Additional inquiries and

correspondences received by the Office of the Governor from constituents and specifically regarding matters pertaining to the Department of Correction were also responded to by this unit on behalf of the Office of the Governor and the department's Commissioner.

Through its presence on the internet at [www.ct.gov/doc](http://www.ct.gov/doc), the department is able to share a variety of information to interested parties on demand.

The Office of Public Information continues to utilize the department's public website as the forum to provide convenient access to this information for family and friends of our incarcerated population, as well as their legal representatives. In addition, the External Affairs Division nurtures the relationship between the State's Office of the Victim Advocate, Judicial Branch's Office of Victim Services and the department's Victim Services Unit to prevent whenever possible the re-victimization of crime victims.

The External Affairs Division and Office of Public Information are responsible for informing the media of department activity. Media interests continued in Fiscal Year 17 regarding the management of our offender population. Media tours of our correctional facilities highlighted the safe and effective management of our prison population. Public Information Officers continually endeavor to provide the news media with interesting, timely and informative stories about the activities of the department.

The department continues to delve into the world of social media with its official Twitter account; providing additional advisories on prompt information and activity to 'followers' within local state and nationwide government and public safety fields, media organizations, family and friends of incarcerated individuals, and the general public.

The Office of Public Information also assists with the internal intranet site – DOCWEB, which seeks to keep staff informed of department information and events. This unit also continues to produce the department's monthly newsletter, "PRIDE at Work", as well as the Annual Report publication. This unit also continues working with the state's Office of the Attorney General, providing technical supports for the defense of lawsuits brought against the department; and continues assisting in coordinating the state Connecticut Television-Network's technical coverage of the state's Board of Pardons and Paroles hearings held within the department's facilities.

The Office of Public Information as part of the External Affairs Division, on behalf of the Commissioner and the Department of Correction, remains committed to effective communication and transparency, internally as well as externally.

FY17 included twenty-two (22) events with participation from Governor Malloy, local elected officials, criminal justice stakeholders, reform advocates and multiple media outlets; both print and television. There was an extensive amount of positive exposure this past year for the agency and their part with supporting the Second Chance Society initiatives. FY17 wrapped up a two-year documentary film project with Downtown Community Television Center, Inc. resulting in a Frontline film titled "Life on Parole," along with several New York Times print articles related to Connecticut's reentry efforts. The film resulted in showcasing the diligent work of the Parole and Community Services Unit and the complexities involved with supporting offenders through the challenges associated with reentry. An additional film project, partnering with both the Judy Dworin Performance Project and the Connecticut Public Television, is coming to a conclusion and scheduled to air this coming Fall. This video documentary filmed at four sites including the York Correctional Institution, the Cybulski Reintegration Center; as well as an afterschool program for children with incarcerated parents, at Church of the Good Shepard in Harford; and at a local program for women reentering the community. This film will demonstrate the transformational impacts of arts engagement with incarcerated and formerly incarcerated individuals, their children and families, correctional staff, the teaching artists, and partnering social workers.

## **FREEDOM OF INFORMATION UNIT**

The Freedom of Information Unit insures the department fully complies with state statutes requiring the open availability of public documents to the public, staff and the offender population, while insuring that safety and security are not compromised.

The Freedom of Information Unit responded to approximately 2,600 requests department-wide during FY17. There were 61 Freedom of Information complaint hearings of which 58 were ruled in the department's favor. This represents an increase from the prior fiscal year. The significant increase in the number of hearings is contributed to the new policy at the Freedom of Information Commission, where if an inmate files a complaint against a state agency or a municipality, the Department of Correction is automatically added as a respondent to the complaint. Many of these cases the CT Department of Correction did not have direct involvement with the issue at hand.

The Department of Correction continues to find ways that would alleviate the number of hearings it is required to attend while upholding the integrity of the Freedom of Information Act and maintaining a strong working relationship with the Freedom of Information Commission. Open communication between staff liaisons and offenders also contributed to the withdrawal of many cases. This unit also conducted numerous training modules to enhance the knowledge of facility staff through one on one trainings and group trainings. The Freedom of Information Unit has also held meetings with other state agencies and municipalities that handle inmate request confirming that all agencies adhere to the procedures set forth by the Freedom of Information Commission.

### **VICTIM SERVICES UNIT**

The Victim Services Unit strives to be at the forefront for the empowerment of victims in the trauma healing process through the promotion of self-advocacy. It supports the mission of the Department of Correction by enhancing community safety through positive collaboration with other state agencies and vendors by providing victims with timely notifications of an inmate's change of status. During Fiscal Year 2017 the Victim Services Unit completed 683 new victim registrations and also completed 591 End of Sentence notifications. The Victim Services Unit processed 1,073 Notice of Applications for Sentence Reductions and 84 Pardon Applications. They also completed 417 notifications for Community Release Review along with 173 Parole Hearing Notifications. The Statewide Automated Victim Information Notification (SAVIN) system has 15,460 active registered victims. The Victim Services Unit continues positive collaborations both within the agency and with community partners and colleagues.

### **OFFICE OF STANDARDS AND POLICY**

The Office of Standards and Policy is responsible for the drafting, review and revision of the department's Administrative Directives in keeping with applicable correctional standards and state law.

During Fiscal Year 17 the Office of Standards and Policy updated 29 Administrative Directives. These Directives included a total of 124 documents (many of which included both English and Spanish versions), forms and attachments.

### **LEGAL AFFAIRS UNIT (Reports to the Commissioner)**

The Legal Affairs Unit is a direct report to the Commissioner of the Department and serves as a liaison to the Office of the Attorney General on all legal matters affecting the agency, as well as with the State and Federal Courts throughout Connecticut. During the course of a year the unit oversees an average of 1,200 or more lawsuits as well as more than 100 Probate Court cases involving offenders. Additionally during FY 17, the unit received and responded to 30 complaints filed by inmates and employees with the Connecticut Commission on Human Rights and Opportunities and the Equal Employment Opportunity Commission. The unit also handled all appeals brought before the Freedom

of Information Commission. During FY 17, the unit continued to provide substantial internal legal support to the Department, providing legal expertise in areas such as employment law, inmate and employee constitutional rights, contracts, health law, school law, legislation, and PREA.