

One: Problems to be addressed

A. Identifying the Problems: This proposal will address four problems:

- 1. Sustainability:** the current level of incarceration in Vermont is not sustainable. The prison population of Vermont has quadrupled in the past 20 years. In the past five years, it has increased nearly 80 percent. This is despite the fact that crime has been declining at the same rate it was prior to the incarceration boom.
- 2. Recidivism:** For the past thirty years, it has been Vermont State policy to reserve incarceration for the incapacitation of frequent, dangerous offenders.¹ As a result of that policy, the prisons are increasingly populated by violent, high risk, and repeat offenders. This is partly due to longer sentences by an increasingly conservative judiciary, in response to tougher laws. It is also due to increasing supervision measures from intermediate sanctions. It is also due to the reluctance of parole and corrections officials to release offenders after serving their minimum sentence. But most importantly, it is due to recidivism. *As the prisons have become increasingly composed of violent and repeat offenders, by definition at high risk of reoffense, the recidivism rate of released offenders has increased. The 1997 cohort of released prisoners in Vermont reoffended at the rate of 51.4% reconviction tracked for three years after release.*
- 3. Coordination of Services:** In very large measure, recidivism is compounded by the unwillingness of government and the community to treat reentering offenders as anything other than a threat to be feared. This has resulted in the fragmentation of services among agencies ill-equipped to provide the comprehensive services needed to address the multi-dimensional problems posed by offenders who have been incarcerated. Each community agency has also followed funding guidelines that have increasingly restricted application of its services to incarcerated offenders, requiring that these services be started all over again upon release. This is particularly true with employment² and housing. The disconnect caused by incarceration is at the root of recidivism³.

4. **Vermonters' confidence in government:** Beginning in 1994, Doble Associates, a public policy market research firm, assessed the views of the people of Vermont⁴ about crime and corrections policy and also solicited the views of the criminal justice system. The research concluded:

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| <p>Vermonters Want:</p> <ul style="list-style-type: none"> • SAFETY from Violent Predators • ACCOUNTABILITY for Violators of the Law • REPAIR of the Damage Done • TREATMENT to Assure Safe Release • INVOLVEMENT of the Community • ASSURANCE of Quality and Efficiency |
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In response to our customers, the department has shaped and revised its programs and services. In particular, Vermont citizens believe that while the concept of transitional reentry for offenders is extremely important and necessary, the implementation is flawed.⁵ The

primary flaw, according to the citizens of Vermont, is the secrecy of the program. They are also willing to participate, and to help even the most serious offenders, if they are assured of safety and expert assistance. Essentially, our customers want people whom they know and trust to be involved with making decisions about releasing offenders into their communities.

Clarification needed: "Identify the barriers to serving high risk offenders in Vermont and provide possible solutions."
Narrative

The barriers to reentry are in brief, the criminogenic needs of the offender, to include alcohol abuse, illicit drug abuse, homelessness, family dysfunction or disintegration, lack of academic and vocation skills, knowledges, and abilities, lack of employment experience, developmental, mental, and emotional disabilities. But these are only the offender-centered barriers. In addition are barriers formed by the attitudes, values, and beliefs of the community, and of staff in the correctional department itself, as well as in other helping agencies. To address these issues, the community must be involved in the review of individual cases, with whom the citizens who participate are stakeholders, as members of the community of harm and of the community of reintegration. In addition, the victims of the offense and their supporters must be involved, at least to the degree that unresolved issues are not themselves a barrier. Integrating community members and victims into the correctional decision-making process is non-traditional. Careful facilitation of the process is required.

The approach used in this proposal is to build not a program but a process. Each offender will have a specific Offender Responsibility Plan (ORP) which will be constructed by the offender and his or her team. The individual barriers to reentry will be identified and the plan for addressing those individual barriers will be the offender responsibility plan. The implementation of the plan during incarceration will be monitored by the team, and upon completion of the individual design elements, readiness for reintegration assessed, and the reentry phase begun. The same team will oversee the implementation of reentry and the aftercare phase. Upon successful completion, the team will recommend parole, as a formal graduation from reentry.

The project funds will provide the community infrastructure to coordinate with corrections field and facility staff, community treatment and support agencies, victims and their supporters, the offender and his or her network, and with representatives of the community of harm. The funds will provide support to achieve the outcomes of each ORP, in a manner structured for each plan and approved by the Reentry Team.

B. Analyzing the Population

Andrews' risk principle⁶ requires that resources be targeted to the malleable factors (criminogenic

Table 1 Risk and Severity Vermont Incarcerated Population: April 24, 2002

	0	1	2	3	4	5	6	NS	TOTAL
Highest	32	37	60	95	109	114	110	102	659
High	4	11	19	32	51	54	56	49	276
Moderate-violent	5	6	7	23	33	34	30	21	159
Moderate-non-violent	4	8	1	24	39	31	17	39	172
Low-Moderate	5	6	11	21	7	9	6	6	71
Low	4	15	7	11	10	2	5	4	58
Unknown				1	1	3	1	4	10
Total	54	83	114	207	250	247	225	225	1405

Offenses of Low and Low Moderate severity are non-violent misdemeanors; Moderate non-violent offenses are generally property or motor vehicle felonies; High and Highest are violent and serious felonies. Risk factors include drug abuse, alcohol abuse, prior probation, employment history, prior violence, prior felony, and supervision failure.

needs) among the highest risk population. The numbers in Table 1 represent the relative risk score using a Wisconsin-based assessment that Vermont has been using since 1986, which has been validated twice. The offense severity scale is a

ranking of the degree of violence and harm done used in Department classification procedure. The array includes the entire sentenced population incarcerated at a point in time.

During the course of the last year, some 274 felony offenders between the ages of 16 and 35 were eligible for release on reaching their minimum sentence. In addition, some 244 felony offenders within the age range are currently held beyond their minimum release, of whom 76 are within one year of reaching their maximum sentence. Combining these two groups yields a total annual eligible population of 320. This translates into an average of 26 young offenders coming home per month, statewide, although this can vary widely. The distribution of these offenders by county is attached as Appendix 1. In addition,

there are approximately 25 annual reentries of youthful offenders supervised by the Department of Social and Rehabilitative Services who may annually take advantage of the structures created by this proposal.

Two. Goals and Objectives

Vermont's Conditional Reentry law signed last year requires that the department of corrections:

"establish an offender reintegration process that requires offenders to be held accountable to their victims and the community. This process shall provide opportunities for victims of crime and other members of the community to participate in reentry programs under section 2a [Restorative Justice] of this title." ⁷

To implement this law, the department has created an Offender Responsibility Program⁸ for all reentering offenders. Each Offender Responsibility Plan protects public safety by successfully reintegrating offenders into the community by combining supervision and services to allow offenders to achieve the following: become productive, responsible and law-abiding citizens; obtain and retain long-term employment; maintain stable residences; and successfully address substance abuse and mental health needs. To achieve these outcomes, we will create partnerships between the stakeholders in treatment and corrections with the stakeholders in the community. This proposal will create the mechanisms at the community level to coordinate that reentry.

Vermont proposes to create a series of partnerships, at the state level, at the community level, and at the level of the individual offender, family, victim, and neighborhood. The partnerships will provide communities and victims of crime the opportunity and capacity to participate in the decision-making around reentry, beginning at intake after sentencing, through the release process, and continuing through completion of parole. We propose to implement not a program, but a community-based restorative process⁹, involving citizens in helping to determine and shape the quality of efficacy in the life¹⁰ of their community and providing the structure for coordination of the variety of agencies and helpers in the community around the services for individual offenders. The Offender Responsibility Plan is the hub

around which the existing services are structured, increasing the leverage of community resources and focusing each service on what it does best.

To do that, we propose to incorporate promising practices in corrections, treatment, victim services, case management, and community development¹¹. We believe that the outcomes of successful community reentry will be achieved. Those outcomes will be measured as they affect the offender, the victim, and the community. Further, we believe that achieving the outcomes of this proposal will result in the reduction of the proportion of the incarcerated population who fail, and reduce the size of Vermont's incarcerated population. The savings achieved by slowing and reducing the growth will more than offset the costs of sustaining the community-based program. In brief, the goals and objectives for the project are:

One: Involve the Stakeholders (Community Empowerment)

Empower victims and community
Restore faith in government

Two: Fix the Windows (Restorative Justice)

Repair the Damage Done to Community
Demonstrate value adding capacity

Three: Fill the Cracks (Multi-systemic Coordination)

Eliminate the gaps in time between need identification and service delivery
Coordinate service and provide discretionary resources

Four: Mend the Fences (Supervision of Place)

Reestablish the Relationship between offender and family, neighbors, and community.
Reduce Community Fear

Clarification needed: Determine Goals and Objectives Goals stated are generic to the application. Need to identify specific goals with measurable objectives that are relevant to the needs of the target population.

The goals outlined in the proposal narrative are broad and strategic outcomes. Specific measurable objectives were included in Appendix 6 of the proposal titled Evaluation Design, and include both indicators for performance and measures to be used based on the Vermont Department of Corrections strategic outcomes. A fuller discussion appears in Appendix 6.

To summarize these outcomes in goal/objective terms, the strategic outcome, outcome dimension, indicator, and measure is listed.

- 1.0 **Strategic Outcome: Victim and community needs are addressed**
 - 1.1 community members participate in ORP
 - Volunteer survey
 - 1.2 Victims and victim organizations participate in ORP
 - Reentry database
 - 1.3 Victim needs are addressed
 - Victim Survey
 - restitution database
- 2.0 **Strategic Outcome: Communities are involved**
 - 2.1 Multisystem partners participate
 - percentage and type of multisystem engagement
 - partnership survey
 - 2.2 Community awareness and support
 - Focus groups, broad-based polling
- 3.0 **Strategic Outcome: Communities are Restored**
 - 3.1 Community harm is repaired
 - Community service survey
 - 3.2 Community is satisfied
 - Work site survey
 - Community panel survey
- 4.0 **Strategic Outcome: Offenders are Responsible/Pro-social**
 - 4.1 Offenders understand the impact of their behavior on their victim(s)
 - program completion interview
 - 4.2 Offenders understand the impact of their behavior on the community
 - program completion interview
 - 4.3 Offenders address educational needs
 - educable offenders completing high school diploma after 2+ years supervision
 - 4.4 Targeted offenders address Substance Abuse needs
 - percentage of offenders successfully completing treatment
 - 4.5 Targeted offenders address Mental Health needs
 - percentage of offenders successfully completing treatment
 - percentage of offenders maintaining psychotropic medication as prescribed
 - 4.6 Offenders obtain and retain long-term employment
 - percentage receiving state assistance
 - percentage with marketable skill or trade
 - percentage employed 6 mos, 1 yr, 2 yrs after release (DET Database)
 - average number of jobs held
 - percent consistently employed
 - percentage of homemakers
 - 4.7 Offenders maintain a stable residence
 - percentage with signed lease agreement
 - percentage with purchased home
 - percentage residing in same dwelling 6 mos, 1 yr, 2 years after release
 - number of moves per offender
 - 4.8 Offender improve in substance use cessation
 - percentage of cessation in alcohol and/or illicit drugs during treatment (at monthly intervals during treatment, 1 year and 2 year followup)

- 4.9 Civic Participation
 - percentage of offenders who vote
 - percentage of offenders who participate in community activities (church, service organizations, community groups)
- 4.10 Offenders fulfil Family Responsibilities
 - percentage of non-custodial parents paying child support
 - percentage of offenders living with children
 - percentage of offenders with children in school who fulfil responsibilities
- 4.11 Offenders are law abiding
 - recidivism
- 4.12 Offenders abide by Departmental rules and regulations
 - violation rates
 - sanction rates
- 4.13 Ex-Offenders are productive, responsible, and law-abiding citizens
 - Ex-offender survey of community involvement
 - Ex-offender involvement in school, employment, and volunteering
 - Court data

The operational objectives for the grant are as follows.

Tasks	Target	Framework	Assigned
Establish Area Planning teams	1 Nov. 02	Each region will produce a strategic plan for implementation of ORP and Community Justice	DOC Regional Managers
Award planning grants to communities	Jan-June 02	As teams become created, funds will be granted (up to \$15,000) to plan Justice Center	Project team, DOC Commissioner, Steering Committee
Provide TA to community teams		Ongoing TA to community planning groups	Project Team
Award Community Justice Center Grants	Jan 03 – Jun 04	As plans mature, Community Justice Centers established	Project Team, local managers
Establish ORPs in facilities	Jan-Jun 03		Facility Operating Director
Implement ORP In field offices	Jan-Jun 03		Field Operating Directors
ORP Directive	Oct 2002	Draft on web for comment	Director of Community Corrections
Justice Centers established (8 - 12)	July 2004	Implementation of eight or more Justice centers is the center of the proposal	Director of Community Corrections

Three: Target Population

A. Selection: The target population for this proposal will be drawn from the pool of all incarcerated adult felony offenders reentering Vermont communities, who are aged 16-35, who have committed serious crimes and are high risks for reoffending, and who have minimum sentences of a year or more. In addition, the structures created by this proposal may be accessed by juvenile offenders returning to the community. The purpose of this proposal is to create a prototype process for the selection of participants ***by the harmed community*** to which the offender is returning. Currently nearly all Vermont offenders released from incarceration prior to completing their maximum term are released on conditional reentry furlough. This is a new legal status, using an intermediate degree of due process protection, “between Prison and Parole.”¹² Offenders in this status are at greater liability for swift return to incarceration for failure to meet program requirements. Choosing these “program requirements” is at the core of the proposal.

B. Selection Process: The process for selecting offenders for Restorative Reentry will begin at admission to incarceration. Offenders assessed (see later discussion of assessment technology) as high risk will participate in creating Offender Responsibility Plans, in concert with the Reentry Panel from the community of harm, community treatment agency staff, corrections staff, and offender supporters. The Offender Responsibility Plan is a contract for the offender’s participation in behavior and participation in treatment while incarcerated, and restoration activities upon release, in return for the community’s providing opportunity for reentry support targeted at the specific needs and assets of the offender.

General characteristics of the target reentry population are: 95 percent are male, the average age is 27, and 67 percent have committed a violent crime. Their criminogenic needs correspond with those cited in the literature as common barriers to reentry¹³ as well as “problem areas” or “critical needs” that have been found to contribute to re-offending.¹⁴ The grant project will be conducted in several areas of the

state, to model the prototypes for implementation on a statewide level. There are 251 towns and cities in Vermont, only 46 of which have more than 3,000 inhabitants. All but one town has offenders under supervision who live there or who will eventually return. Appendix 2 lists the distribution of all offenders in Vermont, by legal status and by Town of residence. Fifty-five percent of the inmates are native-born Vermonters, with 45 percent from other states. This mirrors the population of the State. Four percent of the incarcerated population are of African-

American descent, slightly disproportionate to the state ethnic composition. As can be seen from the distribution in Table 1, the population is predominantly composed of high risk, serious felons. Within that group the characteristic criminogenic needs of the young adults are described in Table 2. These deficits are significant, and widespread among the

<p>Table 2</p> <p>Criminogenic need areas: Vermont reentry population</p> <ul style="list-style-type: none">• 75% have an alcohol abuse problem• 73% have an illicit drug abuse problem• 60% are homeless or dependent on family for shelter• 52% have children, avg. 2.3 each• 32% have a high school diploma• 28% dropped out of school before the ninth grade• 27% have a marketable skill• 28% have been employed for more than two years• 27% have substantial sexual misconduct convictions• Estimated 35% have a developmental disability (significant unknown data)• Estimated 11-17% have a major mental illness

population. These barriers to success must be addressed in individual solutions, tailored to the specific levels of need for each offender, but they can be addressed with a singular process.

This project will identify members of the community of harm willing to participate as members of the reentry panel for a specific offender. Together with the staffing team from the correctional facility, the field supervision staff and the community treatment partnership, the reentry panel will determine the eligibility of the offender to engage in responsibility planning. This eligibility will include the willingness of the offender to participate in contracting for programming to address criminogenic needs while in custody, and to begin to establish outcomes for reintegration.

As can be seen from Appendix 2, the populations are widely distributed. It is highly likely that the project will target Chittenden County, our most urban area, and two to three rural districts. Offenders who are eligible for the program but not in the target areas will receive traditional reentry services.

Clarification needed: Select Target Populations High-Risk Offenders Provide details on risk assessment procedures.

The risk assessment procedures are detailed in Appendix 4: Assessment Technology. The procedures identified include criminogenic risk assessment, reentry barrier assessment, mental health and substance abuse assessments.

Tasks	Target	Framework	Assigned
Evaluation Design	Done		Director of Planning
Steering Committee	Done	Monthly meetings	Project Director
Establish Employment database links	6 months	MOA with DET for Employment followup data	Project Director, IT Director
Establish Evaluation Database	July 03	Linkages with Evaluation plan	Project Director, Information Technology Director

Clarification needed: Discuss the consequences offenders will face if they fail to meet program requirements; when will sanctions be applied and how will they be determined.

The consequences are defined in each offender's Responsibility Plan (see Reentry Agreement, Appendix 5, copy attached to this document). Each offender participates in the construction of his Offender Responsibility Plan (ORP). The plan defines the responsibilities of the offender, the community, and the service providers. Failure to abide by the plan results in an increasingly restrictive set of graduated sanctions up to and including reincarceration. A copy of the department policy on Graduated Sanctions is attached to this document. In addition to this process, however, the Reentry Panel for each offender will review any violation of the agreement while the offender is in the community, and make recommendation as to the sanction for the violation, unless it is a new crime, in which case it will be referred for prosecution.

Action Steps

Tasks	Target	Framework	Assigned
Graduated Sanctions Directive	Done		Director of Community Corrections
ORP Directive	Done		Director of Community Corrections
Reentry Agreement	Done		Director of Community Corrections

Four. Organizational Capability

Lead Agency: Vermont Department of Corrections

Vermont is a small State, with a population of 608,000.¹⁵ The state has a very low crime rate, particularly in violent crime. Part 1 violent crime is 22 percent of the national rate, while property crime is 79 percent of the national rate.¹⁶ This consistently places Vermont among the safest states in the nation¹⁷. Vermont also has one of the lowest total incarceration rates¹⁸ in the nation, in particular using jail at a very low rate. Vermont ranks first in the nation¹⁹ in the percentage (42% last year) of its sentenced population *not* housed in institutions (the “out-count”), while the rate of persons on probation ranks Vermont well into the middle of the states²⁰. This approach is the result of a very high rate of social control in the community that is achieved by the use of the continuum of restrictive environments.

Vermont has an integrated system of community and institutional corrections, with probation, intermediate sanctions, jail, prison, reentry, and parole all administered by one state department of *corrections*. There are eight correctional facilities, eight Community Corrections Services Centers, and thirteen Court and Reparative Services Units. We have created a set of sentencing options including intermediate sanctions to both divert from prison and enhance community-based treatment and supervision, a probation program that differentiates supervision based on risk, and a community reparative program that diverts 25% of probation intakes. In addition, Corrections is located within the Agency of Human Services, which is comprised of the departments overseeing the areas relevant to reentry of health, mental health, substance abuse, welfare, juvenile justice, social services, vocational rehabilitation, economic opportunity, developmental disabilities, and aging.

As one result of being an integrated system, Vermont already has the infrastructure of coordination between prisons and community corrections. We also have an extensive network of community treatment

providers to address criminogenic needs of the community populations (see Appendix 3). This network provides a continuum of both inpatient and outpatient treatment from institution to community supervision, for violent offenders (Cognitive Self-Change), sex offenders (Vermont Treatment Program for Sexual Aggressors), domestic violence (Intensive Domestic Abuse Program) and substance abuse (Intensive Substance Abuse Program and Pathways Program). [For further information, see Appendix 11, program descriptions.](#)

Vermont [Corrections](#) is building a continuum of community justice processes in collaboration with the citizens of the State. There are currently 67 Reparative Probation Boards in operation in 34 different communities, with over 400 citizen volunteers. We have established Community Justice Centers in three communities, Burlington, Winooski, and St. Johnsbury, with eight more sites under development (see Appendix 3, Community Justice Center Grant Recipients). Justice Centers have established Community Forums and Study Groups to explore justice and quality of life issues in their communities, established police diversion programs, created landlord tenant dispute resolution processes, established programs for youth and non-adult offenders and created police community partnerships with corrections. The Justice Centers will be the primary sites for the proposed reentry project.

Efforts at system change in workforce development include the RESTART program of vocational preparation and job acquisition for released inmates, the JOBS program providing wraparound transitional services for youth with emotional/behavioral disorders, and, most recently, the Dale Women's Correctional Facility, in partnership with the Morrisville one-stop Career Resource Center and the Northern New England Tradeswomen Association, has built a model program to provide a modified Step-Up program that has received the Effective Partnering Award by the Regional Department of Labor office. This model is being expanded to young male offenders with the Vermont Young Offender Project, a proposal to cross-train corrections and employment staff in support of reentry. [\[DOL Criterion 3.\) "how the grantee will](#)

identify or target specific occupations for skills training (this is key. Nearly all states have some “occupational bans” jobs that ex offenders are not legally allowed to hold.)]

On a strategic level, the Human Resources Investment Council (Vermont’s Workforce Investment Board) has engaged community partnerships in a series of community planning forums on improving coordination in private and public workforce development and education with the entities charged with the supervision or support of the target populations. This process will be integral to the development of community workforce services for offenders. [DOL Criterion 1.) “how the local One-stop system will be engaged in the project both during the pre-release phase and the reentry phase”]

With education, the State has established the Community High School of Vermont, a fully accredited independent high school which awards approved credit and diplomas to incarcerated and released offenders. The Vermont Offender Work Program, which manages offenders in the correctional industries while incarcerated, and the community restitution program and Community Work Camp, has partnered with two separate Prison Industry Enhancement projects, one with a snowshoe manufacturer and the other with a capacitor manufacturer. [DOL criterion 5.) “how the grantee will ensure that youth offenders will have access to programs that provide a range of educational services, mentoring, and community service.]

Two regions of Vermont have been designated as Enterprise Zones by the USDA. Three counties, Orleans, Essex, and Caledonia, are a Rural Economic Area Partnership²¹ (REAP) zone, to address constraints to economic growth, including low density settlement patterns, declining employment, and isolation that has led to disconnection from markets, suppliers, and centers of information and finance. The activities of the program in Vermont include building a citizen-led strategic plan for development of the community according to the principles of the Community Empowerment Initiative. Vermont’s reentry program will incorporate these principles using the technology of Study Circles²² to engage communities in

extensive dialogue over the issues of crime and restoration. [DOL Criterion 3.) "how the grantee will identify or target specific occupations for skills training (this is key. Nearly all states have some "occupational bans" jobs that ex offenders are not legally allowed to hold.)]

The corrections intermediate sanction program (Intensive Substance Abuse Program) is the largest single substance abuse program in the state. This alternative to incarceration uses treatment providers across the state, and is certified by the Office of Drug and Alcohol Programs and is a viable aftercare structure to follow release from incarceration.

Corrections and Developmental and Mental Health Services, with the Division of Alcohol and Drug Abuse Programs and the Council of Community Mental Health Centers have developed a protocol for seriously mentally ill felons whose release from prison is imminent and who require follow-up discharge services (including case management, medication, and therapy.) The departments co-administer the Co-Occurring Disorders Treatment Program for mentally ill offenders with addiction dimensions at two prisons.

The department has recognized the inadequacy of services to victims, and has worked with the Office of Crime Victim Services and state and local advocates in establishing an infrastructure for victim services within corrections. The victim unit is growing, hiring regional staff and expanding services.

At the community level, the Agency of Human Services has established twelve Regional Partnerships, comprised of the leaders of key community based non-government and government service agencies, to coordinate efforts and build coalitions to address social problems by accessing and leveraging resources to achieve one express outcome of the Vermont Agency of Human Services²³ that:

"Communities are safe and supportive," and coordinating service policies and practices to that end. Several regional partnerships have agreed to participate as members of Vermont's Reentry Program.

Vermont corrections is the grateful recipient of the efforts of over 1,500 volunteers acting as program providers, mentors, advocates, and friends, in and out of prison. Over 400 Vermonters serve as members of Reparative Boards, in more than 30 different communities. Volunteers provide church service

in prisons, train decision skills in Thresholds programs, provide shelter to reentering inmates, teach weaving arts, serve on Victim Impact panels, and organize family day programs. Recently, the Vermont Treatment Program for Sexual Aggressors received a grant from The Center for Sex Offender Management to help develop a network of community mentors to work directly with offenders in prison and in the community. The Vermont Ecumenical Council has embraced Restorative Justice as a critical component of its fundamental mission. It is on this network of committed citizens who recognize the needs of the reentering offender that this project will depend.

Key Decision Makers: State level

In 2001, the Vermont legislature established²⁴ a summer study committee on identifying barriers to successful reentry of offenders. Pending at this writing is legislation that would extend the work done by that committee to establish a "Corrections Workforce Committee," with the mission of (1) coordinating resources and programs available to the corrections population; (2), exploring potential partnerships, and (3), designing and implementing solutions to the barriers. The legislation identifies as committee members the Commissioners of Corrections, Employment and Training, and Education, the Chancellor of the Vermont State Colleges, and the Executive Director of the Human Resources Investment Council (Vermont's WIB). This committee will form the core of the Reentry Steering Committee, the governing body for the proposed project. This committee will have members from other state agencies, including the Director of the Division of Alcohol and Drug Abuse Programs; Commissioner of Developmental Disabilities and Mental Health Services, the Commissioner of Social and Rehabilitative Services, the Executive Director of the Office of Crime Victims Services, and the Director of the Office of Economic Opportunity. The committee will also be advised by statewide organizations with an interest in reentry, to include:

Kevin Bickford, Prison Ministry Director for Northern New England, Salvation Army
Peter Butterfield, Executive Director, Vermont Homeless Coalition
Kreig Pinkham, Vermont Coalition of Runaway and Homeless Youth
Diane Delmasse, Vermont JOBS program.
Rose Pulliman, Network Against Domestic Violence and Sexual Assault

Caryl Stewart, President of the Board, Vermont Development Credit Union
 Philip Kimball Executive Secretary, The Vermont Ecumenical Council
 Brian Smith, Housing Specialist, Department of Disabilities and Mental Health Services
 Mark Ames, Program Developer, Division of Alcohol and Drug Abuse Programs
 Olga Schorr, Division of Vocational Rehabilitation, Dept. of Aging and Disabilities
 Robert Lucenti, Superintendent of Schools, Community High School of Vermont

The role of the Reentry Program Steering Committee will be to review and approve proposals from communities for establishing reentry programs, to review progress, and to coordinate the use of resources from their organizations to support the success of these programs.

Key Decision Makers: Local level

In preparing this proposal and its predecessor, many Vermont community members were involved in the design and in giving feedback. Many of these will be participants at the local partnership level with the Community Justice Centers who participate in the project.

Northeast Region

Mike Welch, Town Manager, St. Johnsbury
 Lucy Hickey, Coordinator, St. Johnsbury Regional Community Coordinating Council
 Gary Reis, Northern Counties Investment Council
 Mike Bergeron, Sheriff, Caledonia County
 Mitch Gordon, Executive Director, Northeast Kingdom Community Action
 Barbara Morrow, Deputy Director, Northeast Kingdom Community Action
 Laura Dolgin, Coordinator, Orleans Northern Essex Governance Board
 Jim Donnon, Superintendent, Caledonia Community Work Camp
 Dinah Yessne, Director, St. Johnsbury Community Justice Center
 Alan Aiken, Tri-County Substance Abuse Services
 Nathalie Bourg, Coordinator, Newport Community Justice Center

Rutland Area

Karen Genrette, Coordinator, Rutland Regional Board for Family Services
 Patty Donna, Rutland City Heroin Committee
 Tony Bossi, Chief, Rutland Police Department (Chair, Police Chiefs Association)
 Evergreen Center, Rutland
 Spectrum Youth and Family Services
 Bob Becker, Area Supervisor, Social & Rehabilitative Services
 Rita McAffrey, Dismas House

Chittenden County

Peter Clavelle, Mayor of Burlington
 Alana Ennis, Chief of Police, Burlington
 Steve McQueen, Chief of Police, city of Winooski

Lindora Cabral, RSM, Executive Director, Mercy Connections, Inc.
 Martha Maksym, Executive Director, Champlain Initiative
 Pastor Pete Fiske, The Church at Prison, Inc.
 Helene Rendeau, Resident, Old North End
 Shirley McGilvray, Director, Women’s Center of Hope
 Michael Reilly, Director, Burlington Community Justice Center
 Sharon Davis, Victim Justice Project, Burlington Community Justice Center

Others

JoAnn Troiano, Executive Director, Montpelier Housing Authority
 Jan Eastman, Esq., Executive Director, The Snelling Center
 Barbara Floersch, Washington County Youth Service Bureau

Clarification Needed: Determine Organizational Capacity/ Decision-makers Explain project’s proposed use of participating offender’s families and faith- based organizations.

The description of the involvement of offender family members and faith-based organizations appears on pp. 19-27 of the proposal as submitted. Family members will be afforded the opportunity to participate as members of the ORP Reentry panel as either offender supporters or as affected parties. Faith-based organizations are involved in several levels. First is as members of the state-wide steering committee and the Corrections Workforce Advisory Committee. (Sister Lindora Cabral, RSM, for example, is a member of the steering committee.) The second level is membership at the Community Justice Center Board and Resource Partnerships. Both of these coordinating functions operate at the community level to identify and coordinate existing resources and programs for use by reentering offenders. The third level is at the individual case, where members of faith community and leaders from that community can participate as members of the Offender Reentry Panel for a particular offender, or as core team members at a correctional facility.

Provide signed MOA’s stating the roles and responsibilities of partnering agencies.

Included as Appendix 8 (copy attached) in the original proposal was a listing of some 25 Memoranda of Agreement that were faxed to OJP in the application process. Some of those MOA’s were detailed and specific to the participation and resources committed to the reentry process, while others were generic, with the Chief Executive Officer of the organization or government entity committing to participate in the design, implementation, and evaluation of our project. The proposal defines the first six months of the grant period as focussing on establishing the specific understandings and agreements at the local level as we establish Community Justice Centers. In addition, attached to this document are several new or expanded MOA’s which have been developed since the grant application was made.

Tasks	Target	Framework	Assigned
MOA with Burlington	Dec 02	Justice center implemented, ORP program MOA	Project Director
MOA with Rutland	Feb 02	Planning grant for justice center	Project Director

MOA with St. Johnsbury	Mar 02	Justice Center established, planning grant for MOA	Project Director
MOA with Newport	Mar 02	Establish Justice Center	Project Director
MOA with SRS re: youth offenders	done	Co-management of cases	Project Director

Attached as Appendix 12 is a copy of the Request for Proposals for the establishment of Community Restorative Justice Centers that has already been released. The revision to this RFP for Reentry Grant Communities is currently being written.

Five: Project Design and Management

MAJOR CONCEPT – DOING WHAT WE’RE GOOD AT -- TOGETHER

Corrections is good at supervision and criminogenic treatment; Employment is good at providing job-connecting opportunity; Education is good at providing knowledge and certifying competence; Police are good at protecting and responding to citizen concerns; Clinicians are good at providing treatment and counseling; Drug & Alcohol programs are good at reducing addiction; Communities are good at knowing their neighbors, and being concerned. However, none of us are good at coordinating our services toward the reintegration of offenders from prison to the community. As Anne Seymour has said, “The successful reentry of offenders into the community is neither a linear process, nor one that can be accomplished by a single agency.”²⁵ This proposal will provide the process to improve that coordination.

Strategic Principles of Program Design

The first premise of this proposal is to begin with the community where the harm was done. Government does not reintegrate anyone – communities reintegrate offenders, with help from families, neighbors, business owners, lenders, teachers, counselors, and friends. To accomplish this, we must provide communities and neighborhoods with the capacity and governance authority to set direction, allocate resources, and resolve conflict in the reintegration of offenders. This grant will provide this capacity to Vermont communities, integrated within the governmental structure of the Town or City.

Second, we must also use value-adding, non-zero sum processes.²⁶ Creating structures which encourage frequent, face-to-face interaction between members of the community and their offenders allows the exchange of value and the establishment of social obligations.²⁷

Third, *Perestroika*²⁸ requires *Glasnost*: minimal secrecy and open access to information not only between agencies but also with the community. There must be mechanisms to allow community to work with the offender from a base of knowledge and trust, verifying their own human interaction with data.

Fourth, we must embrace the inefficiency of the community. The mechanisms that work are those that are focused on strength-based competency development. Each offender, each crime, each victim, has different needs and capabilities. The process must encourage tailoring of response to need and strength.

Finally, we must recognize that government programs which work are those which subject themselves to the Marketplace. The development of new products requires design, engineering, prototyping, testing, and revision.

Building on Promising Practices

Supervision of Place: Community Policing has shown criminal justice a different path. In corrections, it has manifested in "Broken Windows Probation:"²⁹ redefining **Public Safety** as: "the conditions of a place, at times when people in that place are justified in feeling free of threat to their persons and property." Supervision of Place shifts the focus of corrections from the offender to the neighborhood, and the quality of life in that neighborhood. It incorporates cooperation and coordination of law enforcement and corrections resources, in concert with citizen guardians of order³⁰.

Restorative Justice: If the offender has not made amends, has not accepted responsibility for his behavior, has not repaired the harm he has done and is not participating as a pro-social member of the community, he poses a risk that must be managed. On the other hand, the degree to which the offender fulfills his restorative contract with the community, and to which he makes amends, accepts responsibility, repairs the harm, and becomes a competent citizen, are the positive outcome indicators.³¹

Community-based Treatment (What Works): We know that intensive treatment, directed at criminogenic needs, produces effects that are positive.³² We also know that treatment that is not integrated with aftercare is likely to be less than effective.³³ We also know that the integration of treatment modalities is critical to success³⁴. We also know that offender treatment must not replace the needs of the victims.³⁵

Overview of the Project

For the past two years, the department has been designing the Offender Responsibility Plan (ORP). This is the cornerstone of the structure to assure a continuum of supervision and service. The Offender Responsibility Plan replaces the existing classification and case planning structures of corrections and will continue with the offender from initial incarceration through parole expiration. The ORP creates the structure for the involvement of the community and the victim in the reentry of offenders, and broadens the involvement of the treatment and rehabilitation community. It is the framework for the coordination of all services and treatment programs provided to the offender and his family, and the structure for his relationship with the community. It can, where appropriate, provide the means for restoring the victim.

Authority and Coordination

Corrections has statutory authority over the offender and statutory responsibility for maintaining supervision and custody, and for providing disciplined preparation of the offender to return to the open community as a productive citizen. However, while the statutes encourage increased participation of the community, corrections has no authority over other State or non-governmental agencies.

Vermont proposes to establish parallel systems of authority and responsibility for Community and State, and parallel systems of service for victims and offenders. In communities willing to engage in an evolving reentry process we will establish Community Justice Centers with Reentry Programs. Each Center will be governed by a Local Board, established in the planning phase and appointed by the local (City or Town) legislative body. The Centers will be the hub of activity concerning the reentry of offenders who are originally from the community where the Center is housed. The Center will establish a Local

Reentry Partnership to provide coordination of services, practices, and policy as well as maintaining other Restorative Justice Programs (Reparative Boards, Police Diversion).

For each identified reentering offender, the Community Justice Center will create a Reentry Panel of citizens from the neighborhood where the offense occurred, and to where the offender will return. The victim, if she chooses, or a representative of the victim community will participate. The panel will meet with the offender and the Corrections and Community Treatment Team early in his incarceration, and jointly develop the Offender Responsibility Plan (ORP), a restorative contract between them and the offender.

The Reentry Panel will monitor the progress of the offender throughout his period of incarceration, receiving reports from corrections on issues and treatment progress. The panel will meet with the offender (via distance technology, in some cases). When the offender has satisfied the facility-based conditions of his ORP, the panel will establish the Reentry Contract, and review the Victim Safety Plan. Corrections will maintain responsibility for the supervision of the offender throughout his incarceration and release on conditional reentry.

The Victim Safety Plan is a parallel system of services³⁶ for the victim with opportunities to connect to the ORP. As the offender moves through the correctional system, at each stage the needs of the victim for information, advocacy, and understanding are often separate and apart from those of the offender. For offenders who are non-participants in the ORP process, the Victim Safety Plan takes on perhaps more significance, in that offenders who refuse to contract for their responsibilities can be presumed to pose a threat to victim and community safety.

Upon release, the offender will go to work for the Community Justice Center, performing community service in Housing Development or other service. [\[DOL criterion 6.\), "plans to use some of the reentry grant funds to support paid work experience or transitional employment as an "option" for ex-offenders who may not yet be ready for private sector employment"\]](#). The Reentry contract will

define not only what behaviors the offender will adhere to, but what he will do for reparation and restoration of the community, the victim, and his own family.

The contract will also define the responsibilities of the community in supporting his reentry. The Justice Center Partnership will be responsible for ensuring the services defined in the ORP are delivered. The Justice Center Partnership will include the housing community, development agencies, workforce development staff [DOL Criterion 1.) "how the local One-stop system will be engaged in the project both during the pre-release phase and the reentry phase"], corrections personnel, victim's service groups, community service organizations, law enforcement, substance abuse recovery supports, and community treatment providers included in the ORP. Services for offenders will be provided by community agencies, non-governmental organizations, the faith community, volunteers, private treatment providers, and others. The ORP will define the levels of care for service delivery. These levels will determine payment to providers. The ORP, then, combines the services for the offender with the restorative activities he must accomplish to achieve reentry.

Offenders will be eligible for loans from the Vermont Community Development Credit Union, capitalized by this grant, but leveraged by other funds, for issues related to removing barriers to reentry. These loans will be approved by the Reentry Panel, as well as the VCDCU.

[Added] Offenders will be screened for eligibility for the federal bonding program, to promote hireability. [DOL criterion 4.), "steps to market incentives to employers to promote hiring of ex-offenders (i.e., federal bonding, tax credits.)] The Reentry Steering Committee, in response to this email from DOL (received 10/17/2002) has taken up the issue of bonding and tax credits as an issue for discussion and policy recommendation.

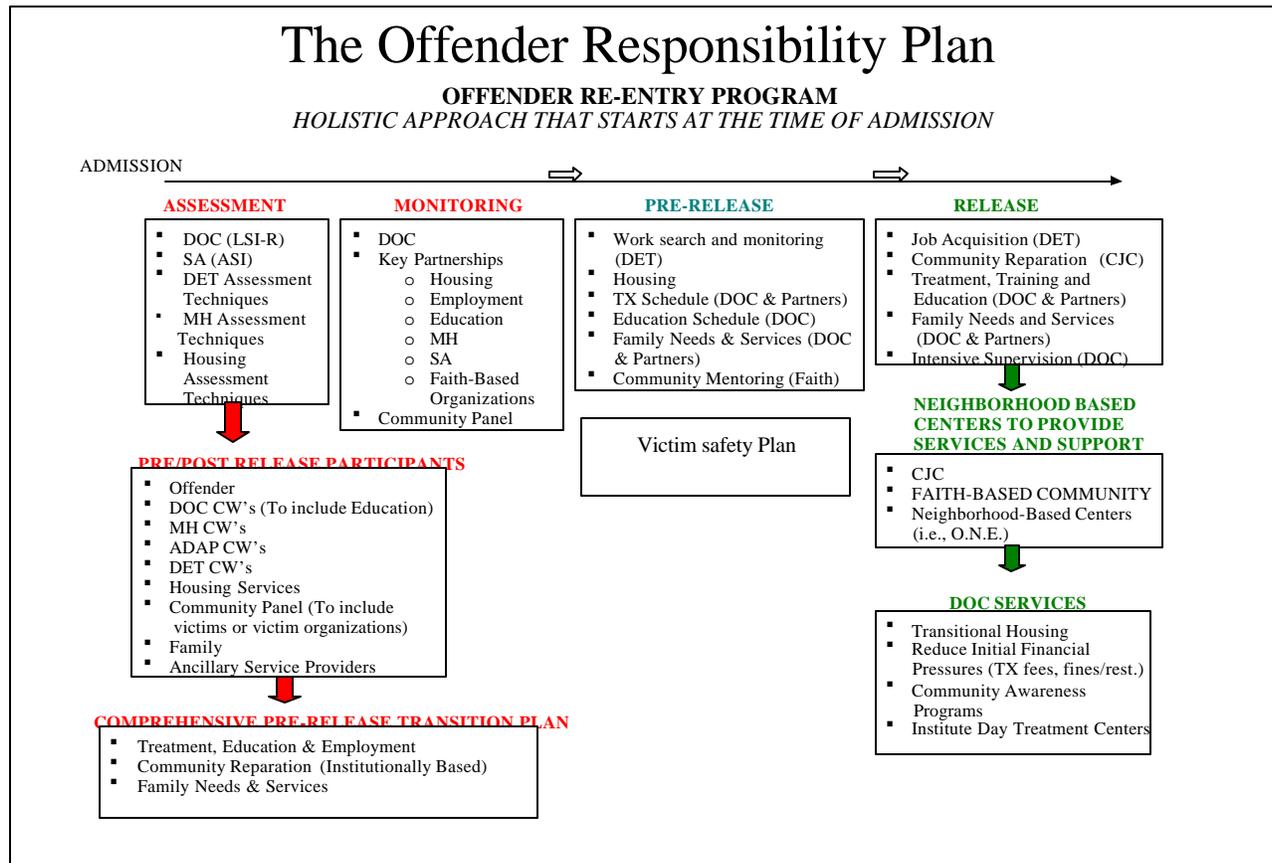
Providing Leadership to the entire process will be the Vermont Reentry Steering Committee, made up of local representatives (board chairs and/or staff) of the local sites, and representatives of statewide

stakeholders. Application for funding from communities will be reviewed by the Reentry Steering Committee.

In brief, the project will consist of a series of nested, interconnected partnerships – beginning with the Reentry Panel, which will be a single partnership of concerned parties to a single offender and his crimes, at the local level, to the Community Justice Center, which will be the coordinating body for a partnership of community, government, and non-government organizations to provide supervision of and services to offenders. These Local Partnerships will be in turn governed by the Reentry Steering Committee (RSC), composed of statewide officers of key agencies, with local representatives of the range of involved parties.

The Offender Service Delivery System

Governing the process at the individual offender level is the ORP. A schematic follows:



5.1 Phase I: Institutionally Based Programs

Step One -- ASSESSMENT

Upon admission to incarceration, each offender within the target population shall undergo a comprehensive assessment of risks and assets, to determine appropriate interventions and support services and measure results.³⁷ The assessment process will use the array of instrumentation described in Appendix 4 as appropriate. None of the assessment instruments will be used in isolation, but supplemented with supporting documentation and personal and collateral interviews, intended to create a comprehensive treatment plan. The assessment will include not only the criminogenic treatment issues of substance abuse, violence, and sexual abuse, but will focus on reentry barriers, to include mental health issues,

employment history and skills, [DOL Criterion 1.) how the local One-stop system will be engaged in the project both during the pre-release phase and the reentry phase] housing, education, parenting, and family issues. The Assessment Team will be a group assigned to the offender for the duration of incarceration and reentry coordinated by the Justice Center. The Assessment will include prior Pre-Sentence Investigations, Alcohol and Drug Screening and Assessment in the Drug Court Process, or other health and mental health documentation. In addition, the team will specify and conduct additional assessment as indicated. The corrections case manager will be responsible for maintaining the documentation of the plan and progress tracking.

Clarification Needed: Needs/Risk Assessment Provide detail on the validity of the selected tools for your project's population.

The assessment of risk and level of service instrumentation that are currently in use and will be employed for this project are defined in Appendix 4, as above. The tools are standardized instruments that are nationally and internationally recognized, and the documentation is published in the literature cited. No new instrumentation is envisioned. A detailed discussion of the validity and application of the departmental risk and program instrumentation is attached in the Offender Risk Assessment policy, copy attached.

Step Two (RESPONSIBILITY CONTRACTING)

During the assessment phase, the offender will be prepared for responsibility contracting, participating in the Offender Responsibility Curriculum³⁸ delivered by the Community High School of Vermont. If appropriate, and requested by the victim, the offender will participate in restorative processes with the victim, coordinated by victim liaisons, toward the definition of the elements of the draft ORP. [DOL criterion 5.) "how the grantee will ensure that youth offenders will have access to programs that provide a range of educational services, mentoring, and community service.]

Step Three (OFFENDER RESPONSIBILITY PLAN AND CONTRACT)

Following the assessment phase, offenders will develop an Offender Responsibility Plan (ORP). The ORP is a *restorative process*, to identify the harm to the victim and the impact of the offender's

behavior on the victim, his own family, affected parties and the community; and to encourage the offender to accept responsibility for the harm. The ORP is a case plan developed collaboratively by all affected parties. The ORP is also the Case Management System for coordinating and delivering the range of treatment and work readiness development services specific to the offender's strengths and needs.

Offender Responsibility Plans address four elements: First, the needs of the victim; second, to restore the community; third, for the offender to live successfully in the community, including stable employment, fulfilling parental responsibilities, education and following treatment recommendations, making a civic contribution; and finally, reducing criminogenic needs. The ORP Case Management Team will recommend the delivery of treatment in Substance Abuse, Mental Illness, Criminogenic Needs, Employment, and Habilitation, **DOL Criterion 1.) how the local One-stop system will be engaged in the project both during the pre-release phase and the reentry phase.**

to the Reentry Panel appointed by the Justice Center, which will determine the means for the offender to re-engage in the social contract with the community. The ORP will replace the correctional case management system.

The ORP defines activities to be achieved while incarcerated as well as upon release, to include program, work and restorative activities. The Reentry Panels are appointed by the Justice Center of offender origin and comprised of trained community volunteers. The panel meets with the offender and the community agencies and service providers to solicit input; assess progress; identify barriers; and define gaps in service and responsibility for reducing those barriers. Reentry Panels monitor offenders' compliance and progress with the plan at five key intervals:

- Once a year while an offender is incarcerated
- Six months prior to an offender's planned release
- At least thirty days prior to possible release on conditional reentry status
- Three month intervals while on conditional reentry status
- While on parole supervision

Assessing the outcomes will use the Process Evaluation Offender Outcomes as defined in Appendix 6.

Clarification needed: Transition Team Are reentry panels the same as the transition team? Provide specific details on the panel/team – how many team members, how will the lead team member be determined, etc.

Yes. The reentry panel is a partnership of corrections staff (treatment team and caseworker), community treatment and service providers, offender family and supporters, and community citizens, and the victim if willing, who oversee the construction and implementation of the Offender Responsibility Plan, during incarceration, transition, and reentry. The membership in the panel will vary, and be constructed for each offender. In some longer term facilities the panel will have a core membership, but in all cases will be augmented by members of the community of harm. The panel will be convened by the Community Justice Center, at the beginning of the offender sentence, and will meet periodically during incarceration, prior to release, and during reentry aftercare, to assess progress, assure compliance, and sanction failure. The panel will advise the Department on reentry issues for the offender.

Step Four (PRISON)

While incarcerated, offenders are required to participate in such needs-reducing programs as sex offender treatment, violent offender treatment, intensive substance abuse treatment, and educational [DOL criterion 5.) “how the grantee will ensure that youth offenders will have access to programs that provide a range of educational services, mentoring, and community service.] and vocational training. [DOL Criterion 1.) how the local One-stop system will be engaged in the project both during the pre-release phase and the reentry phase]. Treatment programs incorporate cognitive-behavioral components and provide for a continuum of care from the jail to the street. In addition, offenders are required to complete the restorative activities specified in the plan.

Clarification needed -- Institutional Programs/Services Describe, in detail, the current institutional (including faith-based services) services available for offenders and provide evidence of the DOC's ability to obtain needed services for all offenders.

The range of institutional services available for offenders includes Work, Education, Health, Criminogenic Treatment, and Mental Health services. To detail these programs would take far too much space. A brief program description of the Department's clinical intervention programs for risk reduction is attached as Appendix 11..

Faith-based services are allowed in all of the correctional facilities. Local and statewide faith organizations and individuals are encouraged to provide services to offenders on a voluntary basis. One of the more successful programs offered is the “Thresholds/Decisions” operated in several facilities.

Phase II: Community based Transition

Clarification needed -- Reentry Authority

Confirm that DOC is the reentry authority

As stated earlier (p. 7), "Vermont is an integrated system of community and institutional corrections, with probation, intermediate sanctions, jail, prison, conditional reentry, and parole all administered by one state department." As such, the authority for conditional reentry is the commissioner of corrections. (Ref: Title 28, Vermont Statutes Annotated)

Step Five (PRE-RELEASE)

Six months prior to release, the Reentry Panel meets with the offender to assess his progress and to discuss his readiness for pre-release furloughs. The primary task of the panel is to assess whether the offender has completed his obligations, and what it will take for him to continue to restore the community, be a good neighbor, and address the needs of the victim. Barriers to reentry will be reassessed. This reassessment will result in the determination of **Levels of Service Need** in the areas of Housing, Employment, Substance Abuse, Mental Health, Family Integration, Financial Status, Education, and Training, as well as ongoing cognitive-behavioral treatment requirements to address criminogenic need.

Thirty days prior to possible release on conditional reentry status, the Restorative Reentry Panel will issue a formal recommendation to corrections on the offender's suitability for release. The department will have the ultimate responsibility for release.

Clarification needed: Specifically address how the DOC will impose the conditions of the reentry plan – what sanctions will be used, under what conditions will they be enforced, etc.

As discussed above under 3., Target Populations, see the Graduated Sanctions policy attached.

Step Six (COMMUNITY RELEASE ON CONDITIONAL REENTRY)

Under Vermont Statute (effective July 1, 2001) offenders may be released under Conditional Reentry when they "have served the minimum term of sentence conditioned on the offenders commitment to and satisfactory progress in his or her reentry program..." Offenders released on conditional reentry status are required to address their ORP, focused on program needs, work and community restitution. To

assess an offender's progress and to provide support and guidance while on intensive supervision, the same Restorative Reentry Panel meets with the offender at three-month intervals.

Clarification needed -- Describe, in detail, the Continuum of Services community services available (Including faith based services).

A detailed listing of contracted community treatment services currently in force was attached to the proposal as submitted as Appendix 2. A copy of that document is attached.

These services include treatment of alcohol and other substance abuse, domestic violence, mental health, health and criminogenic treatment services as described in the program descriptions attached. In addition, the grant funds will provide access to other community services (training, education, employment assistance, housing, counselling) as appropriate to each offender and as available in the community to which he or she returns. These services vary from community to community, but are generally available.

The department of corrections currently provides outpatient substance abuse services through the ISAP (Intensive Substance Abuse Program) that are linked with in-patient (incarcerated) services. The same is true for Cognitive Self Change programs in the Violent Offender Programs and the Sex Offender Programs. In addition, the DOC has a co-occurring disorders program in cooperation with the Vermont Department of Developmental Disabilities and Mental Health Services (DDMHS) for offenders with co-occurring mental health and substance abuse issues. The department operates the Community High School of Vermont, available in all major field offices, which delivers the continuation of the same curriculum in the community as while incarcerated. Closely coordinating with the Department of Employment and Training, reentering offenders with employment needs will be managed as a special population at the 1-Stop Employment Centers.

Clarification needed -- How will the system of services be structured?

As discussed in the proposal narrative, and consistent with our understanding of the purposes of the grant, no attempt is contemplated to restructure the system of services. Rather, through the coordination of case efforts on individual cases, the existing system of services will be leveraged. The community justice centers will be the focus of the structure created, to provide individualized services.

The Department of Corrections has implemented long term service agreements (in the form of Contracts) with a number of providers. For example, Phoenix House, Inc., has a major contract for the provision of Health, Mental Health, and Substance Abuse services to both in-patients (inmates of correctional facilities) and out-patients (released offenders under supervision.)

Clarification Needed -- Describe any barriers to providing services (e.g., lack of available services) and how these issues will be addressed.

While overcoming the strategic barriers to reintegration is the focus of the entire proposal, in particular, a key area of service that is significantly limited is that of housing. The development of

community agency partnerships at the local level will include local and state housing agency and shelter providers. The Burlington Rental Center is a model for providing a clearinghouse and assistance for housing that will be employed in the Justice Centers. The funds provided to the Vermont Community Development Credit Union will also be employed on an as needed and as approved basis to provide loans to reentering offenders for housing costs and acquisition.

Step Seven (COMMUNITY RELEASE ON PAROLE)

Phase III: Community-Based Long Term Support

Clarification Needed -- Self Sufficiency Planning Discuss how offenders' self-sufficiency will be determined

The strategic outcome relevant to this item is the fourth, "Offenders are responsible and pro-social." The outcome indicators listed in the evaluation design (see Appendix 4) include that

- Offenders understand the impact of their crime on their victims
- Offenders understand the impact of their crime on their communities
- Offenders address their educational needs
- Targeted offenders address substance abuse needs
- Targeted offenders address Mental Health needs (per LSI)
- Offenders obtain and retain employment
- Offenders maintain stable residence
- Offenders improve cessation from drug/alcohol use
- Offenders participate in civic duties
- Offenders fulfil family responsibilities
- Offenders are law abiding

The data sources for each of these indicators is discussed below, in Appendix 4.

Clarification Needed -- Long-Term Service agreements. Provide evidence of Long-Term Service Agreements

Memoranda of agreement and contracts are listed and defined in the appendices. In addition, attached as Appendix 9 is a recent agreement on long-term policy between DOC and Social and Rehabilitative Service, Vermont's Juvenile Justice agency. The whole process of establishing local community restorative justice centers is

Upon the offender's completion of the responsibility plan and certification by the Panel, The Restorative Reentry Panel makes a parole recommendation to the parole board. While on parole, offenders meet with the same Restorative Reentry Panel; however, the frequency will be based upon the offender's progress and sentence duration.

Step Eight (RELEASE FROM SUPERVISION)

Offenders who participate in this project will be re-assessed and subject to post-testing, for evaluation purposes, twelve months from release on Conditional Reentry. This will provide an opportunity for the Restorative Reentry Panel and offender to reach formal closure, and allow for offender evaluation, as well as Panel input into program design and process. The information collected in this phase will be the fundamental input to both project evaluation and continuous quality improvement.

Clarification Needed***Discuss how information will be stored and analyzed.***

The information of assessment of risk and level of service are part of the offender case record. The information is stored electronically in the Department database, along with voluminous other data. This information is available for analysis in comparison to other databases such as Court records for criminal charges and convictions, to assess the outcomes of the project as discussed in Appendix 6.

The Parallel System – Victim Safety Plan

The ORP process is necessarily offender-centered. However, as it unfolds, a parallel process must occur for and with the victim. The Victim Safety Plan is currently not as well articulated as the ORP, and building the components and capacities will be a key activity of the project. Corrections, in partnership with the Vermont Office of Crime Victims Services, and many local and statewide victim service organizations, will develop process and standards for the service system. We will also pursue additional funding for the development of this parallel system. The system of services for victims follows the progress of the offender through assessment, incarceration, and release, but many of the services are separate from those which focus on the offender. At offender admission, the victim will be contacted by a victim service specialist, and provided with information on the process of corrections, and the opportunities and options available for input and participation.

Victim impact will be a critical component of the ORP, and information will be elicited from the victim; whether s/he participates as member of the reentry panel, or provides information to the panel, or chooses not to be involved, is entirely at her/his discretion. However, the Restorative Reentry panels will

be required to include representation from the victim advocacy community, to ensure that victim issues are addressed. Throughout the period of incarceration, if desired, information will be provided to the victim on offender programming, progress, and restorative actions. This process may occur separately from the monitoring of progress accomplished by the Restorative Reentry Panel, but feedback and input from the victim to the Panel will inform the monitoring process.

The most critical period of victim involvement will occur during Release Planning. It is at this phase that the Victim Safety Plan coordination is critical. For the offender who is successfully completing his Responsibility Plan, the safety of the victim will be an integral part of the outcome. It is with offenders who do *not* participate that the Victim Safety Plan, as a separate process, must be implemented. During the period of release supervision, the impact of offender activities on victim safety must be carefully monitored. Finally, the ultimate evaluation of the success of reentry for an offender must be that the victim is safe, and feels safe.

Relapse Intervention

It is to be expected and planned for offenders to relapse, particularly with issues of substance abuse. It is also to be expected and planned for offenders to experience crisis needs in mental health issues. The ongoing monitoring of the offender by caseworker, treatment team, the reentry panel, and the supervising officer will help insure continuity of care and supervision and offender accountability for restorative obligations. The partnerships at the community level on each case, including law enforcement, community board members, treatment providers, recovering community, corrections staff, and employers, will provide the opportunities for relapse identification as well as treatment progress. Regular meetings of the Reentry Panel will assure communication.

As crises occur, the Reentry Panel may be reconvened, to adjust treatment and intervention plans or to adjust offender responsibilities. It is critical that the partners in the case be in communication so that intervention in one arena is known to all . The Reentry Panel decides consequences for violations of

treatment or relapse behavior, or failure on restoration. For new criminal behavior, Law Enforcement will take precedence; but even with recidivism, the Reentry Panel will play an advisory role.

Operational Implementation

The first six months of the grant period will focus on the formation of the Statewide Reentry Steering Committee and building the prototype for the Community Partnership and Community Justice Center. This process will be iterative, involving the community members in the design and development from the beginning of awareness through implementation.

The Snelling Center, a policy development center associated with the University of Vermont, will be contracted to work with the Human Resources Investment Council **DOL Criterion 2.) Evidence of a working partnerships that fully engage the local workforce investment boards and area employers.**

to create and hold a series of community awareness sessions to elicit interest in Reentry Partnerships. From those awareness sessions, a set of focus groups and study circles will be held in selected towns. The process will allow communities to apply for grants to establish Reentry Programs. The process will allow communities to carefully and closely define the partnerships necessary to establish a Community Justice Center. The core tasks of the planning process will be to define the target population of offenders from the community; to define the outcomes the partnership wishes to achieve; and the coordination and resources necessary to achieve them. At a minimum, the outcomes will address the community partnership for offender work service and restitution, the housing partnership, the family support partnership, and the victim safety partnership. The planning process will support the community partnership with community leadership training and outcome planning. During the planning phase the RSC will review grant progress.

The next step for a community that has completed planning is a proposal for a Justice Center. The development of that proposal will also be a critical period for leadership training in the communities. Key

components of the Justice Center will be administration of the Center itself, reentry panel convening and coordination, and victim services. [Training of conveners, local partnership members, and Justice Center staff will use the model being used by the Human Resources Investment Council \(Vermont's WIB\). DOL Criterion 2.\) Evidence of a working partnerships that fully engage the local workforce investment boards and area employers.](#)

This process will start with three Vermont communities which already have Justice Centers and others who show interest (eight communities are in planning stages). The Reentry Steering Committee will define the process for selecting communities for grant awards. The process will allow for some variation in methodology and emphasis, but will enable communities who want to participate in the reentry of their offenders to do be empowered and enabled to do so.

Clarification Needed -- Organize Project Management Provide a detailed discussion of staff, particularly related to the availability of current staff resources.

The project management, as described in the Budget Narrative, will be composed of existing DOC staff, including the Director of Community Development and two senior manager in that division. These will be State inkind contributions to the project. In addition, the entire casework staff of facilities and field offices are contributed to the success of this project, which will redefine their role and function, and fundamentally alter the relationship between the department and the community. In addition, department funds will be used to continue the operation of four current justice centers and the establishment of several new ones.

Clarification Needed: Demonstrate how the project will overcome typical coordination difficulties found in designing, implementing, and operating multi-system programs.

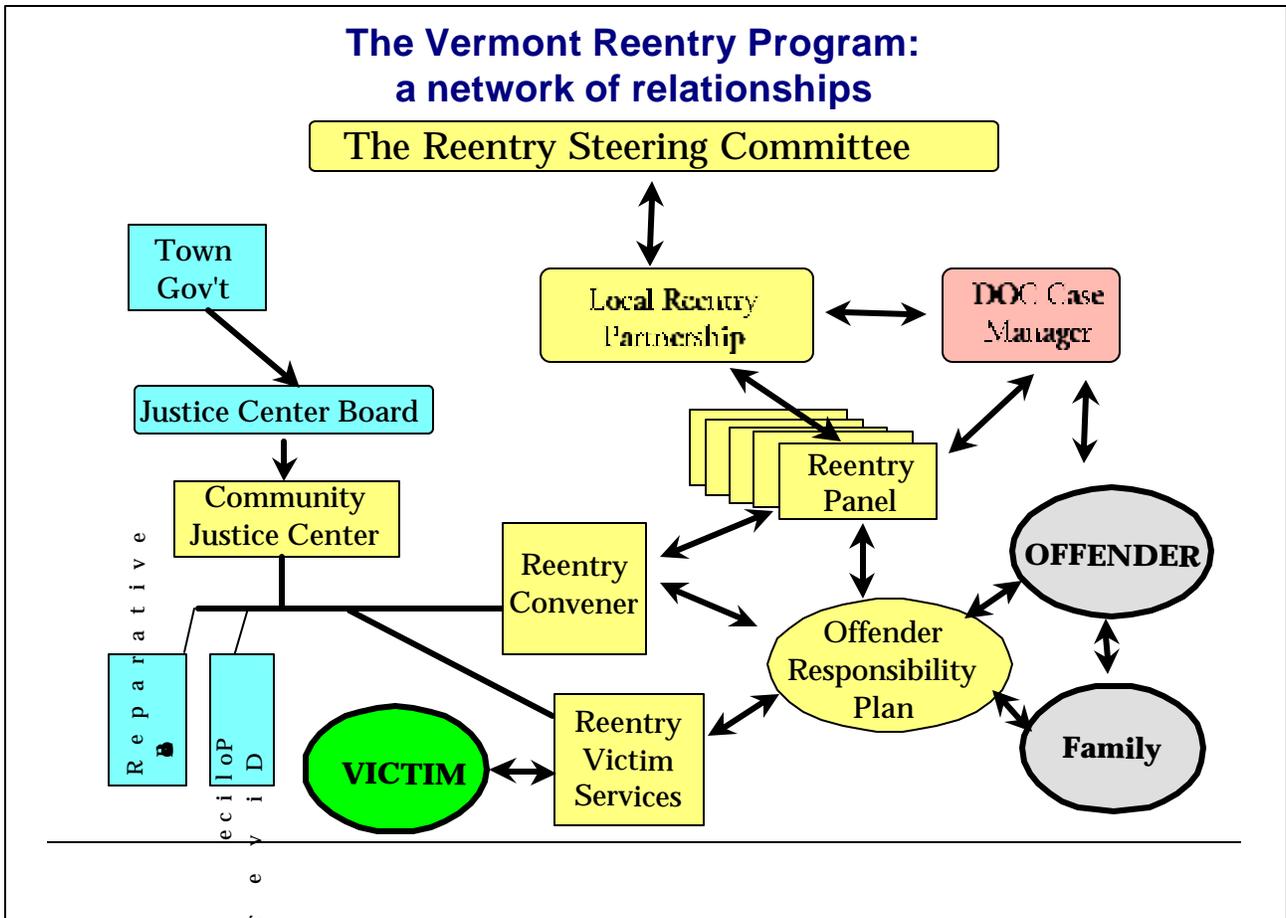
We do not anticipate that these typical difficulties can be avoided. However, the steps taken to mitigate their effect include the system of interlocking directorates, at the State, regional, and local levels. At the State level, the CEO's of major state departments and key private sector and faith community members will monitor the activity of the project and provide the opportunity to resolve interdepartmental issues of coordination. At the regional level, agencies who work together on a routine basis will function as interoperational networks. At the case level, the team members will represent their agencies and interests, and will have the opportunity to define issues of conflict and agreement.

A Prototype – The Old North End (O.N.E.) Pilot

For the past two years a pilot Reentry program has operated in one ward of the City of Burlington, called the Old North End. Using corrections and Burlington Police Department staff in a partnership with interested community members, the project has created the momentum for establishing a Justice Center in a storefront in the community. In community meetings, residents have identified issues concerning the services delivered by both corrections and police, and have agreed that they want to have a say in the reentry of offenders into their community. They are defining the outcomes they want to achieve for their community. The Old North End is a five by ten street area of Burlington that has a concentration of poverty, a wide range of ethnicity, and a strong sense of community efficacy. There were 180 offenders who lived there, some on probation, some on parole, and about 25 on furlough from prison in reentry status (an estimated 16 of these fit the target population). The 180 offenders were on 22 different caseloads. Reorganizing around place allowed the reassignment of 5 staff (three probation officers and two community correctional officers) who jointly supervise the entire caseload in the community.

The O.N.E. project grew out of neighborhood concerns about the release of offenders to that community. The community believed that offenders on furlough were causing trouble at night because they were not being supervised. Corrections and the Police partnered to respond to the issue by creating a second shift of supervision. The project addressed the issue and provided the community with a sense of being heard. That sense enabled further community involvement. Most recently, corrections has assigned a victim liaison position to the project in response to the concerns expressed.

In other communities, other issues may be of primary concern, and the development of justice centers may spring from different foci. The O.N.E. model is currently a corrections-staffed enterprise, with considerable community input into design and activities of the staff. As we move toward the creation of reentry panels, more of the operation of the center will be community driven.



What does it look like in operation?

The Community government will apply for funding to establish and operate the Community Justice Center. The Justice Center will request a block grant of expenditure authority to fund the reentry plans approved by the Reentry Panels for offenders. The Department has received substantial funding for the expansion of Justice Centers from the Legislature. This funding will support the infrastructure for the centers, while the grant funds will support the Reentry Program, and help establish more centers.

The local Reentry Partnership, with the input from the Reentry Panel, coordinates the delivery of existing services, restructuring them when necessary, making recommendations to the Reentry Steering

Committee for adjustments in statewide policy or procedure, or removing barriers, authorizing payments, or simply encouraging the offender in his or her plan. In turn, the Reentry Steering Committee may make recommendations for changes in law or funding priorities.

The Reentry Panels are convened tailored for each reentering offender based on the assessment of offender need accomplished in the first 30 days of incarceration. The assessments are completed by the treatment professionals in the community partnership. The Community Justice Center contracts for the assessments for each identified offender. Upon completion of assessment, the Reentry Panel for that offender is convened.

This is done one offender at a time, one community at a time, one set of circumstances at a time. It cumulates to practice, and then policy. When the organizing principle is the agency which has the offender at the time, coordination is at best haphazard. When the organizing principle is the community, the outcome shifts from focusing on the offender to focusing on the safety of the community.

Management Structure and Staffing

Clarification Needed -- Develop project Budget Explain which agency(s) is providing the funding for the project manager and Project Director positions.

As discussed above, and in the Budget Narrative, the Vermont Department of Corrections (lead agency) will be providing funding and staff for the project director position defined in the budget narrative. The two positions funded with grant funds are Accountant and an Administrative Assistant for fiscal control and administrative support.

The partners at the state level will strike detailed memoranda to coordinate the resources necessary to accomplish this project and to ensure sustainability thereafter. Corrections will provide office space for Project Staff and provide overall fiscal administration. The project will be directed by existing staff acting as Program Manager. The Program Manager will serve as staff to the Reentry Steering Committee, and manage the implementation of the project, to include the development of the Community Justice RFP and the management of the sub-grant process. The Project Director will develop the Program Operation

Plan for approval by the RSC. She/he will be assisted by an Administrative Assistant and partial time from the Federal Programs Accountant.

Existing Justice Centers may make application for funding for a Reentry Partnership Program and will be accountable to the RSC for defined outcomes. Staffing at the Justice Centers will depend on the the proposed design. It is likely there will be a site director, administrative support, and staffing for Conveners for Reentry Panels. Victim services resources will be defined in concert with the Victims Service Community. In some partnerships, staffing may be augmented by corrections personnel assigned to Community Justice Centers. In these sites, corrections staff will no longer work at Field Offices. Instead, they will be in the community with the offenders, victims, police, community panels, victims advocates, and neighbors. They will have a collateral network of supervision support from members of the community.

After completing the planning process, Communities apply for funding to establish a Reentry Partnership Program. Resources for establishing Justice Centers will be partially provided by the applicant.

Clarification Needed -- Need a more detailed description of the costs listed under "H-Other" section of the budget.

The Community Justice Center Block Grant – Building Community Capacity

Each Community Justice Center is anticipated to request the same kind of funding for infrastructure and program. The budget described hereunder presumes that there will be eight such centers. The State of Vermont Legislature has appropriated some \$400,000 annually to the Department of Corrections for the establishment of Community Justice Centers, and this funding is included in the infrastructure at \$800,000. The sustainability of this project is contingent upon the willingness of the legislature to continue funding.

Each site will require Computers, office furniture, and office equipment. An average of \$10,000 at each site, for a total of \$80,000.

The Reentry Panels -- funding flexibility

For many human service agencies, funding for case planning and case management is non-existent, and is reimbursed as a function of direct service. Participation in team case management is difficult, because professional staff of the various provider agencies are tied to billable hours. The

organizations whose members of the Reentry Panels who are treatment professionals will be reimbursed at contracted rates. Multi-system case management will be accomplished through the ORP process, where all of the services to be provided will be defined and contracted.

The Reentry Panel for each offender will approve a plan that focuses and coordinates the various services for which he is eligible and in need. In addition, however, the Community Justice Center will have a resource allocation that allows flexible expenditure of modest proportion to resolve issues and remove barriers that are not included in the Reentry Plan.

The participation in the project by the Vermont Community Development Credit Union will provide additional flexibility for funding. This organization lends to "unfundable" citizens who are considered "high-risk" by the traditional lending community. Participation of the Credit Union as a partner will provide many more avenues for creative financing.

Clarification Needed -- Need a more detailed description of the costs listed under "H-Other" section of the budget.

Reentry Panel Participation (avg. 48/year/Center)

Each Center will take on approximately 4 new cases per month. This means new cases in the correctional facility, not in the community. The offenders who are in prison will be seen once at the beginning of their incarceration, and once prior to reentry. It is estimated that Reentry Panels will be constructed for 24 new admissions and 24 community reentries annually.

While each offender will be different, the reentry panel will likely look something like:

- 5 citizen board members
- 1 addictions assessment specialist
- 1 mental health specialist
- 1 reentry panel convener
- 1 reentry victim specialist
- 1 housing partner
- 1 jobs partner

The treatment specialists are likely not paid for consultation and case staffing meetings, so included in this section is funding for 3 mtgs/yr x 420 offenders x 2 hours x 2 treatment specialists @ \$50/hr. = \$252,000.

Each center will be a storefront operation, with office and meeting space. It is anticipated that there will be significant in-kind donation of space and facilities from communities. Each Center will have a

Center Director, with a salary contingent upon the grant request, the size of the population, and the demand. For planning purposes, it is assumed that there will be eight sites. Over the three years of the project it is likely that all sites will not begin at once, but be phased in. Six months of planning and startup will be required for all sites. Each Center will also require at least part-time administrative support.

Each Center will also hire, on contract in all likelihood, a Community Reentry Panel Convener, whose primary role will be to convene and manage the reentry panels for the offenders identified as reentering the community catchment area. Similarly, each center will also provide information, services, and support to the victims of reentering offenders, and to develop opportunities for their participation in the process.

Offender Services

This funding will provide a per capita Block Grant to the Community Justice Center for supporting specific needs of reentering offenders, as defined by the Offender Responsibility Plan. These services include Substance Abuse and Mental Health Treatment, Education, Housing, Employment and Family services, and are directed at direct service as well as barrier removal to accessing community services. Offenders will be in Conditional Reentry Status for no more than 6 months. Each Justice Center will be capable of dealing with up to 4 new offenders per month, with a maximum "caseload" of 20 offenders at a given time, which will fluctuate given time frames for individual offender responsibility plans.

This is calculated at an average of \$2,500 per offender, times the estimated 320 offenders in the target population. Each Justice Center will apply for an allocation of these funds based on demand.

It should be noted that many of these costs may be leveraged by additional offender co-payment and existing treatment funds in corrections and in community agencies. For example, Corrections contracts for treatment services (exclusive of mental health and health services) for the reentering and incarcerated population total approximately \$2,561,000 annually). An additional \$703,000 is contracted for mental health services, although these are predominantly institutional.

Capitalization of the Vermont Community Development Credit Union.

This funding will provide the equity funding for the Vermont Community Development Credit Union (a non-profit Ecumenical Council organization) to establish a revolving loan fund for reentering offenders, to be leveraged with deposits made by offenders as members. The VCDCU is a marketplace institution providing affordable financial services to low income Vermonters. This funding would allow a special program for reentering offenders that would be ongoing beyond the life of the grant. This approach has been highly successful with Welfare-to-Work clients. If this is not an allowable cost, the funds will be included in an increased per capita for offender services to \$3,000 each.

Reentry Panels – Composition

We know that the membership of the Reentry Panels is contingent upon the expertise and experience of the partners, and that they are not necessarily expert in any but their own field. Panels must include victim advocates as members. The panels will need training and leadership, in learning the skills of collaboration and networking for the hard-to-employ.³⁹ A key component will be training and support for case managers on the Reentry Panel, and case staffing reviews to examine barriers, roles, and capacities.

Each Justice Center, after it is established, will also require ongoing support in community leadership development. This will become a function of the Project Manager and contracted providers.

Staffing Plan

As discussed earlier, the central project staffing will consist of three positions to provide Statewide management and leadership. The Director will require not only extensive management and project skills, but a great deal of sensitivity in dealing with a varied population and audience. The Community Justice Center staffing is not fixed and will depend on demand and mission.

Information Systems

Vermont Corrections is well positioned to support information management for the project. The system allows identification, referral, assessment, supervision, treatment and tracking of all of Vermont's offenders in a single database for facility and community transactions. The database engine is Informix Dynamic Server2000, a mainstream SQL platform. The system accommodates admission, transfer, and discharge transactions, classification, risk assessment, sanctions, and parole decisions. A service scheduling system tracks offender enrollment and participation in treatment and education. Case notes are integrated into the database and capture service delivery information on each offender contact. Information is accessible from anywhere in the State over a wide area network. The network facilitates integration with other State information systems.

This project will support linkage to data systems in Employment and Training to track offenders' employment stability. The Community Justice Centers will track community and victim participation, as well as regular activity reporting. The information system supports integration with police incident based reporting by geographic location.

Information and Evaluation

The fundamental outcomes of the project are readily measurable. These are, however, generally offender-based outcomes. The Vermont Reentry Program, however, will also measure the restorative outcomes defined by John Braithwaite: Restoration of the Community, Restoration of the Victim, and Restoration of the Offender.⁴⁰ In 1993 Vermont Corrections implemented a performance-based measurement strategy⁴¹ designed to assess programs and services with process measures as well as outcomes. We will conduct an internal evaluation of the grant.

In addition, the project design will allow some natural controls, in that some communities will not participate in the reentry program. Offenders from these communities can be matched as a control group or several controls, depending on the national evaluation design.

Clarification Needed -- Describe the plan for evaluating the program and demonstrating success.

As discussed earlier, the evaluation design, data collection, and measures are all described in Appendix 6 of the original proposal. A copy is attached.

Clarification Needed -- Sustainability. Discuss the processes that will be followed to sustain the project (eg, efforts of partners, potential funding sources, etc.)

The ongoing partnerships established during the grant process will make significant inroads into the problem of sustainability, primarily due to cost savings from 1. Reduction of duplication of effort; and 2. Reduction in the use of incarceration. If the project is successful, savings from costs of increased incarceration will more than offset ongoing costs.

Appendices

1. Data on Target Population Selection
2. Network of Community Treatment Providers
3. Community Justice Center Grant Recipients
4. Assessment Instrumentation (Policy 371 – Offender Classification)
5. Conditional Reentry Agreement (Policy 371.04)
6. Process Evaluation
7. Memoranda of Agreement
8. Graduated Sanctions Policy
9. MOA – DOC and SRS
10. Offender Risk Assessment Policy
11. Department of Corrections Program Descriptions
12. Request for Proposals – Community Justice Center

Appendix 1: Target Population

YOUNG ADULT OFFENDERS PRIOR TO MINIMUM RELEASE													
COUNTY	Month of minimum release date												Total
	1	2	3	4	5	6	7	8	9	10	11	12	
Addison	2	2	1	2	1			1	3	1	1	1	15
Bennington	5	6	2	3	3	3	2	2	4	2		4	36
Caledonia	1	2	2	2	2	1			2		1	1	14
Chittenden	3	15	8	2	6	7	9	3	3	7	8	6	77
Franklin	5	10	2		2	2			1	3		1	26
Lamoille		1			1		1	1			1	1	6
Orange	1	1			1	1		1					5
Orleans	1	3	2			1	1	1	1	1	1	6	18
Rutland	2	2			2	4	2		1	2	4	1	20
Windham	2	5	3	1	1	5	1	1	1	3	2	1	26
Washington	3	2				1	2	1	2	1	2	1	15
Windsor		1	1			2	2	1	1	1	1	2	12
Unknown													
Total	26	50	21	10	20	27	20	12	21	21	21	25	274

YOUNG ADULT OFFENDERS PAST MINIMUM						
Court	Past Min <1 year	Past Min 1-2 years	Past Min 2-3 years	Past Min 3-4 years	Past Min >4 years	Grand Total
Addison	5	1	2	1	3	9
Bennington	12	9	5	3	1	32
Caledonia	4	6	2	1	4	14
Chittenden	28	27	15	8		82
Essex		1	1			2
Franklin	8	3	1	2		14
Lamoille	2	2				4
Orange	2	4				6
Orleans	2	2	1		4	5
Rutland	7	2	3	7	1	23
Windham	11	7	3	3	2	25
Washington	4	5	6	3		20
Windsor	2	1	2			5
(blank)		1	2		15	3
Grand Total	87	71	43	28	3	244

Appendix 2: Network of Community Treatment Providers
Active DOC Treatment Contracts - Log

Vendor Name	Total Contract Amount	Purpose of Contract	Start Date	End Date
ALLEN PSYCHOTHERAPY	16,000.00	Sex Offender Tx.	6/1/00	5/31/02
ALLEN PSYCHOTHERAPY	55,500.00	Sex Offender Tx.	6/1/99	5/31/02
ALLEN PSYCHOTHERAPY	51,000.00	Sex Offender Tx.	6/1/01	5/31/03
ANGSTMAN LISA	10,800.00	Juvenile MH Svs.	9/11/00	8/31/02
ASTEMBORSKI KATHY	28,080.00	IDAP	6/1/99	5/31/02
ASTEMBORSKI KATHY	70,000.00	IDAP - SJCCSC	6/1/01	5/31/03
BALLANTYNE WILLIAM J	11,400.00	Sex Abuse Network	6/1/00	5/31/02
BARDWELL, RAELENE	12,000.00	Sex Offender Tx. Svs.	8/27/01	5/31/03
BARRE CITY POLICE DEPT	10,000.00	Secure Local Housing	10/2/00	5/31/02
BEAULIEU-BAXTER ANNE	37,649.00	Sub. Abuse Tx.	6/15/00	5/31/02
BEHAVIOR THERAPY & PSYCHOTHERAPY CTR	73,604.00	Offender Risk Assessment	10/22/01	5/31/02
BENNINGTON COUNTY SHERIFF'S DEPT	22,000.00	Suprv/Comm Rest. W.C.	12/1/01	6/30/02
BRATTLEBORO POLICE DEPT	9,900.00	Short Term Housing	9/1/01	9/1/02
CARCHMAN BOB	12,320.00	Restorative Justice	7/1/01	6/30/02
COLLEGE OF ST JOSEPH	9,600.00	Mental Health Internship	1/16/01	6/30/02
COLLEGE STREET CENTER FOR PSYCHOTHERAPY	26,200.00	Sex Offender Tx.	6/1/01	5/31/03
CORRECTIONAL INTERVENTION ASSOCIATES	77,564.00	CSC Consultation	6/1/01	5/31/03
CORRECTIONAL MEDICAL SERVICES	16,605,472.00	Medical Services	7/1/00	6/30/03
COTTON PAUL	17,600.00	Sex Offender Assess./Meds	8/22/01	5/31/03
DAWNLAND CENTER	31,039.77	Sub. Abuse Svs NECCSC	8/16/00	5/31/02
DI MEGLIO JOAN	48,124.00	Sub. Abuse Tx. Svs.	6/1/00	5/31/02
DROWN DEBRA	7,000.00	Sex Offender Tx. Svs.	6/1/01	5/31/02
DUNN THOMAS E	61,599.00	Sub. Abuse Tx. Svs.	6/1/00	5/31/02
DUNN THOMAS E	48,124.00	Sub. Abuse Tx. Svs.	6/1/00	5/31/02
FAISON GORDON	4,340.00	Sex Offender Tx. Svs.	11/1/00	5/31/02
FLINT DOUG	90,512.64	Sex Offender Tx. Svs.	6/1/01	5/31/03
FLINT DOUG	16,840.00	Sex Offender Tx.	6/1/00	5/31/02
FLINT SPRINGS CONSULTING	49,300.00	Grant Research Coordinator	7/1/00	6/30/02
FRIEDELSON SUSAN	26,400.00	IDAP	8/1/99	5/31/02
HEATH DELANO	80,000.00	CSC NSCF	6/1/00	5/31/02
HUESMAN DAVID/BUSHEY KIM	96,000.00	Sub. Abuse Tx.	6/1/99	5/31/02
INSTITUTE OF PROFESSIONAL PRACTICE INC	105,240.00	Dom. Violence Intervention	6/1/99	5/31/02
INSTITUTE OF PROFESSIONAL PRACTICE INC	35,000.00	CSC BACCSC	6/1/01	5/31/03
INSTITUTE OF	24,450.00	CSC	4/12/99	5/31/02

PROFESSIONAL PRACTICE INC				
KIME ASSOCIATES INC (SESCF)	17,500.00	Sub. Abuse Svs.	6/1/01	5/31/03
KIME ASSOCIATES INC (WRCF)	17,500.00	Sub. Abuse Svs.	6/1/01	5/31/03
LAMOILLE COUNTY COURT DIVERSION PROGRAM	69,160.00	Reparative Program	6/15/00	5/31/02
LIBSTAG KRAIG	30,000.00	Offender Risk Assessment	9/1/00	5/31/02
LIBSTAG KRAIG	16,840.00	Sex Offender Tx.	6/1/00	5/31/02
MARTIN CLARA CENTER	41,080.00	Sex Offender Tx. Svs.	6/1/99	5/31/02
MARTIN CLARA CENTER	21,105.00	Sub. Abuse Tx. Svs.	6/1/99	5/31/02
MARTIN CLARA CENTER	56,000.00	Dom Violence Svs.	11/27/00	5/31/03
MATRIX HEALTH SYSTEMS	5,775.00	Mental Health Svs.	6/1/01	5/31/02
MATRIX HEALTH SYSTEMS	51,382.60	ISAP Svs.	10/2/00	5/31/02
MATRIX HEALTH SYSTEMS	1,407,384.00	Mental Health Program	6/1/00	5/31/02
MCGRATH PSYCHOLOGICAL SERVICES	150,060.00	Sex Offender Tx. Svs.	6/1/01	5/31/03
MORRISON SARAH	78,950.40	Sex Offender Tx. Svs.	6/1/01	5/31/03
MORRISON SARAH	16,000.00	Sex Offender Tx.	6/1/00	5/31/02
MURPHY REGINA	32,250.00	Sex Offender Tx.	6/12/00	5/31/03
NELSON TOM	107,250.00	CSC	6/1/99	5/31/02
NEW HAMPSHIRE POLYGRAPH SERVICES	50,000.00	Polygraph Exams	6/1/01	5/31/03
NORTHEAST KINGDOM YOUTH SERVICES	61,272.00	Parenting Education	6/21/99	5/31/02
PATTEN KATHLEEN	15,000.00	Dispute Resolution	8/3/01	6/30/02
PHOENIX HOUSES OF NEW ENGLAND	348,957.00	Sub. Abuse Tx.	5/1/01	4/30/02
PHOENIX HOUSES OF NEW ENGLAND	17,500.00	Sub. Abuse Svs. NERCF	6/1/01	5/31/03
PHOENIX HOUSES OF NEW ENGLAND	34,800.00	Sub. Abuse Svs. CCWC	2/28/00	5/31/02
PHOENIX HOUSES OF NEW ENGLAND	58,400.00	Halfway House Svs.	6/1/01	5/31/03
PHOENIX HOUSES OF NEW ENGLAND	133,320.00	Addiction Tx. Supervision	10/4/99	5/31/02
PHOENIX HOUSES OF NEW ENGLAND	48,124.00	Sub. Abuse Svs.	6/1/00	5/31/02
RECOVERY HOUSE INC	17,500.00	Sub. Abuse Orientation	6/1/00	5/31/02
RECOVERY HOUSE INC	61,599.00	Sub. Abuse Tx. Svs.	6/15/00	5/31/02
RECOVERY HOUSE INC	75,099.00	ISAP Tx.	6/15/00	5/31/02
RESOLUTIONS PROGRAMS	50,364.00	Sex Offender Tx.	6/1/00	5/31/02
RETREAT HEALTHCARE OF BRATTLEBORO	1,382,832.00	Women Residential Tx.	7/1/99	6/30/02
ROBB DALE A	30,000.00	CSC Group Svs.	12/17/99	5/31/02
RYAN LINDA	20,650.00	Sub. Abuse Svs./Women	11/1/00	5/31/02
SOUTHWESTERN VERMONT HEALTH CARE CORP.	68,000.00	Dom. Abuse Svs.	6/1/00	5/31/02
SOUTHWESTERN VERMONT HEALTH CARE CORP.	57,600.00	CSC Group Svs.	6/1/01	5/31/03

SOUTHWESTERN VERMONT HEALTH CARE CORP.	28,344.00	CSC Supervision	6/1/01	5/31/03
SPECTRUM YOUTH & FAMILY SERVICES	29,250.00	IDAP RUCCSC	9/1/01	5/31/02
SPECTRUM YOUTH & FAMILY SERVICES	32,340.00	CSC BUCCSC/Women	9/1/01	5/31/03
SPECTRUM YOUTH & FAMILY SERVICES	193,000.00	IDAP	6/1/99	5/31/02
SPECTRUM YOUTH & FAMILY SERVICES	31,980.00	IDAP	7/5/99	5/31/02
SPECTRUM YOUTH & FAMILY SERVICES	73,440.00	CSC	6/1/00	5/31/02
SPECTRUM YOUTH & FAMILY SERVICES	78,874.00	CSC & DV Training - NWSCF	1/14/02	5/31/03
THOMAS KATHRYN	74,188.80	Sex Offender Tx. Svs.	6/1/01	5/31/03
TRANSCOR AMERICA	75,000.00	INMATE TRANSPORT	1/18/01	1/7/03
VANARSDEL ALISON	80,640.00	Sex Offender Tx. Svs.	6/1/01	5/31/03
VERMONT CENTER FOR A SAFER SOCIETY	77,800.00	SEX OFF. ASSESS.	6/1/01	5/31/03
VERMONT CENTER FOR A SAFER SOCIETY	26,000.00	OFF. RISK ASSESS	1/1/01	5/31/02
WARREN DONNA	25,000.00	IDAP	6/1/01	5/31/02
WEST CENTRAL SERVICES INC	7,100.00	SEX OFF. TX.	6/1/01	5/31/02
WILLIAMS MELANIE	1,000.00	Risk Assessment Evaluation	1/1/02	5/31/02
WILLIAMS MELANIE	51,300.00	Sex Offender Tx. Svs.	6/1/01	5/31/02
WOODBURY DISPUTE RESOLUTION CTR	29,600.00	MEDIATION TRAINING	1/15/01	5/31/02
WOODSUM STEPHEN Y	9,460.00	IDAP Supervision	11/15/00	5/31/02
WOODSUM STEPHEN Y	117,892.00	CSC Supervision Svs.	6/1/00	5/31/02
ZITO KIERAN M	26,000.00	SEX OFF. SVS.	6/1/99	5/31/02

Appendix 3: Community Justice Center Grants

1.	City of Burlington:	July 19, 2001	\$17,600
	To support the Community Justice Center and the Old North End Project		
	2. City of Burlington:	March 28, 2002	\$77,500
	To support the Community Justice Center and Victims First Response		
3.	City of Newport:	Oct. 15, 2001	\$5,000
	Planning grant for Community Justice Center		
4.	City of Winooski:	October 9, 2001	\$41,250
	Expand and implement new services at Community Justice Center		
5.	Town of St. Johnsbury	August 20, 2001	\$50,000
	Expand Community Restorative Justice program and services		
6.	Town of Brattleboro	December 4, 2001	\$5,000
	Planning grant for Community Justice Center		
7.	Town of Shelburne	December 4, 2001	\$5,000
	Planning grant for Community Justice Center		
8.	City of Rutland	November 8, 2001	\$5,000
	Planning grant for Community Justice Center		
9.	Town of Windsor	December 4, 2001	\$5,000
	Planning grant for Community Justice Center		
10.	Central Vt Reg'l Planning Comm:	December 4, 2001	\$8,000
	Planning grant for Community Justice Center		
11.	People in Partnership (Lamoille County)	Nov. 1, 2001	\$10,000
	Restorative Justice activities and community planning		

Appendix 4: Assessment Technology

The Department of Corrections has in the past 12 months restructured the offender classification system to better reflect corrections best practices in security, supervision, treatment planning, continuity of services, and full utilization of community-based resources. The classification system has the following goals, from Policy 371: Offender Classification:

1. to place offenders in the least restrictive level of supervision consistent with public safety and the intent of statute.
2. to identify violent offenders who are at high risk to reoffend and classify them to ensure public safety.
3. to ensure that incarcerated offenders serve the minimum sentence imposed by the court.
4. to release the incarcerated offender to conditional reentry after they serve the minimum sentence unless there is a foreseeable risk that the release will place the public or specific citizens or victims at risk of harm.
5. to provide reentry to offenders with supervision and programming consistent with their risk.
6. to address lapse and relapse behavior of offenders through community based interventions rather than over dependence on incarceration.
7. to engage the community in the correctional process in order to ensure that the damage to the community caused by criminal acts is repaired and to ensure that the community supports the offender's reintegration.
8. To address the needs of victims of crime and to allow them, if they choose, to participate in efforts to hold offenders accountable for the damage caused them.
9. to require offenders to address the needs of the victim, restore the community, and learn the skills to become responsible citizens in the open community when their sentence is completed.

Criminal Risk Assessment

Instrumentation used in assessment of offender Risk and Need areas include:

Level of Service Inventory – Revised (LSI-R), a structured assessment of an offender's and needs used to assist in treatment planning and assignment of varying levels of supervision.

Rapid Risk Assessment for Sexual Offense Recidivism (RRASOR). A 4-item actuarial risk measure for the prediction of sexual offense recidivism among convicted male sex offenders. Scores fall into one of six levels predicting sexual reoffending at five- and ten-year intervals. (Hanson, 1997)

Spousal Abuse Risk Appraisal (SARA). A risk assessment tool specifically designed for prediction of domestic violence recidivism. It is a clinical checklist of 20 risk factors associated with spousal abuse. This instrument includes victim input and assessment of perpetrator behavior.

Static-99. An actuarial tool expands the RRASOR for the prediction of sexual offense recidivism Scores fall into one of seven levels predicting sexual reoffending at five-, ten-, and fifteen-year intervals. (Hanson and Thornton, 2000)

Vermont Assessment of Sex Offender Risk (VASOR). An actuarial tool for the prediction of sexual offense recidivism among adult male sex offenders. It is composed of two scales, a 13-item reoffense risk scale and a 6-item violence scale. Developed and validated in Vermont. (McGrath, 1995)

Violence Risk Appraisal Guide (VRAG). An actuarial risk prediction tool which uses validated predictor variables to assess the likelihood of violent recidivism.

Need Assessment

Other assessment instrumentation includes:

Drug Abuse Screening Test (DAST).

Michigan Alcohol Screening Test (MAST).

Screening tools using psychological, social, and physiological signs and symptoms of alcohol and other drug use and abuse to determine appropriateness for referral or admission to treatment. A screening tool that requires minimal training.

Addiction Severity Index (ASI). An assessment tool for trained counselor use to gather relevant history including substance use and abuse. It uses a structured interview protocol to develop a diagnostic evaluation of substance abuse and coexisting conditions.

Hare Psychopathy Checklist (Hare PCL)

Criminal Sentiments Scale – Modified (CSS_M)

A broad measure of criminal attitudes. Subjects are asked whether they agree, disagree, or are undecided about 41 statements about courts, police and crime. There is fairly substantial research on the CSS – M and it is widely used.

Employment and Training Assessment

DET staff in the Career Resource Centers are trained in a variety of assessment instruments for vocational planning. Assessment of occupational aptitude, literacy, and mathematics as well as occupational interest provide indicators of success and need for intervention.

DET also provides eligibility determination for youth under the Workforce Investment Act, involving structured interview and review of supporting documentation.

Other agencies (Mental Health, Vocational Rehabilitation, Disability Determination) use their own assessment technology.

Appendix 5: Reentry Agreement

Vermont Department of Corrections

Conditional Re-entry Agreement / PAF Agreement / SCS Agreement / Furlough Agreement

Offender Name: _____ DOB _____

MPL Level: _____ Offenses: _____

Address: _____

Home Phone: _____ Work Phone: _____

- A. I will commit no act punishable by law.
- B. I will immediately report any contact with law enforcement to my supervising CSS or CO.
- C. I will not engage in threatening, violent or assaultive behavior.
- D. I will report to Department of Corrections staff at the time and place, and in the manner they require.
- E. I will not leave the State of Vermont without written permission of the Department of Corrections.
- F. I will allow the Department of Corrections to visit me in my home or place of employment or elsewhere at any time.
- G. I will not purchase, possess, or consume regulated drugs without a prescription from a licensed physician.
- H. I will work and reside as directed by the Department of Corrections. I will participate as directed in community service work, work crew or structured work search.
- I. I agree to submit my person, place of residence, vehicle or property to a search at any time of the day or night by the department of corrections staff.
- J. I will submit to photographing for ID purposes as directed by Department of Corrections.
- K. I will not drive a motor vehicle of any type unless approved by the superintendent.
- L. I will not use alcoholic beverages to the extent it interferes with my employment or the welfare of my family, myself, or any other person.
- M. I agree to assume all costs incurred for any medical and dental expenses while on furlough.

Special Conditions

The following special conditions may be applied on a case by case basis and must be based on the level of risk in the individual case. Each condition being imposed must be tied to a risk related issue. Check off and initial the conditions being imposed.

- 1. I will not purchase, possess, or consume alcoholic beverages.
- 2. I will submit to a urine screen or alco-sensor test at the request of a duly authorized agent of the Department of Corrections

3. I shall not be in the company of, contact or caused to be contacted anyone that is deemed inappropriate, by my supervising CSS. Including, but not limited to: _____
4. I will follow the provisions of the ORP as it pertains to the treatment program and its requirements
5. I shall attend all activity / programs as directed by the CSS that are risk related or are restorative in nature and participate to the satisfaction of the CSS
6. I shall reside in a place approved by the CSS. I will maintain safe access to my residence at all times (protection from dogs, open gates, etc.)
7. I will maintain a telephone with a private line within my residence
8. I have permission to drive a motor vehicle.
9. I will have no explosives or weapons on my person or in my residence. This includes but is not limited to hunting equipment, knives, guns, martial arts equipment, bows or any other object as determined by the Department of Corrections Staff.
10. If I am placed on a prescription drug, I will supply the name of the drug and the doctor's name to the Department of Corrections Staff with in 24 hours. I agree to sign and execute any release deemed necessary so the department of corrections staff can verify the source and purpose on medically prescribed drug. I agree not to abuse any drug prescription.
11. I will make regular payments towards any fine or restitution at the rate of -----per week or -----per month.
12. I will abide by any curfew imposed by the CSS. My curfew is _____.
13. I will remain at my residence unless I am specifically authorized by this agreement to be elsewhere.
14. I shall submit a written schedule of my activities as directed by my CSS
15. Other -----
16. See attached special conditions for Sexual Offenders - (refer to Sentencing Option Manual – section H)
17. See attached special conditions for Domestic Violence Offenders – (refer to Sentencing Option Manual - section I)

NOTICE

While you are on furlough status, PAF, CR, or FR, you are subject to being charged with the crime of escape in accordance with Title 13, chapter 35, Section 1501 if:

1. You are attempting to ellude or evade supervision, or
2. You leave the state without permission

Should I violate this agreement by traveling to any jurisdiction in or outside the U.S., where I may be found, I hereby waive extradition to the state of Vermont. I will not contest any effort by any jurisdiction to return me to the State of Vermont

My signature below is indication that I have had the conditions read and explained to me and I

understand them. I further acknowledge the waiver of extradition and with my signature acknowledge that I will not contest any effort to return me to Vermont.

Offender Date

My signature below is an indication that I have read and explained the above conditions to the offender. I have also explained to the offender the notice regarding escape and the waiver of extradition issues.

Staff Date

My signature below is an indication that I have authorized the offender indicated above to be released on conditional re-entry, PAF, or SCS.

Superintendent/Designee Date

Appendix 6: Evaluation Design

OUTCOME EVALUATION

Strategic Outcome: Victims' and Community Needs are Addressed

Outcome Dimensions	Outcome Indicators	Outcome Measures
Community Members Participate	Community members indicated that they were involved in structuring offenders' reentry plans, designed to ameliorate the harm.	Volunteer Survey
	Community members indicated that they had the opportunity to shape release planning as it affected the specific needs of victims and the community in general.	Volunteer Survey
Victims and/or Victims Organizations Participate	Percentage of active involvement of crime victims and victims' organizations in the reentry process.	VT DOC Management Report: Reentry Database <i>(Not currently in database)</i>
Victims Needs were Adequately Addressed	Victims indicated that their needs for safety have been addressed within the reentry plan.	Victim Survey
	Victims' material needs were addressed (Restitution paid on time).	<ul style="list-style-type: none"> ▪ Victim Survey ▪ Restitution Database
	Victims' emotional needs were addressed (apology, no contact without permission, attended mandated treatment or classes).	Victim Survey

Strategic Outcome: Communities are Involved

Outcome Dimensions	Outcome Indicators	Outcome Measures
Multisystem Partners Participate <i>(Substance Abuse Agencies, WIBS, Mental Health Agencies, Faith-Based Community, Law Enforcement Community)</i>	Percentage and type of multisystem agency involvement in the reentry process.	Partnership Survey

	Multisystem partners indicated that they participated in the release planning of offenders as it affected the specific needs of offenders, victims and the community.	Partnership Survey
Community Awareness and Support	Criminal Justice Members (judges, state's attorneys, defense bar, attorney general) are aware of and support the program and its principles.	Market research study by a neutral research firm. (Focus Groups, Broad based Polling)
	Vermonters are aware of and support the program and its principles.	

Strategic Outcome: Communities are Restored

Outcome Dimensions	Outcome Indicators	Outcome Measures
Community Harm is Repaired	Offenders who performed community service meet the needs of the community.	Offender Work Program Contract Survey
Community is Satisfied	Community sites, which receive community work service, were satisfied with the work performed.	Offender Work Program Contract Survey
	Community Board Members expressed satisfaction with their involvement in the program and its principles.	Board Survey

Strategic Outcome: Offenders are Responsible/Pro-Social

Outcome Dimensions	Outcome Indicators	Outcome Measures
Offenders Understand the Impact of their Behavior on their Victim(s)	Offenders who have completed the program were able to articulate how their crime has impacted their victim(s).	Offender Completion Interview Survey
Offenders Understand the Impact of their Behavior on the Community	Offenders who have completed the program were able to articulate how their crime has	Offender Completion Interview Survey

	impacted the community.	
Offenders Addressed Educational Needs	Educable offenders released from incarceration without a high school diploma and who spent more than two years under supervision obtained a diploma by the time their discharge is completed.	VT DOC Management Report: Education Database
	Percentage currently enrolled in school.	VT DOC Management Report: Education Database
Targeted Offenders, per the LSI-R, Successfully Addressed Substance Abuse Needs	Percentage of offenders currently active or who have successfully completed treatment assignment.	VT DOC Management Report: Reentry Database <i>(Not currently in database)</i>
Targeted Offenders, per the LSI – R, Successfully Addressed Mental Health Needs	Percentage of offenders currently active or who have successfully completed treatment assignment.	VT DOC Management Report: Reentry Database <i>(Not currently in database)</i>
	Percentage taking psychotropic medication as prescribed.	VT DOC Management Report: Reentry Database <i>(Not currently in database)</i>
Offender Obtained and Retained Long-term Employment	Percentage receiving state assistance.	VT DOC Management Report: Reentry Database <i>(Not currently in Database)</i>
	Percentage with a marketable trade or skill.	
	Percentage employed < 6 months, from date of release.	
	Percentage employed > 6 months to 1 year, from date of release.	
	Percentage employed > 1 year, from date of release.	
	Average number of jobs attained or held per offender.	
	Percentage consistently employed.	
	Percentage of homemakers.	
Offenders Maintain a Stable Residence	Percentage signed a lease agreement.	VT DOC Management Report: Reentry Database <i>(Not currently in database)</i>
	Percentage purchased a home.	
	Percentage residing within the same dwelling for < 6 months.	
	Percentage residing within the same dwelling for > 6 months to 1 year.	
	Percentage residing within the same dwelling for > 1 year.	
	Average number of moves per offender.	

Incremental Improvement in Cessation from Alcohol and Illicit Drug	Percentage of cessation from alcohol and/or illicit drugs while in treatment (<i>Assessed after 1 month in treatment and at 3-month intervals during treatment</i>).	VT DOC Management Report: Drug Testing Database
	Percentage of cessation from alcohol and/or illicit drugs after leaving treatment (<i>At intervals of 3 months, 1 year, and 2 years</i>).	VT DOC Management Report: Drug Testing Database
Civic Participation	Percentage of offenders who vote.	Offender Survey
	Percentage of offenders who participate in community activities (church groups, clubs, organizations).	Offender Survey
Offenders fulfill Family Responsibilities	Percentage who pay child support.	Family Court Records
	Percentage of offenders who have children in school who fulfill their parental responsibilities unless legally forbidden to so.	Offender Survey
Offenders are Law Abiding	Offenders in the program recidivate less than similar population of similar but different persons who did not participate in the program.	Court Disposition Data
Offender in the program abide by Departmental Rules and Regulations	Offenders in the program return to incarceration less on a sanction than similar population of similar but different persons who did not participate in the program.	Rules Violation Database
Ex-offenders are Productive, Responsible and Law-abiding Citizens	Ex-offenders have a stronger sense of community.	Offender Survey
	Ex-offenders are in school, employed, volunteer.	Offender Survey
	Ex-offenders do not commit new crimes.	Court Data

Appendix 7: Memoranda of Agreement

Memoranda of agreement are faxed separately. A listing of names and organizations follows:

M. Jane Kitchel, Secretary
Agency of Human Services
103 South Main Street
Waterbury, VT 05671-1001

John F. Gorczyk, Commissioner
Department of Corrections
103 South Main Street
Waterbury, VT 05671-1001

Anthony Bossi, President
VT Chiefs of Police
Rutland Police Department
108 Wales Street
Rutland, VT 05701

J. Robert Senning, Director
Offender Work Programs
Department of Corrections
103 South Main Street
Waterbury, VT 05671-1001

Kreig Pinkham, Coordinator
VT Coalition of Runaway and
Homeless Youth Programs
c/o Washington County Youth
Service Bureau
PO Box 627, 38 Elm Street
Montpelier, VT 05601

Robert E. Lucenti, Superintendent
Corrections Education
Department of Corrections
103 South Main Street
Waterbury, VT 05671-1001

Lee Suskin, Court Administrator
Office of the Court Administrator
111 State Street, Drawer 9
Montpelier, VT 05609-0701

David Tucker, Director
Office of Economic Opportunity
103 South Main Street
Waterbury, VT 05671-1801

Dinah Yessne, Director
St. Johnsbury Justice Center
1249 Main Street, Suite 103
St. Johnsbury, VT 05819

Michael A. Welch, Town Manager
Town of St. Johnsbury
1187 Main Street, Suite 2
St. Johnsbury, VT 05819

Lindera Cabral, RSM, Executive Director
Mercy Connections, Inc.
Colchester Avenue
Burlington, VT 05401

Jan S. Eastman, President
The Snelling Center
130 South Willard Street
Burlington, VT 05401

A. James Walton, Jr., Commissioner
Department of Public Safety
103 South Main Street
Waterbury, VT 05671-2101

Nathalie Bourg, Coordinator
Newport Community Justice Center
222 Main Street
Newport, VT 05855

Peter Butterfield, Coalition Chair
VT Coalition to End Homelessness
Central Vermont Community Action
35 Ayers Brook Road
Randolph, VT 05060

Shirley McGilvroy, Director
Women's Center of Hope
Salvation Army
64 Main Street
Burlington, VT 05401

Michael H. Bergeron, Sheriff
Caledonia County Sheriff's Department
1126 Main Street, Suite 2
St. Johnsbury, VT 05819

Steve McQueen, Chief
Winooski Police Department
27 West Allen Street
Winooski, VT 05404

Peter Clavelle, Mayor
City of Burlington
Room 34, City Hall
Burlington, VT 05401

Philip C. Kimball, Executive Secretary
Vermont Ecumenical Council
and Bible Society
285 Maple Street
Burlington, VT 05401

Steven M. Gold, Commissioner
Department of Employment and Training
5 Green Mountain Drive
PO Box 488
Montpelier, VT 05601-0488

Thomas E. Perras, Director
Department of Health
Division of Alcohol and Drug Abuse
PO Box 70
Burlington, VT 05402

William M. Young, Commissioner
Social & Rehabilitation Services
103 South Main Street
Waterbury, VT 05671-2401

Judy Rex, Director
VT Center for Crime Victim Services
58 South Main Street
Waterbury, VT 05676

Allen Evans, Executive Director
Human Resource Investment Council
Department of Employment and Training
5 Green Mountain Drive
Montpelier, VT 05602

2002-YO247-VT-RE

Appendix 8 -- GRADUATED SANCTIONS POLICY

		<p><u>Department of Corrections</u></p> <p><u>Agency of Human Services</u></p>	Number _____ Policy 371.16 Directive _____
Subject	Effective Date	Reviewed and Re-issued	Supersedes
GRADUATED SANCTIONS—371.16	03/01/02		12/4/00 & Directive 372.03 Dated 4/27/00
Recommended for approval by:		Authorized By:	
<p>Authority</p> <p>I. PURPOSE</p> <p>This directive describes a discretionary component of the Department’s system to sanction offenders under its jurisdiction who violate the law and/or conditions of their release while on Pre-Approved Furlough, Supervised Community Sentence, Furlough Reintegration, or Conditional Re-Entry.</p> <p><u>II. APPLICABILITY/ACCESSABILITY</u></p> <p><i>This directive applies to offenders in the custody of the Department of Corrections in the status of Pre-Approved Furlough, Supervised Community Sentence, Furlough Reintegration, or Conditional Re-Entry. Anyone may have a copy of this directive.</i></p> <p><u>III. DEFINITIONS</u></p>			

Graduated Sanctions: A system through which correctional staff may exercise alternatives to the formal violation process when sanctioning offenders on Pre-Approved Furlough, Supervised Community Sentence, Furlough Reintegration, or Conditional Re-Entry in instances in which the offender behavior constitutes an eligible violation. Supervising staff should use the sanctions listed in section "D" of this directive. If incarceration is used as one of the sanctions staff should refer to Appendix C to determine the amount of time to be served. Offenders who refuse to participate in a Graduated Sanctions process or activity are referred for formal process.

The Graduated Sanctions Process does not supersede the established practices of responding to offender immediate danger.

Violations Eligible for Graduated Sanctions as listed in Appendix B of this directive.

Formal Process: There are two types of formal process: The first is the use of the offender disciplinary system 410.01 as defined by directive, the second is a furlough revocation that would require a case review and or a case staffing.

Furlough Period: *The period of time an offender serves while on furlough that lasts from the point of initial furlough until released to another status.*

Notice of Suspension: A form that is used by the DOC to lodge an offender at a Correctional Facility pending a Graduated Sanction meeting or a Formal Process.

Conditional Re-Entry

Process by which a sentenced offender is released into a community for supervision while participating in programs that assist the reintegration process. The offender's ability to remain in the community under supervision is conditioned on the offender's progress in reentry programs.

IV. DIRECTIVE

A. Purpose of Graduated Sanctions

Offenders in the supervision status of Pre-Approved Furlough, Supervised Community Sentence, Furlough Reintegration, or Conditional Re-Entry who violate their conditions of release are held accountable by the Commissioner of Corrections through the designated supervising staff. The Graduated Sanctions System articulates a process whereby staff are empowered to impose sanctions on offenders as an alternative to the formal violation process described in directive 410.01 in instances in which: (1) the behavior constitutes a

minor violation as described by Appendix B of this directive, (2) the offender admits the violation, and (3) the offender wants to enter into an alternative process and agrees to accept sanctions for the violation. The Graduated Sanctions Process has the following purposes:

1. To enhance public safety, offender responsibility, and offender accountability, and to maximize efficient use of existing staff resources by creating a process that allows for timely resolution of minor offender rule infractions.
2. To maximize the opportunity for offender change by facilitating offender understanding of the nature and consequences of his/her undesired behavior and by providing opportunity for offenders to participate in restorative activity related to their behavior when appropriate.
3. To ensure that the sanction imposed on an offender for failing to follow conditions is commensurate with the behavior causing the violation and consistent with guidelines.
4. To ensure that an offender is maintained at the least restrictive level of supervision consistent with public safety.
5. To promote offenders' successful completion of their assigned program unless keeping them in the program conflicts with public safety.

B. Applicability of Graduated Sanctions

Each CCSC Superintendent shall create a written procedure outlining site specific expectations for utilization of Graduated Sanctions in concordance with this directive, inclusive of the oversight role of the Casework Supervisor.

There is no limit to the number of times that the graduated sanction process can be used with an offender.

When there are multiple violations during a single time period, each graduated sanction is assessed and applied separately; however, when incarceration is invoked, the total or cumulative incarcerative sanction may not exceed the time listed in Appendix C. This directive replaces 372.03 that dealt with furlough revocations. This directive now allows for a revocation to be imposed only after a case staffing occurs and as an outcome of the case staffing, a revocation was indicated.

C. Graduated Sanctions Process

1. Meeting Preparation Form

The Meeting Preparation Form is a useful tool for increasing offender awareness of his/her behavior and increasing offender acceptance of responsibility. It is primarily

applicable for behavior which in some way involves offender risk factors or risk control issues. In no instances is its use mandatory.

Following any eligible violation for which a Graduated Sanctions is being considered, the offender may be given the Graduated Sanctions Meeting Preparation Form for completion and return to the Department staff who is initiating the process. The staff should review the form and discuss it with the offender at the Offender Meeting.

2. Offender Meeting

The Offender Meeting is the meeting in which the supervising staff member, the offender, and whenever possible, the offenders significant others, and members of the community address the rule infraction and a sanctioning resolution. This meeting is a part of the casework process and efforts should be made to maintain a constructive, motivational approach. If the offender accepts the Graduated Sanction(s), there is no need to process a formal process.

3. Sanctioning Report

The Graduated Sanctions Sanctioning Report is part of the official automated record of the Graduated Sanctions activity and must be completed on each offender who is offered the Graduated Sanctions process and a signed printed copy maintained in the offender file. Typically it is filled out and executed during the Offender Meeting. If the offender accepts the Graduated Sanction(s), the offender will sign the form and will be provided with a copy.

A record of any graduated sanction imposed, to include even very minor ones, must be entered into the computer database.

Upon supervising staff determination that sanction(s) have been successfully completed, section F is filled out by the staff. A short narrative of circumstances of completion is included. The supervising staff indicates that the offender has been advised that the activity is considered completed.

If the offender refuses to participate in the process, or refuses to agree to the sanction(s), the supervising staff will fill out this section of the form documenting the determination of non-compliance and termination of Graduated Sanctions process. The supervising staff indicates that the offender has been advised of the non-compliance determination.

The expectation in such cases is that the staff will commence the formal process.

If the offender fails to satisfactorily complete a sanction activity, a meeting is scheduled in order to assess the reason for the failure and/or renegotiate the graduate sanction agreement. Subsequent failure to complete the activity will result in a formal hearing process.

D. SANCTIONS

Sanctions may be used individually or in conjunction with each other. Staff should attempt to include restorative justice principles when sanctioning offender behavior:

- Sanctions are related to the violation behavior
- If possible, sanctions help repair the damage caused by the offender
- Sanctions assist the offender in learning more about the consequences of the behavior
- Sanctions help the offender learn how to avoid repeating the behavior

Sanction may include, but not be limited to the following:

a. Apology (Verbal or Written)

b. Developing or Reviewing Violation Prevention Plan

c. Written Essay/Educational Activity/Thinking Report.

d. *Mediation.*

e. Victim/Offender Mediation.

f. Community Service Work of up to 14 hours on each violation. (Community Restitution work crews only available when there is a shortage of community restitution cases.)

g. Meeting with Reparative Board to discuss violation.

h. Loss of privileges (driving/recreation/visits/telephone, etc.)

i. Curfew/Restriction to residence.

j. Reprimand.

k. Report as directed for alco-sensor/employment search/other related activity.

l. Restitution and reimbursement commensurate with the loss suffered or damage done.

m. Incarceration

n. Other activities which meet the restorative justice principles listed above

NOTE: An offender who agrees to a sanction involving incarceration must understand that the signature on the Sanctioning Report Form indicates the waiver of his/her right to a furlough revocation process.

Offenders serving a sanction in a facility will not be denied return to the community for lack of housing. If this situation arises, refer to the directive 372.02, Furlough Residence Approval.

E. GRADUATED SANCTIONS PROCESS TIME FRAMES

From the perspective of promoting both public safety and positive offender change, it is important that staff respond to offender rule infractions in as timely a manner as practical.

The Graduated Sanctions process should be initiated at the earliest possible opportunity after the supervising staff has become aware of the infraction and decided to respond with Graduated Sanctions. It is also desirable that the sanctions process be short term so as not

to come to dominate overall client/offender interaction, casework and program participation.

If the Graduated Sanctions Meeting Preparation Form is being used, the supervising staff may require that the offender complete the form without delay so that the Offender Meeting can be held immediately. In some circumstances the supervising staff may determine that the offender will benefit instead from being given a period of up to 48 hours to complete the form.

The Offender Meeting must be held no later than 5 days after the Department of Corrections becomes aware of the offender behavior violation.

Non-incarcerative sanction activities should be designed so that they can be completed within 15 days of assignment. After this period of time the supervising staff must both determine that the offender has been non-compliant and make referral for formal process, or terminate the process without further action using section F of the Sanction Report.

F. FORMAL PROCESS TIME FRAMES

The formal process has two tracts. The first is the use of the Offender Disciplinary System that is governed by Directive 410.01. The second is a furlough revocation process that would require the case to be reviewed by the Director of Offender Classification. This review will be done prior to the expiration of any incarcerative graduated sanction imposed. If after this review, there is a need for further review, it will be done by the case staffing team. The team is comprised of Directors from central office, staff members from the facility where the offender is held and staff members from the field site that is requesting the revocation. These meetings are held monthly and cases that require this level of review will be scheduled for the next case staffing review day.

V. TRAINING METHOD

1. The Operating Directors will describe the new directive in detail to the CCSC Superintendents, Facility Superintendents, and CRSU Supervisors who will be expected to provide the same detailed description to their employees.
2. Policy Executives – The Director of Correctional Services will meet with the policy execs

and go over the new directive in detail. The policy execs will then be expected to describe the new directive in detail to their subordinates.

VI. QUALITY ASSURANCE PROCESS

1. CCSC CWS's are responsible for monitoring compliance and assuring that the directive is being followed.
2. *The office of Quality Assurance will review site offices and report on adherence to the graduated sanctions directive and assist in the development of outcome measures.*
3. The Director and the Assistant Director of Correctional Services and CCSC Superintendents will review graduated sanctions practices biannually to assure adherence to the graduated sanctions directive.
4. Examples of Measures:
 - a. Appropriate Documentation
 - b. Time Frames
 - c. Frequency of Sanctions by Offender / by Program
 - d. Violations by Type
 - e. Sanctions for Violations by Type
 - f. Is Sanction Restorative? / Are Victim – Community Needs Addressed when Appropriate?
5. An electronic database will be used to record the process.
6. Field Superintendents will be expected to review management reports to ensure compliance.

VII. FINANCIAL IMPACT

There is no apparent increase in financial impact with this directive.

VIII. REFERENCES

Title 28 V.S.A., Chapter 3, Section 102 b (1) and (2), and Section 102 c (1), (5), (8) and (17).

IX. RESPONSIBLE DIRECTOR AND DRAFT PARTICIPANTS

Jackie Kotkin, Assistant Director of Correctional Services
Raymond Flum, Director of Offender Classification



Appendix 9

Memorandum of Agreement

Between

The Vermont Department of Corrections

And

The Vermont Department of Social and Rehabilitation

Services

This memorandum of agreement between DOC and SRS is intended to promote case coordination of youth who are post charge adult court misdemeanants or felons and who may or may not be in the custody of SRS. Youth will range in age from 10-18. The agreement will guide DOC and SRS planning for recommended case disposition, physical custody status both in the pre-trial or detention phase and treatment and other services for the individual youth. DOC and SRS hope to minimize the length of time a youth is detained while ensuring he/she is held in the most appropriate level of detention and to provide the most effective treatment and management.

Procedure:

- 1) Local SRS and DOC representatives will meet and identify youth on either caseload who are post charge adult court misdemeanants or felons age 10-18.
- 2) For identified youth, SRS & DOC representatives will develop coordinated case plans with action steps and responsible parties identified.
- 3) Plan will be submitted to designated DOC staff and designated SRS staff, for review, funding exploration and implementation approval or denial.
- 4) The local or team review process may include department, legal and community resources.
- 5) Case plan reviews will occur periodically and modification and/or changes will be made in writing.

This agreement is subject to change, modification or termination upon agreement of the Parties.

S/John F. Gorczyk 11/13/01
John Gorczyk, Commissioner

S/William Young 11/26/01
William Young, Commissioner

SRS/DOC CASE COORDINATION PROCESS

Purpose

To promote case coordination including treatment approach and supervision between DOC/SRS for youth/young adults who, due to current or pending criminal charges, are brought to the attention of one of these agencies.

Categories of Cases

- A. A youth with no history in either department who is charged with a felony and is detained either in the juvenile or adult system.
- B. An SRS youth who is facing action in District Court or who is also on adult probation.
- C. A youth who is being considered for youthful offender status.

General Procedures

1. Designated DOC Central Office staff notifies designated SRS District Office staff when a 16 or 17 year old youth has been admitted to a correctional facility, Court and Reparative Services Unit or Community Correctional Service Center. Designated SRS staff notifies DOC Central Office designated staff of any current or prior SRS involvement with the youth. The information is communicated by DOC Central Office designated staff to the facility or field office designated staff.
2. Identified DOC supervisor will print a list of 16/17 year old cases quarterly and send to identified SRS supervisor. Upon review of this list, the SRS supervisor will identify youth in custody or on juvenile probation. This will allow SRS supervisor and caseworker to know which youth involved with SRS also have adult convictions and are under supervision of DOC. The information will be shared with DOC supervisor.
3. Each department will identify a contact person and their role and responsibility as it pertains to specific cases. The lead agency will be determined on a case by case basis. However, the following guideline can be utilized: for offenders younger than 18, the lead case manager shall be designated by SRS and for offenders 18 and older, the lead case manager shall be designated by DOC. CRSU needs to have a contact person as well as CCSC and SRS. Responsibilities need to be identified for supervising CSSs/Social Workers.
4. Each respective supervisor will notify the appropriate caseworker of the case in question. The caseworker will keep the supervisor informed as to the status and progress of the case. Should a treatment team need to be convened, the lead agency will schedule the meeting. Treatment team

representatives would be local education, mental health, substance abuse, and other members of the local interagency team.

5. The expectation is that the SRS caseworker and the DOC caseworker would have a direct contact within two weeks. They would discuss the case and share basic information about the youth and case plans. Many cases will not require intensive coordination of services and thus one conversation may suffice. Other youth may have complex needs and will benefit from regular communication between SRS and DOC. This may include the development and implementation of a joint case plan and treatment focus using the case planning format of the lead agency.
6. If either the SRS or DOC caseworker become aware that more intensive case coordination is needed they will review the case in depth with their supervisor. The Memorandum of Agreement signed by SRS and DOC Commissioners in November, 2001, serves as a guideline.

TO: SRS District Directors and Social Services Supervisors
DOC Supers and Supervisors

FROM: John Gorczyk, Commissioner, DOC, and William M. Young, Commissioner, SRS

DATE: August 28, 2002

SUBJECT: Joint Efforts with Youthful Offenders

Efforts over the recent years between SRS & DOC have resulted in some positive outcomes for youthful offenders. New legislation passed this year offers more opportunity for progress. In keeping with our commitment to continue to explore ways to best serve our youthful populations, please note the following:

- In November 2001, we signed a Memorandum of Agreement intended to implement case coordination in specific cases. We are attaching the agreement for your review and records. An SRS/DOC group led by Dick Smith and Steve Coulman have been meeting regularly to discuss the practical application of the agreement, cases of mutual concern in the Chittenden County area and other related issues. We will be following up in detail this fall. Any progress you can immediately make locally will be helpful.
- In July 2002, we signed a Memorandum of Understanding with the Northlands Job Corps Center to increase referrals to the Center and retention of admissions. We are attaching the Memorandum and Center referral process. We encourage you to share your experiences with the Center with Dick and Steve as they will continue to meet with Center representatives to identify issues and problem solve.
- During the past legislative session, Act 142 was passed as an attachment to the Appropriations bill. We are attaching a copy of the legislation for your review and records. Regarding disposition of youthful offenders, SRS and DOC are required to each open and maintain a file on the offender, develop a joint case plan with an identified lead case manager (under age 18 SRS, over age 18, DOC) coordinate services and share information.

For the immediate future, we are attaching a list of youthful offenders and the responsible SRS and DOC caseworkers in the system as of 7/1/02. We would ask that you meet and open a case file as appropriate, identify the lead case manager, identify the services and develop a joint case plan by September 15, 2002. Upon completion of the meeting, please let Dick Smith or Steve Coulman know.

This fall, we will be conducting training to focus youthful offenders, SRS/DOC initiatives and programs and the newly formed Commission.

Appendix 10 Risk Assessment Policy

<p>DEPARTMENT OF CORRECTIONS</p> <p>AGENCY OF HUMAN SERVICES</p> <p>STATE OF VERMONT</p>	<p>NUMBER</p> <p>_____ POLICY</p> <p>_____ DIRECTIVE</p> <p>_____ SUB-DIRECTIVE</p> <p>_____ PROCEDURE</p>
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<p>SUBJECT</p> <p style="text-align: center;"><u>Offender Risk Assessment</u></p>	<p>EFFECTIVE DATE</p> <p style="text-align: center;">Draft Date</p> <p style="text-align: center;">July 8, 2002</p>	<p>REVIEWED AND RE-ISSUED</p>	<p>SUPERSEDES</p> <p style="text-align: center;">New</p>
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<p>RECOMMENDED FOR APPROVAL BY:</p> <p>Richard Turner Director of Correctional Services</p> <p style="text-align: center;"><u>SIGNATURE</u></p>	<p>AUTHORIZED BY:</p> <p>John Gorczyk Commissioner of Corrections</p> <p style="text-align: center;"><u>SIGNATURE</u></p>
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I. Authority

28 V.S.A., Section 101(1)(2); 102(c)(1)(2)(3)(8)(9); 204; 254; 352; 502(a)(b); 601(10); 706; 721; 723; 724; 808.

II. Purpose statement

Offenders in the custody of the Vermont Department of Corrections present with a variety of recidivism profiles. They are heterogeneous and often present with complex behavioral disorders. Assessment procedures assist caseworkers and other staff to determine the appropriate level and duration of custody, program intervention needs, and other correctional services. Risk assessment occurs in the context of offense severity, and these two variables form the basis for offender classification and case management.

It is the policy of the Vermont Department of Corrections to conduct risk assessments on adjudicated offenders in its custody. These assessments shall be based on valid and reliable research-based measures and

instruments. Information derived from these procedures shall form the basis for case planning, classification, supervision level, release decisions and related case management functions.

III. Applicability/accessibility

All individuals and groups affected by the operations of the Vermont Department of Corrections may have a copy of this directive.

IV. Definitions

Risk Assessment – The use of standardized assessment measures combined with professional discretion to describe in qualitative and quantitative terms the level of criminal risk posed by a given offender at a specific point-in-time. It considers (a) nature, extent, and seriousness of an offender’s behavior, (b) the degree of threat presented to the community and/or victim. (c) the general dangerousness of an offender in different settings, and (d) the appropriate setting, intensity of intervention, and level of supervision needed.

Static Risk Factors – Those risk factors and variables which are either unchanging (eg. gender) or not subject to change as a result of treatment interventions (eg. age).

Dynamic Risk Factors – Those risk factors which are subject to change (eg. substance abuse) and which when successfully treated, are associated with lowered recidivism rates.

Screening Assessment Measures – Assessment tools and practices which occur during the early stages of intake to provide an estimation of recidivism risk and determination whether an offender should be considered for risk reduction treatment services and programs. These procedures are used primarily to identify potential candidates for community-focused programs and reparative probation. They may be forgone if more detailed assessment is either ordered by the court or administered by the Department. The Supervision Level Assessment (SLA) and Level of Service Inventory – Screening Version (LSI-SV) are examples. These may be used by criterion-trained casework staff at correctional facilities and field sites.

General Risk Assessment Measures – Assessment tools and instruments used to estimate and predict the overall likelihood of recidivism by an individual. This includes the Level of Service Inventory and the Violence Risk Appraisal Guide.

Specific Risk Assessment Measures – A range of tools and instruments used to assess specific criminogenic risk and need factors such as criminal attitudes, substance abuse, sexual deviance and domestic violence. They include, but are not limited to, the Criminal Sentiments Scales, the Addiction Severity Index, Vermont Assessment of Sex Offender Risk, the Static-99, the Spousal Assault Risk Assessment. These tools are generally administered by clinically trained professionals with specific training.

Actuarial Assessment Instrument or Measure – Classification of an offender using a set of known risk factors and variables. The rules by which the factors are combined are explicit and a single score or scores are derived to determine the offender's level of risk. Examples include the Violence Risk Appraisal Guide (V-RAG), the Rapid Risk Assessment of Sex Offender Recidivism (RRASOR), and the Static – 99.

Psychometric Properties – Characteristics of assessment measures which are considered in their deployment

- a. Predictive criterion validity - The extent to which an individual's future behavior on a criterion (eg.violent recidivism) may be predicted by assessment data.
- b. Concurrent criterion validity - The extent to which an individual's current behavior on a criterion is reflected by assessment data.
- c. Reliability – the extent to which a measuring procedure yields the same results on repeated trials or by different administrators of the measuring procedure.

Level of Services Inventory-Revised (LSI-R) – A 54-item measure of general recidivism risk which examines both static and dynamic risk factors. Administration of the LSI-R involves review of file material and an interview with the offender which takes from 30 – 45 minutes. The measure yields a total composite score which identifies the risk group (low, low-moderate, moderate, moderate-high, high) into which the offender falls and test sub-scores reflecting the degree to which recidivism-related variables are present or not present in a case. This is a measure of general risk (ie. any recidivism.) The LSI-R score predicts furlough/parole outcomes, success in correctional halfway houses, institutional misconducts, and recidivism. The LSI-R is administered by trained

casework staff at correctional facilities and field sites.

Level of Services Inventory- Screening Version (LSI-SV) – An eight (8) item screening measure of general recidivism derived from the full 54-item measure. It measures criminal history, criminal attitudes, criminal associates, antisocial personality, employment, family and substance abuse. While it is efficient and highly correlated with the longer LSI-R, it does not provide the degree of detail or case planning components found in longer version. It is used at case intake to provide an initial assessment and case assignment function. The LSI is administered by trained casework staff at field intake sites.

LSI-R Coordinating Group – A designated group of managers and casework staff who meet quarterly or as needed to review the implementation and administration of the LSI-R and make policy-related recommendations to EMT concerning facets of its use in the DOC. This panel will be chaired by the clinical director.

Criterion scoring tape – A video taped LSI-R which is shown to trainees for purposes of evaluating their skills in accurate scoring the LSI-R. Successful completion of this exercise is a requirement for certification by the DOC in the independent use of the tool.

Supervision Level Assessment (SLA) – A seven item screening measure which measures criminal history, violations of probation, substance abuse, and employment. It is used at case intake to provide an initial assessment and case assignment function. The LSI-R is administered by trained casework staff at field intake sites.

Psychopathy Checklist – Revised (PCL-R) – A measure of the construct of psychopathy. The instrument yields two factor scores (Factor 1 reflects interpersonal style, personality and characteristics; Factor 2 reflects behavioral history and prof and a Total Score from 0 to 40. Total scores above 30 reflect a high level of psychopathy and a commensurately increasing level of risk of both general and violent recidivism, poor prognosis for treatment success, institutional problem. This tool is administered by clinically trained professionals with certification in the use of the instrument. PCL-R ratings are made by a clinician or researcher on the basis of a semi-structured interview and a review of collateral information.

Violence Risk Appraisal Guide (VRAG) - An actuarial risk prediction instrument which uses a composite data sources to predict the risk of violent recidivism over seven and ten year periods. This tool is administered by clinically trained professionals.

Spousal Assault Risk Assessment (SARA) – A composite checklist of 20 risk factors which are predictive of spousal abuse among adjudicated batterers. This instrument includes victim input as well as assessment of perpetrator behaviors. This tool is administered by clinically trained professionals.

Rapid Risk Assessment for Sex Offense Recidivism (RRASOR) – A four-item actuarial risk measure used

aid the assessment of sexual recidivism risk among convicted adult male sex offenders. The RRASOR may be used by criterion-trained casework staff at correctional facilities and field sites. The RRASOR is one of three scores derived from the VTPSA Consolidated Intake form.

Static-99 – A ten item actuarial risk instrument similar to the RRASOR. Scores fall into one of seven levels reflecting increasing probabilities of reoffending sexual behavior. This instrument may be used by criterion-trained casework staff at correctional facilities and field sites. . The Static-99 is one of three scores derived from the VTPSA Consolidated Intake form.

Vermont Assessment of Sex Offender Risk (VASOR) – A risk assessment scale for adult male sex offenders originally designed to assist probation and parole officers in making placement and supervision decisions. It is composed of two scales: a 13-item reoffense risk scale and a 6-item violence scale. Scores on the reoffense risk scale fall into one of three levels reflecting the probability of sexual reoffending at five-year intervals. The violence scale was designed to assess the nature of an individual's violence history and offense severity. The interaction of these variables (reoffense risk and violence) are important factors in determining an individual's overall risk. . The VASOR is one of three scores derived from the VTPSA Consolidated Intake form.

Addiction Severity Index- Revised (ASI-R) – A measure which gathers a broad range of assessment data relevant to an offender's substance abuse, his/her treatment planning needs, and diagnoses. This is not a risk assessment measure per se; however, since substance abuse is a prevalent problem in corrections populations the ASI is likely to be administered and reported in the context of other risk assessment procedures. The ASI-R may be used by criterion-trained casework staff at correctional facilities and field sites.

V. DIRECTIVE

1. Risk assessment procedures will be conducted on all offenders placed in the custody of the commission of corrections. The tools and instruments used for a specific offender at a specific point-in-time will be determined by the nature and severity of the offense, the (proposed) sentence, the decision-points in the case, and related DOC protocols and directives. At a minimum, screening risk assessment will be conducted on all offenders entering the custody of the DOC as part of the initial interview.
2. Risk assessment will be conducted early in the intake process to assist the courts and the department to determine appropriate resource levels for offenders and prevent either the over-use or under-use of

correctional services, consistent with severity of offense considerations. Reassessments may be conducted at subsequent junctures in case planning where updated data will influence the course of the case plan.

3. There are three levels of risk assessment:
 - a. Screening risk assessment which includes the Supervision Level Assessment (SLA) and the Level of Services Inventory – Screening Version (LSI-SV). This is the most basic level of assessment and it serves as a triage procedure (the assigning of priority order to projects on the basis of where funds and resources can be best used or are most needed). CSS staff are trained and supervised to administer the tools and instruments, and this will be a sufficient level of assessment for most offenders who are assigned to CRSU placements. All new sentenced cases entering the DOC system shall receive this level of assessment to assist in determining eligibility for reparative probation and community justice services. Scores which exceed criterion levels on these instruments generally indicate a need for additional assessment as described below. The scores, and the subscores which form the basis for the total score, will be entered in the DOC centralized computer data base for the appropriate use of authorized personnel.
 - b. General risk assessment which includes the Level of Services Inventory – Revised (LSI-R). All cases deemed high or medium high on the screening risk assessment or referred for intermediate sanction program eligibility, presentence investigation, facility classification, conditional release review or parole summary shall have an initial LSI-R or updated LSI-R on file. Scores on the LSI are relatively stable; reassessment does not need to occur unless the most recent score on file is over one year old or significant new events occur in the case requiring revision of the case plan. LSI scores shall be integrated into classification, consistent with the requirements of Directive 371. Case planning and offender responsibility planning shall reflect data generated by the LSI in terms of treatment needs. The scores, and the subscores which form the basis for the total score, will be entered in the DOC centralized computer data base for the appropriate use of authorized personnel.
 - c. Specific or clinical risk assessment which includes the Spousal Assault Risk Assessment, the Addictions Severity Index, the Psychopathy Checklist, VASOR, RRASOR, Static-99, the Violence Risk Appraisal Guide and other instruments focusing on specific issues. Cases referred for this level of assessment require a more detailed assessment, examining specific risk factors, such as the specific risk of violence, spousal assault, sexual deviance or to determine an offender's degree of psychopathy. This may be necessary for determination of program eligibility (via the Intermediate Sanctions Report), classification designation, or other release decision. Summaries of the scores on these instruments will be added to the DOC centralized computer data base for the appropriate use of authorized personnel. Generally, however, details that form the basis for these scores will not be entered in the database. They will be retained as separate clinical files, protected under Directive 254.01 and 254.02.
4. The determination by a caseworker as to which offender gets what level of assessment at what point in time is governed by case specifics in the classification process: offense, point of contact in system, classification requirements, and court requests. Additionally, caseworkers shall use their discretion to determine when additional information is needed in a case and make referrals for acquiring that information accordingly. The decision to conduct a clinical risk assessment is governed by both the caseworker and designated program personnel with expertise in the use of these tools.

5. Risk assessment is a required activity assignment for correctional service specialists and their supervisors. Training, support and supervision in the use of risk assessment measures are critical to their proper, valid use. It shall be the responsibility of HRD and the clinical director to coordinate a program of training and support to ensure that these instruments administered by DOC staff (eg. SLA, LSI-SV, LSI-R, ASI) are being utilized correctly.
6. Each site shall have local access to support, training and consultation in the use of the certain measures such as the LSI-R and LSI-SV. The local trainers shall be supported and provided necessary skills and materials by HRD. It shall be the responsibility of superintendents to insure that local trainers are available and fully supported to accomplish their role. If through personnel changes a local trainer leaves his/her position, it is the responsibility of the superintendent to coordinate the development of a replacement through HRD.
7. Scores and other data from screening and general risk assessment measures shall be entered into the department's data base as part of the offender data management system. Access to this record shall be governed by related MIS directives and Directive 254.01 (Access to Offender Case and Criminal History and Treatment Information).
8. Practices involving the use of clinical risk assessment measures will be determined by the clinical director in conjunction with the directors of the specific programs (sex offender program, addictions treatment, cognitive restructuring, domestic violence, and mental health programs). The educational, experience and credentialing requirements for the use of the instruments varies. The clinical director will determine eligibility for the use of these instruments, including training.
9. Upon written request, the Department will release assessment score or summary forms to attorneys representing offenders. Due to the technical nature of these instruments, copies of the actual assessment score or summary forms should only be provided to attorneys or licensed clinicians representing the offender to limit misunderstanding and potential confusion over results. Notes taken during the assessment, interview forms and other documents are generally considered raw data and are not to be released in the absence of a court order or direction from the Legal Division.
10. The Department shall adopt procedures and practices to ensure the accuracy, reliability and proper use of assessment information, consistent with DOC Policy 371.

VII. References

Title 28 V.S.A., Sec. 701, 701(b).

DOC Directive 254.01 (Access to Offender Case and Criminal History and Treatment Information)

D'Amoura, D. (2001). Risk Assessment – An Overview. Association of Paroling Authorities International (APAI) Conference, Washington.

McGrath, R., Hoke, S., Livingston, J. & Cumming, G. (in press).

VIII. Draft participants

This directive was drafted by Thomas Powell, Ph.D., Clinical Director

Appendix 11 – program descriptions

Department of Corrections

Program Descriptions

Vermont Treatment Program for Sexual Aggressors (VTPSA)

commonly referred to as the Sex Offender Program

Purpose

To teach offenders how to accept, understand, modify and maintain permanent changes in behavior relating to illegal sexual behavior. To assist the offender in the difficult task of changing substantial aspects of his/her identity and behavioral repertoire.

Key Indicators

Reduced sexually predatory behavior and sexual recidivism.

Program Description

Recent studies indicate that 20% of American women and 10% of American men have been sexually abused as children. Additionally, between 10% and 25% of adult women are raped or sexually assaulted. The program addresses the range of factors that predispose and reinforce sexually aggressive behavior perpetrated by adjudicated men and women in Vermont.

The VTPSA was developed in 1982 by the Vermont DOC and has served as a model for many other jurisdictions. The clinical leadership team is frequently sought out to assist other state correctional systems develop their programs, and is nationally recognized for its leadership and scholarship in the field.

The treatment program is cognitive-behavioral and delivered primarily in group format, although extensive homework is required. The major goals of the program are to help offenders (1) accept responsibility for sexual offending, (2) modify distorted thinking patterns, (3) enhance victim empathy, (4) control deviant sexual urges, (5) improve social competence, (6) develop relapse prevention skills, and (7) develop community support systems. A thorough assessment of the offender precedes acceptance into the program. There must be acknowledgement that the offense occurred and a willingness to begin the change process. Offenders with serious mental illness, mental retardation or high levels of psychopathy are generally not admitted. Treatment may require adjunctive therapy such as medication, substance abuse intervention or cognitive skill training. There is a small treatment capacity for female sex offenders at the Central (Dale) Correctional Facility.

The institutional program is provided to inmates assigned to a specialized unit where they live and participate in the program. They perform work assignments, eat and have leisure activities with the rest of the inmate population, although these men are often ostracized because of their offenses. The program last between two and five years. The treatment team discusses progress and ongoing needs and makes recommendations to the superintendent concerning readiness for release for each offender. The community sex offender program for furloughees and parolees meets weekly and may continue over several years, focusing on relapse prevention. The institutional and community programs are a continuum and adhere to common philosophy and practices. Both programs are mandatory for participants, as detailed in their probation warrants, furlough agreements, or case plans. Supervision of the offender is ideally tailored to his/her known risk patterns, which are addressed routinely in the group process.

The program is delivered by licensed mental health professionals under contract to the Department of Corrections. Supervision by DOC staff is closely coordinated with treatment so that offender's risk profiles are incorporated into the supervision strategy.

Locations

Northwest State Correctional Facility, Southeast State Correctional Facility, Central Correctional Facility for Women, and nine community corrections service centers (probation/parole/furlough field sites).

Co-Pay Requirement

Offenders are required to pay \$30 per week for the program. Insurance is accepted.

Point in Time Enrollment

Northwest State Correctional Facility	36 inmates
Southeast State Correctional Facility	32 inmates
Central Correctional Facility for Women	5 inmates
9 Community Corrections Centers	300 furloughees

Outcomes

A recent Vermont study (2001) indicates a 5% recidivism rate over six follow-up years for VTPSA institutional program completers in contrast to a 30% recidivism rate for non-completers or treatment refusers.

FY02 Costs (male offenders)

	<i>Contractual Expenditures</i>	<i>State Employee Costs</i>	<i>Totals</i>
<i>Institutional Program sites</i>	<i>\$262,000</i>	<i>\$25,700</i>	<i>\$287,700</i>
<i>Community Corrections sites</i>	<i>\$189,500</i>	<i>\$49,100</i>	<i>\$238,600</i>
<i>Totals</i>	<i>\$451,500</i>	<i>\$74,800</i>	<i>\$526,300</i>

Costs per treatment episode (assuming a two year duration for the treatment episode):

Institutional Treatment Cost: \$8,462 per inmate.

Community Treatment Cost: \$1,591 per offender.

Cognitive Self-Change Program (CSC)

Purpose

To teach offenders how to recognize, identify, control and alter attitudes, beliefs and thoughts supportive of criminal activities.

Key Indicators

Reduced recidivism, reduced disciplinary infractions, enhanced self-awareness and self-monitoring, and improved social functioning.

Program Description

Research as demonstrated that offenders engage in a variety of antisocial thinking styles and content that promote criminal conduct and discourage prosocial activities. We identify specific attitudes, thoughts and beliefs found in offender groups by confrontation of those thoughts and development of alternative prosocial thought patterns. Offenders participate in highly structured groups where members examine each others' self-perceptions and behavior, learn to identify distortions, and develop new cognitive repertoires. The program lasts from six to 24 months and is facilitated by DOC staff and contracted clinicians with expertise in cognitive methods.

There are five basic steps involved in the program: (1) identify the offender's particular thinking habits that lead to criminal behavior, (2) explore the scope and consequences of these ways of thinking, (3) learn ways of controlling and changing the offender's patterns of thinking, (4) practice repeatedly, and (5) develop relapse prevention strategies. This program was developed by the Vermont Corrections in 1987 and has since become a national model upon which many other states have built similar or identical programs.

The institutional variety of the program typically involves an entire living unit, and the program is integrated into all aspects of the inmates' lives with daily meetings and assignments. The community version for furlougees and parolees meets three times each week with daily homework obligations. Both programs are mandatory for participants as detailed in their case plans. Supervision of the offender is ideally tailored to his/her known risk patterns, which are addressed routinely in the group process.

Locations

Northwest State Correctional Facility, Northern State Correctional Facility, Southeast State Correctional Facility and seven community corrections service centers (probation/parole/furlough field sites).

Co-Pay Requirement

Under consideration.

Point in Time Enrollment

NWSCF	54 inmates
NSCF	25 inmates
SESCF	25 inmates
CCSC's	150 furlougees

Outcomes

Vermont study (1996) indicates a 20% reduction in recidivism for men who completed the program compared with a matched sample of men who did not participate. A Michigan study of a program modeled after Vermont's CSC revealed offenders in the program had significant lower rates of disciplinary infractions and assaults in that state's prison system. We are currently piloting a cognitive assessment package to measure changes pre and post program.

FY02 Costs

	<i>Contractual Expenditures</i>	<i>State Employee Costs¹</i>	<i>Totals</i>
<i>Institutional Program sites</i>	<i>\$76,000</i>	<i>\$382,600</i>	<i>\$458,600</i>
<i>Community Corrections sites</i>	<i>\$93,000</i>	<i>\$196,000</i>	<i>\$289,000</i>
<i>Totals</i>	<i>\$169,000</i>	<i>\$578,600</i>	<i>\$747,600</i>

Costs per treatment episode (assuming a one year duration of the treatment episode):

Institutional Treatment Cost: \$4,410 per inmate.

Community Treatment Cost: \$1,927 per offender.

Domestic Abuse Intervention Program (IDAP)

Purpose

To teach offenders how to recognize their patterns of abuse over partners and modify the thoughts and behaviors that contribute to this abuse.

Key Indicators

Reduced violence toward women.

Program Description

Domestic violence is a prevalent social ill with profound ramifications for women and children. The Vermont DOC provides an intensive services intervention program for furloughees which teaches men to recognize their patterns of power and control over women and develop alternative behavior patterns. The program uses group format in which men carefully track the assumptions and progression of actions which culminate in assaults upon women. They increase their awareness of the damage they cause to women and children who witness their verbal and physical aggression. They receive extensive feedback from their peers when they rationalize or minimize their conduct.

Groups are available through all nine community corrections services centers. There are typically eight to ten men in each group, co-facilitated by contracted clinicians from the community and DOC caseworker staff, all of whom have received specialized training in the Duluth Model of intervention with domestic abusers. It is a cognitive-behavioral curriculum with group feedback and process, DOC communication with victims to verify offender compliance, and zero tolerance for continuing abuse of victims. Offenders are typically enrolled in the program for nine months.

In addition to the Department-sponsored IDAP program, there also is a Batterer's Intervention Program (BIP) available at numerous sites throughout the state. This is an educational program that is generally

¹ DOC employees involved with this program typically engage in a range of job activities related to the cognitive self-change program, some of which are clinically oriented, some of which are case management oriented. These figures represent a prorating of those aspects of the employees' overall job which are CSC program-related.

available for less serious offenders who are motivated to change. This program is administered by local non-profit organizations and is not affiliated with the DOC.

We are planning to develop a domestic violence module within the cognitive self-change program at the Northwest State Correctional Facility to provide specific intervention for incarcerated men in that program.

Locations

All community corrections service centers (probation/parole/furlough field sites).

Co-Pay Requirement

\$10 per group.

Point in Time Enrollment

CCSC's 100 furloughees

Outcomes

None completed. The program is in the initial stages of evaluation by the forensic psychology masters program at Castleton State College.

FY02 Costs

	<i>Contractual Expenditures</i>	<i>State Employee Costs</i>	<i>Total</i>
<i>Institutional Program sites</i>	<i>none</i>	<i>none</i>	
<i>Community Corrections sites</i>	<i>\$287,815</i>	<i>\$144,000</i>	<i>\$431,815</i>

Costs per treatment episode (assuming a nine month duration of the treatment episode):
 Community Treatment Cost: \$3,238 per offender.

Corrections Substance Abuse Services

Purpose

To develop abstinent, sober and drug-free lives among Vermont offenders. To reduce the social, economic and criminal impact of substance abuse in the lives of victims, perpetrators and the community.

Key Indicators

Elimination or reduction of substance abuse, reduction in crime resulting from substance abuse, development of employment skills, sober leisure skills, positive peer culture, reduction in antisocial behaviors, attitudes and beliefs.

Program Description

Substance abuse is a prevalent problem for Vermont offenders and offenders nationally. In data collected in 1992, we found rates of alcohol and/or drug abuse to be in the range of 86% for Vermont inmates. This is a critical area that we address both institutionally and in the community.

In 1997 the Pathways Program was initiated at the Northern State Correctional Facility in Newport. This therapeutic community is funded by a federal RSAT grant and as of 1/1/02 we will have 120 male inmates enrolled in this residential treatment program. A sister program (Genesis) at the Northwest State facility in St. Albans is being consolidated with Pathways at the end of this year.

The program is designed around the principles of therapeutic community in which the members learn to depend upon other members of the community and develop a communal identity in which sobriety and freedom from drugs is the paramount cause. Additionally, the program uses principles found in the cognitive self-change program and relapse prevention methods to deal with criminal attitudes and the constant risk of relapse into "old" ways of thinking and acting. The program is 6-24 months and upon graduation the inmate joins an intensive community-based program as part of his release plan.

Women incarcerated at the Central Correctional Facility (Dale) in Waterbury enroll in an intensive substance abuse program, which is delivered in conjunction and coordination with other treatment offerings. Additionally, there is a substance abuse curriculum offered to male inmates at the regional facilities. This meets weekly and gives inmates serving short sentences for violations of furlough the opportunity to examine their barriers to success. AA and NA groups are available at all nine correctional facilities. This is a voluntary activity for inmates.

The Department's community program is called the Intensive Substance Abuse Program (ISAP) and it is operational at all nine community corrections sites. There are currently 23 groups of eight to ten sentenced offenders (male and female), each meeting three times per week for 1½ hours. The average length of treatment is six to nine months with aftercare for another three months. These participants receive a high level of supervision by corrections staff, including drug and alcohol testing, curfew requirements, and prohibitions on substance abuse related activity. The group process is governed by policies and practices intended to promote consistency across sites and insure quality of service. Adjunctive activities include AA, NA, employment training, social skills building and many other supportive interventions. Each group is facilitated by a contracted provider in the local community, who is a licensed alcohol and drug abuse counselor (LADC). Each group is co-facilitated by a DOC caseworker, many of whom have become LADC's through the DOC's innovative staff development program.

The Department recently released an RFP (Request for Proposals) inviting interested parties to submit proposals for a statewide contract for ISAP. This offering includes additional services: Youth Support Services for youthful offenders with substance abuse problems and Transition to the Community for offenders who are being released from term of incarceration. Funding for this is expected to come from Medicaid receipts and federal grants currently available.

Locations

Northern State Correctional Facility, Central Correctional Facility (Dale) in Waterbury, and nine community corrections service centers (probation/parole/furlough field sites).

Co-Pay Requirement

Offenders in ISAP are required to pay \$10 per group.

Point in Time Enrollment (effective 1/1/02)

Northern State Correctional Facility

120 inmates

Central Correctional Facility for Women 20 inmates
 9 Community Corrections Centers 200 furlougees

Outcomes

Facility Treatment – An analysis of the 59 completers of the Pathways program (enrolled between 1997 and present) found that 83% had not been returned to custody for any reason, 10% were returned for probation/furlough/parole technical violations, and 7% were convicted of a new offense. We plan to enhance this tracking during the coming year.

Community Treatment - An analysis of ISAP treatment completers from the period 1994 through 1998 was conducted. Although there was no comparison or control group, we found that there was a steep decline in recidivism rates: 17 % the first year post-treatment to 5% the second year out and 3% and 1% in years three and four. The conclusion we draw is that the substance abuse cycle is effectively broken if the offender remains substance free for a year post-ISAP.

FY02 Costs (male offenders)

	<i>Contractual Expenditures</i>	<i>State Employee Costs²</i>	<i>Totals</i>
<i>Institutional Program sites</i>	<i>\$332,700</i>	<i>\$109,000</i>	<i>\$441,700</i>
<i>Community Corrections sites</i>	<i>\$239,800</i>	<i>\$283,000</i>	<i>\$522,800</i>
<i>Totals</i>	<i>\$572,500</i>	<i>\$392,000</i>	<i>\$964,500</i>

Costs per treatment episode (assuming a one year duration for the treatment episode):

Institutional Treatment Cost: \$3,155 per inmate.

Community Treatment Cost: \$2,614 per offender.

² DOC staff receive extensive training, education, support and supervision enabling them to earn the requisite qualifications to sit for the LADC licensing exam. Twelve DOC employees have earned this credential to practice, 12 more are apprentices on a credentialing track, and another 12 are in preliminary stages of training.

Appendix 12
RFP to Community Justice Centers

SUMMARY

Safer Communities Through Restorative Justice

Request for Proposals

Introduction

The Vermont Agency of Human Services AHS is seeking proposals from Vermont communities to explore local restorative justice options or establish Community Restorative Justice Centers. Funding and technical assistance are available.

With community interest and leadership, a wide range of local restorative processes and methods are available, including applications related to school discipline, neighborhood disputes, family conflict, and town ordinance violations, as well as providing an alternative to traditional law enforcement and adjudication for both juvenile and adult offenders. Restorative processes also enable citizen and victim stakeholders to participate in planning for the release and reintegration of incarcerated offenders into the community.

What is the Role of the State?

Citizens govern plan, design, implement, and deliver the restorative services. The State provides the technical assistance and support to help in planning and funding for specific restorative programs for juveniles and adults referred from local law enforcement and the courts. The State provides training for citizens involved in restorative processes and shares information about effective strategies and programs as well as on the achievement of outcomes. In this regard, the State provides quality assurance and equity review among local programs, but does not direct their activities.

The State advances the growth of restorative justice practices by disseminating materials and providing both technical and fiscal assistance. The State also collects information on the practices and outcomes of local efforts and assists communities in the evaluation of those outcomes.

Funding available:

Three types of grants are offered:

- **Restorative Justice Planning Grants.** These grants, generally not exceeding \$5,000, are available to assist communities in exploring restorative justice activities and to develop a proposal for implementing a Community Restorative Justice Program or establishing a Community Restorative Justice Center. While not a necessary step, it is recommended that communities begin at this level. The State will provide technical assistance and information to help communities prepare these requests.
- **Community Restorative Justice Program (CRJP) Grants.** These grants are available to assist communities in implementing a Community Restorative Justice Program in locations where a Community Restorative Justice Center is not feasible. Generally, this application applies to smaller communities or communities that wish to implement local restorative processes gradually. These grants do not exceed \$15,000.
- **Community Restorative Justice Center (CRJC) Grants.** These grants are available to assist communities in establishing Community Restorative Justice Centers. The State's contribution for a Center will depend on the size of the operation; however, the normal grant award will range from \$35,000 to \$50,000.

All grants require a 25% match of State funds. That is, if \$1,000 in State funds is requested, the community must provide \$250 in matching funds, either in cash or in kind contribution of services.

Eligibility: Who should apply?

While community partnerships may apply for planning grants, major grants will only go to community governments. This funding is intended to establish community responsibility for restorative justice activities. All applicants must include letters of approval from select boards or city councils.

Community partnerships should reflect collaboration between local government, schools, law enforcement, human services, victim services and criminal justice. Preference will be given to applications from communities which have implemented community-policing strategies and which have active juvenile justice teams.

Community Restorative Justice Program/Center Grant Application

Requirements:

The application process is the same for both Community Restorative Justice Program and Community Restorative Justice Center grants. Applicants should state whether they are seeking a CRJP or CRJC grant. Generally, CRJP applicants do not require the same level of administrative support to implement their proposed program(s). For instance, a citizen board may convene in a town's municipal building, library, school or other existing community location rather than renting office space for this purpose or establishing an independent physical location. Communities are encouraged to be creative in seeking cost efficiencies while undertaking implementation of a CRJP or CRJC capacity.

FIVE PURPOSES:

- 1- **Services to Existing Post-Sentence Criminal Justice Programs:**
Recruit, train, and support citizen volunteers to serve community restorative justice programs that handle adult and juvenile post-adjudication cases. Examples of such programs include Reparative Probation and the Offender Re-entry Program.
- 2- **Pre-Arrest Programs:**
Develop community restorative justice programs that allow for diversion of offenders, both juvenile and adult, from the criminal justice system. These programs, known as Police Supported Community Interventions, handle cases directly referred by police agencies, rather than by the State's Attorney or the court.
- 3- **Victim Support:**
Develop services and programs for victims of crime such as the Victims First Response Program piloting at the Burlington Community Justice Center.
- 4- **Prevention Programs:**
Develop restorative justice strategies and programs that promote community awareness, improve citizen understanding and enhance public safety. Prevention programs include both education and dispute resolution services. Prevention programs typically pursue resolution of a variety of conflicts and disputes that occur in the community, such as school truancy and discipline, ordinance violations, and individual interpersonal disputes among individuals or between individuals and their government.
- 5- **Forum for Identifying and Solving Community Problems Related to Crime and Conflict:**
Assist citizens in identifying the issues regarding crime and community conflict that are important to them, such as use of illegal drugs, crime on the streets, unsafe neighborhoods, or racial tension, and help the community to resolve these issues using restorative methodologies.

Only Vermont towns or cities are eligible for CRJP or CRJC Grants. However, cities and towns may contract with agencies to operate the CRJP or CRJC programs. The Agency CRJC Grants are awarded to cities/towns who have sufficient population to make it cost effective to have a Justice Center.

Commitment to Assurances:

Applicants must acknowledge their commitment to the following assurances:

Diversity: the applicant assures that governance structures established in the Center will reflect the diversity of the community and the target populations.

Youth Representation: the applicant assures that the governing board of the Center will have at least two members under the age of 22.

Efficient Use of Funds: the applicant assures cooperation with other neighboring communities in the utilization of funds to best distribute service and resources.

Restorative Justice Principles: the applicant assures that programs will follow restorative justice principles as outlined in the attached document.

Bibliography of Useful Information:

1. "Community Profiles", a publication of the Agency of Human Services.
2. "Offenders under Supervision or in Custody by Towns", available from the Department of Corrections.
3. "Facts and Figures", a publication of the Department of Corrections.
4. "School Completion Rates" and "Disciplinary Data", available from the involved school district and Statewide comparisons from the Department of Education.
5. "Neighborhood Efficacy", a study published by The National Institute of Justice.
6. Housing status and availability surveys and Employment Status Report, available at the Agency of Commerce and Community Development, and the Department of Employment and Training respectively.

Application procedures:

Completed typed applications should be forwarded to:

David Peebles, Director of Community Justice
Vermont Department of Corrections
103 South Main Street
Waterbury, VT 05671-1001

Telephone: 802-241-2261
Fax 802-241-2565

E-mail dpeebles@doc.state.vt.us

**Vermont Restorative Reentry Partnership Program
Budget Detail Worksheet**

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
1. Project Administration		
Project Accountant	12 mo. @ \$31,013 X 20%	6,203
	12 mo. @ \$33,550 X 20%	6,710
	12 mo. @ \$34,557 X 20%	6,911
Admin. Assistant B	12 mo. @ \$27,695	27,695
	12 mo. @ \$30,029	30,029
	12 mo. @ \$30,930	30,930
SUBTOTAL		108,478
TOTAL SALARIES		108,478

Fifty percent of the funds for each of the above positions will be Department of Labor funds and 50% will be Office of Justice Program funds.

Justification: See letter C below.

Federal Request:	\$108,478
State Share	

B. Fringe Benefits Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
Project Administration		
Project Accountant	12 mo. @ \$ 9,662 X 20%	1,932
	12 mo. @ \$11,315 X 20%	2,263
	12 mo. @ \$13,012 X 20%	2,602
Admin. Assistant B	12 mo. @ \$ 9,322	9,322
	12 mo. @ \$10,694	10,694
	12 mo. @ \$12,084	12,084

SUBTOTAL 38,897

TOTAL FRINGE \$38,897

Fifty percent of the funds for each of the above positions will be Department of Labor funds and 50% will be Office of Justice Program funds.

Justification: See letter C below.

Federal Request: \$38,897
 State Share

C. Travel- Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.) Show the basis of computation, (e.g. six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for training should be shown separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known.

Traveler	Purpose	Computation	Cost
Victim Coord.	480 Panels	420 mtgs. x 150 m. x \$0.365/mi	22,995
Panel Members	480 Panels	2 x 420 mtgs. x 150 m. x \$0.365/mi	45,990
Director	Conferences	4 x 1,700/trip (air, meals, lodge)	6,800

TOTAL TRAVEL \$75,785

Fifty percent of the funds for each of the above will be Department of Labor funds and 50% will be Office of Justice Program funds.

Justification: The costs for Personnel, Fringe and Travel have been allocated to Adult funds (OJP) and Labor funds (DOL) at a rate of 50% each. This will allow maximum use of Substance Abuse, Mental Health and Juvenile Justice funds in the program.

Federal Request: \$75,785
 State Share -0-

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the “supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment should be listed in the “Contractual” category. Explain how equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
Video Conferencing	8 Centers @ \$10,000	80,000
TOTAL EQUIPMENT		\$80,000

(OJP)

Justification: This cost has been allocated to Adult funds (OJP) and will be used to install video conferencing to allow creation of the offender reentry plan and case management which are both Phase I items. The communication between offenders who are in prison and the reentry panels who are in the communities of origin will require frequent meetings. Vermont’s prisons are not centrally located – this technology will facilitate the encounters needed for successful reentry.

Federal Request:	\$80,000
State Share	-0-

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
N/A		

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program officer before budgeting funds in this category.

Purpose	Description of work	Cost
N/A		

G. Consultants/Contracts

Consultant Fees:

Consultation and Case staffing (3 x 420 offender meetings x 2 hrs x \$50/hr x 2 specialists)

Subtotal Consultants	\$252,000
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<i>Consultant Expenses:</i>	N/A
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Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
1. Community Awareness Contract	\$70,000
2. Conveners Planning Book	14,840
3. Leadership Training	40,000
4. Website Development	<u>20,000</u>

Subtotal Contracts **\$144,840**

TOTAL CONSULTANTS AND CONTRACTS **\$396,840**

Case Staffing – OJJDP \$25,000; OJP \$115,420; DOL \$111,580
 Community Awareness Contract – OJP \$70,000
 Conveners Planning Book – OJP \$14,840
 Leadership Training – OJP \$40,000
 Website Development -- OJP \$20,000

Justification: The costs for this category have been allocated as follows:

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- 1) Juvenile Justice, Adult Funds and Labor Funds to be used for reentry panels that will meet with the offenders prior to reentry to assist in the plan for treatments, housing, employment, etc., as well as case management.
 - 2) Community Leadership and Awareness; Planning Book; Leadership Training and Website Development have been allocated to Adult Funds. All items relate to the creation of offender reentry panels and community involvement.

Other – Grants to provide operational support for Community Justice Centers. Costs will include the following:

Administrative support services, Victim services, Travel, Rent, Telephone, and copying.

8 sites x \$50,000 phased in over 3yrs. \$400,000

Offender Services Calculation is 320 x \$2,500 = \$800,000

Offender Credit Union \$100,000

Budget Summary. When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

<i>Budget Category</i>	<i>Amount</i>
A. Personnel _____	\$108,478
B. Fringe benefits _____	38,897
C. Travel _____	75,785
D. Equipment _____	80,000
E. Supplies _____	0
F. Construction _____	-0-
G. Consultants/Contracts _____	396,840
H. Other _____	1,300,000
Total Direct Costs _____	\$2,000,000
I. Indirect Costs _____	-0-
TOTAL PROJECT COSTS _____	\$
Federal Request _____	\$2,000,000
State Contribution _____	\$

Endnotes

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- ¹ Title 28, Section 1, Vermont Statutes, Annotated.
 - ² Mark Fleischer and Jesse L. Kreinert, issue editors, "Employment and Crime: An Overview and Redefinition of Critical Issues," in *Corrections Management Quarterly*, Vol 5 no.4 Aspen, Fall 2001.
 - ³ Mark Pogrebin, et al, "The Collateral Costs of Short-term Jail Incarceration: The Long-term Social and Economic Disruptions," in *Corrections Management Quarterly*, Vol 5 no.4 Aspen, Fall 2001.
 - ⁴ John Doble, "Crime and Corrections: the Views fo the People of the State of Vermont," (1994, 1995, 1998, 1999, 2000),
 - ⁵ John Doble and Judith Greene, *Attitudes towards Crime and Punishment in Vermont: Public Opinion about an Experiment with Restorative Justice*; Report to National Institute of Justice, Grant #98-IJ-CX-0028, (March, 2000)
 - ⁶ Don Andrews and James Bonta, *The Psychology of Criminal Conduct*,
 - ⁷ Vermont Statutes Annotated, Title 28, sec. 721 (amended 2001)
 - ⁸ Vermont Department of Corrections, Classification Policy 371 and attached directives, Waterbury, VT 2002.
 - ⁹ John Braithwaite, "Restorative Justice: Assessing Optimistic and Pessimistic Accounts," in *Crime and Justice: A Review of Research*, Vol. 25, Univ. of Chicago Press, 1999.
 - ¹⁰ Jeffrey Morenoff, Robert Sampson, & Stephen Raudebush, "Neighborhood Inequality, Collective Efficacy, and the Spatial Dynamics of Urban Violence" in *Criminology*, Vol. 39, No. 3 (August 2001).
 - ¹¹ Todd Clear and David Karp, *The Community Justice Ideal*, Toronto, Westview, 1999.
 - ¹² Norval Morris and Michael Tonry, *Between Prison and Probation*, New York, Oxford, 1990 created the concept of intermediate sanctions as an alternative to full incarceration on the "front end." This has manifested as house arrest, electronic monitoring, and intensive supervision practices. The legal status of Conditional Reentry creates a reduced level of due process, allowing the portion of the sentence served in the community to be more restrictive than parole.
 - ¹³ John Laravee, "Returning Inmates: Closing the Safety Gap," *Corrections Compendium* 26 (6) 2001.
 - ¹⁴ Zajac, G., "Offender Treatment Programs: What Works and How," *Research in Review*, 4(1) 2001.
 - ¹⁵ US Census Bureau Web Site
 - ¹⁶ Federal Bureau of Investigation, *Uniform Crime Report, 2000*. Washington, DC, 2001
 - ¹⁷ Morgan Quitno, Inc. *Crime State Rankings, 2002*,
 - ¹⁸ *Scientific American*, December, 2001.
 - ¹⁹ George and Camille Camp, *Corrections Yearbook 2001*
 - ²⁰ Bureau of Justice Statistics, "Probation and Parole, 2001." Washington, DC, 2001
 - ²¹ USDA Web site, <http://www.ezec.government/News/reap.html>
 - ²² Sally Campbell, project director, Study Circles, Inc., Pomfret, CN
 - ²³ Jane Kitchel, Secretary, Vermont Agency of Human Services, *Vermont Human Service Outcomes*, Waterbury VT 2001.
 - ²⁴ Vermont General Assembly, Section 83 of No. 61 of the Acts of 2001.
 - ²⁵ Anne Seymour, *The Victim Role in Offender Reentry: A Community Response Manual*, Lexington, KY, American Probation and Parole Association, 2001.
 - ²⁶ Robert Wright, *Non-Zero: The Logic of Human Destiny*; New York, Pantheon, 2000.
 - ²⁷ Robert Axelrod, *The Evolution of Cooperation* Basic Books, 1984.
 - ²⁸ Mikhail Gorbachev, *Perestroika*, New York, Harper, 1987.
 - ²⁹ The Reinventing Probation Council; *Broken Windows Probation*, American Probation and Parole Association and the Manhattan Institute, New York, 2000.
 - ³⁰ Michael E. Smith, "What Future for 'Public Safety' and 'Restorative Justice' in Community Corrections." *Sentencing and Corrections*, No. 11. Washington, DC, National Institute of Justice, June 2001.
 - ³¹ John Braithwaite, *Crime, Shame, and Reintegration*. Cambridge University Press, NY, 1989.
 - ³² Don Andrews and James Bonta, *The Psychology of Criminal Conduct*,
 - ³³ Joan Petersilia, "Prisoner Reentry: Public Safety and Reintegration Challenges." *Prison Journal*, Vol. 81, no 3. September, 2001.
 - ³⁴ Denver Juvenile Justice Network, *Strategies for Integrating Substance Abuse Treatment and the Juvenile Justice System: a Practice Guide*. Center for Substance Abuse Treatment, June 1999.
 - ³⁵ Joan Petersilia, *ibidem*.
 - ³⁶ Anne Seymour, *The Victim Role in Offender Reentry: A Community Response Manual*; Lexington, KY, American Probation & Parole Association, 2001

³⁷ M. Dumavich, "Level of Supervision Inventory an Effective Corrections Tool," *IARCA Journal of Community Corrections*, 5 (1993).

³⁸ Community High School of Vermont, *Offender Responsibility*

³⁹ A. Brown, *Beyond Work First: How to Help Hard-to-Employ Individuals Get Jobs and Succeed in the Workforce*. NY, MDRC, 2001.

⁴⁰ John Braithwaite, "Restorative Justice: Assessing Optimistic and Pessimistic Accounts," in *Crime and Justice A Review of Research, Vol. 25*, Univ. of Chicago Press, 1999

⁴¹ Boone, H. *Results-Driven Management: Implementing Performance Based Measures in Community Corrections*, Lexington, KY, American Probation and Parole Association, 1995.