



STATE OF VERMONT  
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee members  
From: Daniel Dickerson, Fiscal Analyst *DD*  
Date: March 5, 2020  
Subject: Grant Request – JFO #2999

Enclosed please find one (1) item, which the Joint Fiscal Office has received from the Administration. **The Dept. of Corrections has requested expedited review of this item.** Members will be contacted by March 12, 2020 for a decision unless the member has responded prior to that date.

**JFO #2999** – \$100,000 from the Urban Institute to the VT Dept. of Corrections (DOC). These funds have been granted as part of the Prison Research and Innovation Network, a program to support states in researching and improving prison culture, operations and design. *One (1) limited-service position has been requested in conjunction with the grant.* This program will be two phases and will focus on the Southern State Correctional Facility in Springfield. The grant funding will pay for the position during the first phase, which will last one year. The State will be required to cover the cost of the position during phase II, which will last 3.5 years. Costs to the State over this period will be approximately \$391,000. DOC will partner with the University of Vermont to provide research capability over the course of the program.  
*[JFO received 02/25/20]*

Please review the enclosed materials and notify the Joint Fiscal Office (Daniel Dickerson at (802) 828-2472; [ddickerson@leg.state.vt.us](mailto:ddickerson@leg.state.vt.us)) if you have questions or would like this item held for legislative review.

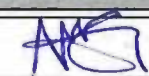

JFO 2999

State of Vermont  
 Department of Finance & Management  
 109 State Street, Pavilion Building  
 Montpelier, VT 05620-0401

[phone] 802-828-2376  
 [fax] 802-828-2428

**RECEIVED**  
 Agency of Administration  
 FEB 25 2020  
 JOINT FISCAL OFFICE

**STATE OF VERMONT  
 FINANCE & MANAGEMENT GRANT REVIEW FORM**

<b>Grant Summary:</b>		The Prison Research and Innovation Network supports states interested in researching and improving prison culture, operations, and design to create more human and rehabilitative correctional environments.			
<b>Date:</b>		2/5/2020			
<b>Department:</b>		Department of Corrections			
<b>Legal Title of Grant:</b>		Prison Research and Innovation Network			
<b>Federal Catalog #:</b>		N/A			
<b>Grant/Donor Name and Address:</b>		Urban Institute 500 L'Enfant Palza SW, Washington, DC 20024			
<b>Grant Period:</b>	<b>From:</b>	1/1/2020	<b>To:</b>	12/31/2020	
<b>Grant/Donation</b>		<del>\$24,000</del> 100,000			
<b>Grant Amount:</b>	<b>SFY 1</b>	<b>SFY 2</b>	<b>SFY 3</b>	<b>Total</b>	<b>Comments</b>
	\$26,025	\$73,975	\$	\$	+3.5 yrs state dollars (\$391,245)
<b>Position Information:</b>		<b># Positions</b>	<b>Explanation/Comments</b>		
		1	The grant award provides funding for 1 year to support a 1 FTE Prison Research and Innovation Network Manager who will focus efforts on evaluating the Springfield facility. Acceptance of the grant would bind the state into using state funds to fund this position for 3.5 additional years. DHR has recommended that the administration consider modifying the end date of the position to match the grant award date, not the grant award date + 3.5 years as is currently presented. State funds are estimated at \$391,245 GF over 3.5 years.		
<b>Additional Comments:</b>		Expedited review from the department has been requested. Interim DOC Commissioner Jim Baker spoke highly of this grant in HAC budget testimony on 2/5 - see attached highlighted section of notes.			
<b>Department of Finance &amp; Management</b>				(Initial)	

**STATE OF VERMONT REQUEST FOR GRANT (\*) ACCEPTANCE (Form AA-1)**

BASIC GRANT INFORMATION					
<b>1. Agency:</b>		Human Services			
<b>2. Department:</b>		Corrections			
<b>3. Program:</b>		Prison Research and Innovation Network			
<b>4. Legal Title of Grant:</b>		Prison Research and Innovation Network			
<b>5. Federal Catalog #:</b>		n/a			
<b>6. Grant/Donor Name and Address:</b> Urban Institute, 500 L'Enfant Plaza SW, Washington, DC 20024					
<b>7. Grant Period:</b>		<b>From:</b> 1/1/2020	<b>To:</b> 12/31/2020		
<b>8. Purpose of Grant:</b>  The purpose of the Prison Research and Innovation Network (Network) is to support states interested in researching and improving prison culture, operations, and design to create more humane and rehabilitative correctional environments.					
<b>9. Impact on existing program if grant is not Accepted:</b> The DOC will not be able to engage in the Network, hire a manager, or conduct the research if this award is not accepted.					
10. BUDGET INFORMATION					
	SFY 1	SFY 2	SFY 3	Comments	
Expenditures:	FY 2020	FY 2021	FY 2022		
Personal Services	\$26,025	\$116,305	\$116,305	assuming 4/1/20 is the hiring date	
Operating Expenses	\$	\$	\$		
Grants	\$	\$	\$		
<b>Total</b>	\$26,025	\$116,305	\$116,305		
Revenues:					
State Funds:	\$	\$	\$		
Cash	\$	\$42,330	\$116,305		
In-Kind	\$	\$	\$		
Federal Funds:	\$	\$	\$		
(Direct Costs)	\$	\$	\$		
(Statewide Indirect)	\$	\$	\$		
(Departmental Indirect)	\$	\$	\$		
Other Funds:	\$	\$	\$	116,305 / yr	
Grant (source Urban Institute)	\$26,025	\$73,975	\$	+ state funds required in FY23 & FY24	
<b>Total</b>	\$26,025	\$116,305	\$116,305	See grant expectations page	
<b>Appropriation No:</b>	3480004010	<b>Amount:</b>	\$26,025		
			\$		
			\$		

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2/4/20  
Page 1 of 3

**STATE OF VERMONT REQUEST FOR GRANT (\*) ACCEPTANCE (Form AA-1)**

		\$
		\$
		\$
		\$
	<b>Total</b>	<b>\$26,025</b>

**PERSONAL SERVICE INFORMATION**

**11. Will monies from this grant be used to fund one or more Personal Service Contracts?**  Yes  No  
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.


Appointing Authority Name: James Baker Agreed by: \_\_\_\_\_ (initial)

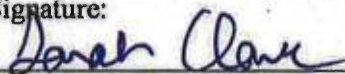
12. Limited Service Position Information:	# Positions	Title
	1	Prison Research and Innovation Network Manager
<b>Total Positions</b>	<b>1</b>	

**12a. Equipment and space for these positions:**  Is presently available.  Can be obtained with available funds.

**13. AUTHORIZATION AGENCY/DEPARTMENT**

I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable):

Signature:  Date: 02/03/2020  
 Title: Commissioner, Department of Corrections

Signature:  Date: 2/3/20  
 Title: Secretary, Agency of Human Services

**14. SECRETARY OF ADMINISTRATION**

Approved: \_\_\_\_\_ (Secretary or designee signature) Date: 2/12/2020

**15. ACTION BY GOVERNOR**

Accepted  Rejected  
 \_\_\_\_\_ (Governor's signature) Date: 2/25/20

**16. DOCUMENTATION REQUIRED**

**Required GRANT Documentation**

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Request Memo                | <input type="checkbox"/> Notice of Donation (if any)              |
| <input type="checkbox"/> Dept. project approval (if applicable) | <input type="checkbox"/> Grant (Project) Timeline (if applicable) |
| <input checked="" type="checkbox"/> Notice of Award             | <input type="checkbox"/> Request for Extension (if applicable)    |
| <input checked="" type="checkbox"/> Grant Agreement             | <input type="checkbox"/> Form AA-1PN attached (if applicable)     |
| <input checked="" type="checkbox"/> Grant Budget                |   |

**End Form AA-1**

(\*) The term "grant" refers to any grant, gift, loan, or any sum of money or thing of value to be accepted by any agency,

**STATE OF VERMONT  
Joint Fiscal Committee Review  
Limited Service - Grant Funded  
Position Request Form**

This form is to be used by agencies and departments when additional grant funded positions are being requested. Review and approval by the Department of Human Resources must be obtained prior to review by the Department of Finance and Management. The Department of Finance will forward requests to the Joint Fiscal Office for JFC review. A Request for Classification Review Form (RFR) and an updated organizational chart showing to whom the new position(s) would report must be attached to this form. Please attach additional pages as necessary to provide enough detail.

Agency/Department: AHS/Corrections Date: 1/7/2020

Name and Phone (of the person completing this request): Monica Weeber, 802-598-4112

Request is for:

- Positions funded and attached to a new grant.
- Positions funded and attached to an existing grant approved by JFO # \_\_\_\_\_

1. Name of Granting Agency, Title of Grant, Grant Funding Detail (attach grant documents):

Urban Institute, Prison Research and Innovation Network. The Urban Institute is providing funding for a full-time manager for the program

2. List below titles, number of positions in each title, program area, and limited service end date (information should be based on grant award and should match information provided on the RFR) position(s) will be established only after JFC final approval:

<u>Title* of Position(s) Requested</u>	<u># of Positions</u>	<u>Division/Program</u>	<u>Grant Funding Period/Anticipated End Date</u>
Prison Research and Innovation Network Manager	1	DOC/Administrative Svc.	1/1/2020 - 6/30/2024

\*Final determination of title and pay grade to be made by the Department of Human Resources Classification Division upon submission and review of Request for Classification Review.

3. Justification for this request as an essential grant program need:

The DOC received a grant award to fund the initial hiring and first year of this position; the state is expected to assume the cost of employing the Manager for Phase 2 of the project. This position will be responsible for guiding planning and implementation work in the pilot facility, facilitating data collection activities, coordinating the work of the local research partner, engaging with the Urban TA team, and ensuring compliance with the subaward and reporting requirements.

I certify that this information is correct and that necessary funding, space and equipment for the above position(s) are available (required by 32 VSA Sec. 5(b)).

Signature of Agency or Department Head: *[Signature]* Sarah Clave Date: 1/10/20 1/22/20

Approved/Denied by Department of Human Resources: *[Signature]* Date: 1/24/20

Approved/Denied by Finance and Management: *[Signature]* Date: 11 Feb 20

Approved/Denied by Secretary of Administration: *[Signature]* Date: 2/12/2020

Approved/Denied by Governor (required as amended by 2019 Leg. Session): *[Signature]* Date: 2/25/20

Comments:

Recommend the <sup>end</sup>-date match end of funding associated with the grant.

20 1/21/20

AG

**RE: Request to Expedite Review of the Prison Research and Innovation Grant**

**DATE: January 16, 2020**

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The administration has requested expedited approval of the Prison Research and Innovation Grant from the Urban Institute given it has a one-year spending period that began January 1, 2020 and ends December 31, 2020.

This grant will require the hiring of one limited service position. The hiring process could take up to 90 days and apply further pressure to the timeline. Currently, the work is being conducted by existing staff. As the work of the grant increases over the next month, it will not be sustainable to for existing staff the manage within the scope of their jobs.

The grant award funds the initial hiring and first year of this position; the state is expected to assume the cost of employing the Manager for Phase 2 of the project. This position will be responsible for guiding planning and implementation work in the pilot facility, facilitating data collection activities, coordinating the work of the local research partner, engaging with the Urban Technical Assistance team, and ensuring compliance with the subaward and reporting requirements. In addition, the manager will coordinate the Executive Committee and Steering Committees.

This grant engages numerous stakeholders, both internal and external and work has already started. Therefore, we request an expedited approval.

## Elmquist, Candace

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**Subject:** RE: Selection Notification: Prison Research and Innovation Network

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**From:** La Vigne, Nancy <NLaVigne@urban.org>  
**Sent:** Wednesday, November 27, 2019 12:23:24 PM  
**To:** Weeber, Monica <Monica.Weeber@vermont.gov>; Touchette, Mike <Mike.Touchette@vermont.gov>  
**Cc:** Jannetta, Jesse <JJannetta@urban.org>; Cybele Kotonias <CKotonias@arnoldventures.org>  
**Subject:** Selection Notification: Prison Research and Innovation Network

Good afternoon,

I am pleased to inform you that the Vermont Department of Corrections, in partnership with the University of Vermont Justice Research Initiative, has been selected to participate in Phase 1 of the Prison Research and Innovation Network (PRIN), with Southern State Correctional Facility as the pilot facility for this effort. Our staff at the Urban Institute appreciated your thoughtful preparation of your proposal, the inclusion of stakeholders across agencies and perspectives, your attention to detail, and your timely responses to our requests for additional information. Please read this email carefully for an overview of PRIN and information on next steps.

Including Vermont, five states were selected to embark on Phase 1 of PRIN. As a successful applicant to Phase 1, the Vermont Department of Corrections will receive the following:

- A grant award of \$100,000 to support the hiring of a full-time Prison Research Innovation Manager to work onsite in Southern State Correctional Facility during Phase 1, with the expectation that Vermont will assume the cost of employing the manager for Phase 2;
- A grant award of up to \$100,000 annually to the University of Vermont Justice Research Initiative's activities during Phases 1 and 2;
- Technical assistance (TA) and feedback from experts affiliated with the Urban Institute, Arnold Ventures, and the Network's advisory board; and
- Opportunities for peer learning.

I'm pleased to introduce [Jesse Jannetta](#) (copied) who will be your point of contact at Urban moving forward. Jesse will be in touch shortly to discuss a few remaining questions on our part and set up dates and times for a more formal introductory call and a site visit. Jesse will also request an update on your staffing for this project, including the status of recruitment for the Vermont Department of Corrections' Innovation Manager, and outline the next steps for preparing and submitting necessary documents such as MOUs, a Scope of Work, and a budget template.



## Request for Proposals for the Prison Research and Innovation Network July 2019

<b>Purpose of opportunity</b>	The purpose of the Prison Research and Innovation Network (Network) is to support states interested in researching and improving prison culture, operations, and design to create more humane and rehabilitative correctional environments.
<b>Project goals</b>	<p>The Network will be a community of practice for states interested in leveraging research, data, and evidence to inspire improvements in prison environments. The goals of the Network include the following:</p> <ul style="list-style-type: none"> <li>▪ develop a better understanding of prison environments and their relationship to the safety and well-being of those who live and work there</li> <li>▪ enhance state prisons' capacities for collecting data on prison environments, with the goal of promoting transparency and accountability</li> <li>▪ design, implement, and evaluate data-driven, evidence-based operational and programmatic innovations to improve prison conditions, including those that support rehabilitation and self-betterment for incarcerated people</li> </ul>
<b>Eligibility</b>	This competition is open to all 50 US states, including those with unified correctional systems. The lead applicant must be the state's department of corrections with support from (1) key state government leadership, (2) leadership within one publicly run prison with at least a 300-person capacity that would serve as a pilot site, and (3) a research partner. We will not accept applications that propose private prisons as pilot sites. <i>We will only accept one application per state.</i>
<b>Award</b>	<p>Six states will be selected to participate in Phase 1 (12-month project period) of the Network. Based on performance during Phase 1, four states will advance to Phase 2 (additional 3.5 years).</p> <p>Selected applicants will receive the following:</p> <ul style="list-style-type: none"> <li>• a grant award of up to \$100,000 to support the hiring of a full-time Prison Research Innovation Manager to work onsite in the selected prison during Phase 1, with the expectation that the state will assume the cost of employing the manager for Phase 2</li> </ul>





	<ul style="list-style-type: none"> <li>• a grant award of up to \$100,000 annually to support the research partner’s activities during Phases 1 and 2</li> <li>• technical assistance (TA) and feedback from experts affiliated with the Urban Institute, Arnold Ventures, and the Network’s advisory board; the board will include former state correctional leaders and nationally recognized advocates and researchers, including people who have experienced incarceration</li> <li>• opportunities for peer learning in the Network</li> </ul>
Informational webinar	August 21, 2019, 2:00 p.m.–3:00 p.m. EST
Deadline for proposals	October 1, 2019, 11:59 p.m. EST
How to submit	Submit letters of interest addressed to Nancy La Vigne, PhD, Vice President for Justice Policy at <a href="mailto:TransformPrison@urban.org">TransformPrison@urban.org</a>
Notice of decision	December 1, 2019
Project period	Phase 1: January 15–December 31, 2020 Phase 2: January 1, 2021–June 30, 2024

## Overview

Prisons in the United States present a challenging and costly problem. They consume a meaningful share of state budgets, house more than 1.3 million people, and employ more than 200,000 corrections officers in state-run correctional institutions. Prisons affect millions of lives, not just those who live and work in them but also the families who are left behind. Yet despite the scale and impact of prisons in the US, they are among the country’s most understudied and least understood public institutions. No routinely collected national data exist on the share of people in prison who are subject to violence, serve time in solitary confinement, engage in acts of self-harm, or attempt suicide. Nor are any metrics collected on the share of incarcerated people who participate in work or self-betterment programming. Prisons are uniquely closed systems that lack transparency in operations, performance, and outcomes.

To bridge this knowledge gap, [Arnold Ventures](#) (Arnold) partnered with the [Urban Institute](#) to launch the Prison Research and Innovation Network. **The purpose of the Prison Research and Innovation Network is to support states interested in researching and improving prison culture, operations, and design to make correctional environments more humane and rehabilitative.** The Network is a core component of the [Prison Research and Innovation Initiative](#), a comprehensive effort to build evidence and spur innovation to make prisons more humane, safe, and



rehabilitative, which could result in greater public safety outcomes. We are seeking states willing to commit to the project's entirety from January 15, 2020 to June 30, 2024. However, support is only guaranteed for Phase 1 (12-month project period); a state's advancement to Phase 2 will be conditional on its progress in Phase 1.

## Prison Research and Innovation Network Support and Expectations

The Prison Research and Innovation Network provides states with financial assistance, technical assistance, and a community of practice to understand and improve prison environments. The goals of the Network include the following:

- better understand prison environments and their relationship to the safety and well-being of people who live and work there
- enhance local prisons' capacities for collecting data on prison environments to promote transparency and accountability
- design, implement, and evaluate new evidence-based programmatic and operational changes and innovations to improve prison conditions, including those that support rehabilitation and self-betterment for incarcerated people

### Types of Support

The sites selected to participate in the Prison Research and Innovation Network will benefit from the following:

- **Grant award**
  - **Phase 1 (January 15–December 31, 2020): two grant awards totaling up to \$200,000 from the Urban Institute**
    - One grant award to the state of up to \$100,000 to support the hiring of a full-time dedicated Prison Research Innovation Manager to work onsite in the selected prison. If selected to advance to Phase 2, the state is expected to assume the cost of employing the manager beyond the project's first year.
    - One grant award to the research partner of up to \$100,000 to support research and planning activities.
  - **Phase 2 (January 1, 2021–June 30, 2024): one grant award of up to \$100,000/year from the Urban Institute**
    - This grant will be dedicated entirely to support the research partner's activities.
- **Access to expert technical assistance (TA) and feedback from Urban, Arnold Ventures, and the Network's advisory board.** Each state will be assigned an Urban TA team to provide in-person, virtual, and peer learning support for the duration of each state's



participation. The TA team will work with sites to determine their needs, which may include assistance and guidance with the following:

- facilitating and troubleshooting planning and implementation challenges
- developing performance metrics and data-collection tools with local research partners
- building a collaborative infrastructure
- conducting policy analyses
- identifying and implementing evidence-based practices and innovative programs to improve prison conditions and opportunities for self-betterment in prison
- developing and implementing evaluation methodologies
- developing and delivering foundational trainings (e.g., methodological approaches, Risk-Need-Responsivity principles, effective intervention design)
- **Opportunities for peer learning.** This will include ongoing webinars, a peer exchange listserv, and an in-person meeting during Phase 1 with Network states, selected advisory board members, Urban, and Arnold.

## Expectations

Awardees will be expected to:

- **Conduct all Network activities as a committed and engaged partnership among the state government, prison, and research partner.** We expect each state to form the two following committees to coordinate the work:
  - **Executive committee.** This committee should meet quarterly to receive updates from the steering committee on project progress and ensure that work is being coordinated within the broader state-policy context. The committee should include leadership from the governor's office, attorney general's office, department of corrections, and pilot prison; relevant legislative leadership; strong representation of formerly and/or currently incarcerated people; the full-time dedicated Prison Research Innovation Manager; and the research partner. This committee will be responsible for committing to and making policy changes to improve prison environments within the state.
  - **Steering committee.** This committee should meet monthly and will form the core team of the project. It should include leadership from the pilot prison, staff from the research partner organization, the full-time Prison Research Innovation Manager, and a senior representative from the department of corrections. This committee will be responsible for the day-to-day project work and will regularly engage with the Urban TA team on planning, implementation, and evaluation activities.
- **Commit to participate in the Prison Research and Innovation Network for the project's duration from January 15, 2020 to June 30, 2024,** with the understanding that support for Phase 2 is conditional on progress in Phase 1.

- **Engage with the Prison Research and Innovation Network** on an ongoing basis, including:
  - reporting progress on grant-funded activities to Urban on a regular basis, including regular financial reports;
  - sharing information with the other Network participants, and the field, on innovation efforts and lessons learned from them as they develop; and
  - participating in regularly scheduled conference calls with the Urban TA team.
- **Participate in a community of practice convened by Urban.** This will include ongoing webinars, a peer exchange listserv, and an in-person meeting during Phase 1 with Network states, Urban, and Arnold. It is expected that sites will cover the costs of travel for a team of 4–5 participants to attend the in-person meeting, the first of which will be in Washington, DC.
- **Hire and support a full-time dedicated Prison Research Innovation Manager to work onsite in the selected prison in close collaboration with the research partner.** The state will receive a grant award to fund the initial hiring and first year of this position; the state is expected to assume the cost of employing the Manager for Phase 2 of the project. This position will be responsible for guiding planning and implementation work in the pilot facility, facilitating data collection activities, coordinating the work of the local research partner, engaging with the Urban TA team, and ensuring compliance with the subaward and reporting requirements.
- **Participate in a nationwide research study of prison environments conducted by Urban.** The Urban team will collaborate with each state’s research partner to assess overall prison climate, perceptions of procedural justice, perceptions of safety, and officer and prison culture in each prison selected for the Network. Major data collection tools will include a climate survey and focus groups with staff, corrections officers, and incarcerated people of the pilot prison. *For examples of data collection points, areas of analyses, and potentially relevant state policy changes, please see Appendix A.* As part of this commitment, we expect selected states will do the following:
  - Support and use [community-based participatory research](#) approaches, including community-led and researcher-guided data collection, analysis, decisionmaking, and an evaluation process that brings science to bear on the prison community’s problems, priorities, and solutions.
  - Dedicate resources for repeated administration of routine data collection and dissemination activities.
  - Make aggregated (unidentifiable) data on prison environment and operations available to the public in a timely manner.



**Arnold Ventures**

- Identify state-level policy changes (administrative, legislative, operational, etc.) relevant to the findings generated by the prison-based research, peer learning engagements, and the project's TA delivery.
- Identify areas for innovation in the Network's pilot prisons, using a data-driven process that draws on the data sources described above, and innovations.
- Expedite departmental processes pertaining to data access and review of research protocols.
- Fully coordinate with research partners to execute project tasks.
- **Engage a research partner that will work with Urban to perform the following tasks:**
  - Design and conduct the climate survey.
  - Develop other data collection tools of interest to the sites.
  - Identify and collect a core set of performance metric data.
  - Assist the sites in articulating proposed innovations and related outcomes to be advanced under Phase 2.
  - All research partners will be expected to obtain Institutional Review Board approval, paying particular attention to requirements related to vulnerable populations.

## Eligibility

Applications are invited from any of the 50 states in the United States, including states with unified correctional systems. **The lead applicant must be the state's department of corrections with support from (1) key state government leadership, (2) one publicly run prison with at least a 300-person capacity as a pilot site,<sup>1</sup> and (3) a research partner**—preference will be given to states that coordinate with local research partners that are housed in the state and proximate to the proposed pilot prison(s). We will not accept applications that propose a private prison as the pilot site.

The project team has an interest in partnering with a diverse representation of correctional facilities and invites participation from all types of facilities, including women's prisons. Urban intends to select a cohort of six states that together represent variation by security level, size of prison, location (i.e. rural or urban), and population housed (i.e., length of stays, gender).

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<sup>1</sup> We are requesting applications from prisons with at least a 300-person capacity to accommodate quasi-experimental and randomized controlled trial evaluation methodologies.



## Project Timeline

Applications for participation are due on **October 1, 2019**. Successful applicants will be notified by December 1, 2019. Phase 1 will span a 1-year period from January 15, 2020 to December 31, 2020, and Phase 2 will span a 3.5-year period from January 1, 2021 to June 30, 2024.

## How to Apply

Please submit your application by email to Nancy La Vigne, PhD, Vice President for Justice Policy, at [transformprison@urban.org](mailto:transformprison@urban.org) by **11:59 p.m. ET on October 1, 2019**. Applications received after the deadline will not be considered. Note that any revisions after submission cannot be accommodated. If multiple submissions are received from the same applicant, the most recent submission that meets the application deadline will be reviewed. **We will only accept one application per state. The Urban Institute reserves the right not to issue an award to a state if it determines that qualifications are not sufficient.**

## To Learn More

The Urban Institute will host one webinar to confirm details about the competition and application process as well as to answer questions. **The webinar is scheduled for August 21, 2019, from 2:00 p.m. – 3:00 p.m. EST.** Applicants are not required to attend the call.

Please register for the webinar at <https://zoom.us/meeting/register/d25365a9336fb0a0cde7dc3c8da9331e>

Questions posed and answered during the conference call will be posted online at <http://www.urban.org/transform-prison>.

## Questions

Should you have any questions about the application process, please e-mail Nancy La Vigne at [transformprison@urban.org](mailto:transformprison@urban.org). We will try to answer your individual questions as quickly as possible. We will also integrate these questions into the conference call. Responses to all questions received will be posted regularly at <http://www.urban.org/transform-prison>.



## Required Application Components

Applications will only be considered if they submit the following outlined components:

- **Joint Letter of Interest and Firm Expression of Commitment from the State’s Department of Corrections, State Government, and Candidate Pilot Prison(s)**—The joint letter of interest and commitment should be signed by the lead applicant—the state department of corrections and its secretary—along with the governor, attorney general, relevant legislative leadership, strong representation of formerly and/or currently incarcerated people, and candidate pilot prisons’ leadership. The letter should outline the state’s interest in researching and improving prison culture, operations, and design in the interests of creating more humane and rehabilitative correctional environments; express a commitment to promoting transparency and accountability within prison environments; and affirm the willingness of the signatories to participate in the project.
- **Letter of Interest and Commitment from Research Partner**—The state’s letter of interest should include an accompanying letter of support signed by the research partner outlining that partner’s qualifications to support this work, including experience conducting research in correctional facilities, subject matter expertise in prison environments, evaluation expertise (including experience with community-based participatory research methods and randomized controlled trials), experience analyzing corrections data, and knowledge of state and local policy context. Please include CVs for the proposed research team.
- **Project Narrative**—A double-spaced, 12-point font narrative that answers the questions detailed below.

## Project Narrative

1. **PROBLEM STATEMENT (not to exceed 4 pages)**
  - a. **Why is your state interested in becoming part of the Network?** Please address the following:
    - i. Why is this the right time for your state to take on this work?
    - ii. Please include any information on relevant prison and related state policy reforms recently or currently under way.
    - iii. Please describe leadership's commitment to change and innovation.
  - b. **What do you hope to achieve from participating in the Network?**
    - i. What type of work have you already done to create more humane and rehabilitative correctional environments? What type of work have you done to improve transparency and accountability of prison environments? How do you see your participation in the Network building upon this foundation?
    - ii. What innovations do you envision implementing in the selected pilot prison?
    - iii. What types of policy changes do you envision implementing in your state?
    - iv. What are the major challenges you anticipate in taking on this work in your state? What types of support do you need to address these challenges?
2. **PROPOSED PARTNERSHIP AND QUALIFICATIONS (not to exceed 6 pages)**
  - a. **What is the nature of the proposed partnership for this project and who is involved?** Contributions from many organizations and agencies within your state will be necessary to foster and execute this initiative successfully. Similarly, committed leadership will be absolutely essential. Please address the following:
    - i. Describe the leadership of your initiative and your strategy for recruiting key partners who are not yet engaged.
    - ii. What influence does the leadership of your proposed effort have to move a statewide effort forward despite the barriers and challenges that will be encountered?
    - iii. How does the membership of the partnership represent the interests of the stakeholder community and provide support in the many areas that touch upon prison environments (union leadership, families of incarcerated people, prison reform advocates, etc.)?
  - b. **How do you plan to hire and/or select a Prison Research Innovation Manager? How do you plan to support that position in Phase 2 of the project?** Please address the following:
    - i. What characteristics and experiences are you seeking in the Manager position to support successful execution of this project?





- ii. If you have you already identified someone to assume this position, please describe their experience and include a current résumé.
- iii. What funding source do you anticipate will support this position in Phase 2?

c. **In which prison(s) do you propose piloting this work and why?** We encourage applicants to propose up to three facilities; Urban will work with successful candidates to select the pilot prison. Please fill out the attached table for each proposed prison and describe the following key components:

- i. Accessibility to the community, including community organizations and volunteers who enter the prison and activities supporting visitation;
- ii. Governance structures and organizations led by incarcerated people; and
- iii. Programs, activities and opportunities available to incarcerated people (including jobs and education)

d. **What prior national or regional corrections initiatives (including technical assistance) has your state or department of corrections participated in?**

- i. How do you see this project building upon that prior work?

e. **How do you envision expanding this work beyond the selected pilot site, and what are your strategies for sustaining this work beyond the project period?**

### 3. DATA AND RESEARCH CAPACITY (not to exceed 1 page per proposed prison)

a. **What is the data and research capacity of your agency? What is your experience working with external researchers?** Please address the following:

- i. In what capacity, if any, have you worked with external researchers previously?
- ii. What is your research review and support infrastructure?
  - i. Does your DOC have an Institutional Review Board or formal research review process?
  - ii. What is the typical review period for research proposals?
  - iii. What is the size and capacity of any DOC research and data analysis staff?
- iii. What are your existing formalized relationships with research universities?

Please complete as much of the table below as possible for each proposed prison. We don't anticipate that each applicant will be able to provide every data point, but we do expect that if selected, these baseline metrics will be collected routinely.



Prison Population Data (numbers for a single year, unless otherwise indicated; CY2018 data preferred.)	
<b>Admissions and releases</b>	
2018 yearend population	
Annual releases to the community	
Average time served	
<b>Population by gender, age, race, etc.</b>	
Number of housing units (pods, wings, tiers, etc.)	
Rated prison capacity	
Number of people in restrictive housing <sup>2</sup>	
Number of people in protective custody	
<b>Incidents</b>	
Total number of incidents	
Number of inmate-inmate incidents	
Number of inmate-staff incidents	
Number of staff-staff incidents	
Number of use-of-force (staff on inmate) incidents	
Number of use-of-force (inmate on staff) incidents	
Number of assaults (physical, sexual)	
Number of grievances filed by inmates	
Number of PREA incidents filed by inmates	
Number of PREA hotline calls received	
Percentage of grievances sustained	
Number of disciplinary actions against inmates	

**b. What is your willingness to make unidentifiable prison data public?** Please provide a statement of commitment on your willingness to make prison data public in a timely manner and the level of aggregation you envision to ensure both anonymity and transparency.

<sup>2</sup> We use the Association of State Correctional Administrators (ASCA) definition of “restrictive housing,” codified in 2013: <https://asca.memberclicks.net/assets/2013%20ASCA%20Restrictive%20Housing%20Guidelines.pdf>



**Arnold Ventures**

Applicants are not required to submit a budget at this time. However, if selected as a finalist, the applicant will receive a budget template from the Urban Institute to complete for further consideration.



## Appendix A

### Example Data Sources, Analyses, Policy Impacts, and Outcomes

Data type	Analytic inquiry	Prison reform	Policy reform	Outcomes
Literacy levels and pre-prison GED acquisition of incarcerated people	Inform opportunities and identify likely students for educational programs	Align availability and type of educational offerings with need	Incentivize educational attainment through earned credits	Higher rates of educational attainment
		Build tailored education into case plans		Higher rates of employability
Employment history, participation, and readiness	Identify need for job skills training	Expand prison industries, provide for “real world” wages, engage with outside employers aligned with skills and training of residents	Provide tax incentives, subsidize wages for businesses that employ people exiting prison	Shorter time to employment Higher rates of employment Higher rates of job retention
Risk and needs assessment and programming	Assess how well programs and treatment are aligned with needs and are sufficient to meet demand  Identify which programs are evidence-based	Realign programs with risk and needs of population	Require all programs to be assessed for evidence-base	Improved recidivism reduction ROI
		Discontinue programs not supported by evidence	Appropriate sufficient resources to ensure program supply meets demand	More accurate, less biased assessment tools
			Prescribe public dissemination of risk assessment tool  Mandate racial impact statements	Reduced racial bias
Physical, behavioral, and mental health	Inform alignment of medical services capacity and housing unit placement decisions	Audit health care provision; establish units dedicated to specific health needs	Require continuity of medication following release	Improved access to health care
			Mandate public reporting of deaths in custody	Reduced recidivism
			Allow compassionate release for terminally ill residents	Fewer deaths in custody



<b>Data type</b>	<b>Analytic inquiry</b>	<b>Prison reform</b>	<b>Policy reform</b>	<b>Outcomes</b>
<b>Victimization and self-harm by age, gender, unit, security level, and confinement type</b>	Assess who is most at risk and identify opportunities for prevention	<ul style="list-style-type: none"> <li>Adjust corrections officer rounds</li> <li>Institute changes in prison design</li> <li>Change housing unit assignments</li> <li>Reduce or abolish solitary confinement</li> </ul>	<ul style="list-style-type: none"> <li>Mandate public reporting of victimization</li> <li>Hold prisons accountable for high rates of violence</li> <li>Restrict/prohibit use or period of solitary confinement</li> <li>Establish prison safety oversight entity</li> </ul>	<ul style="list-style-type: none"> <li>Reduced victimization rates in prison</li> <li>Reduced use of solitary confinement</li> <li>Lower rates of officer injury/victimization</li> </ul>
<b>Visitation and phone calls from friends and family</b>	Assess existence and extent of support networks and opportunities to harness, complement, or supplement them	<ul style="list-style-type: none"> <li>Increase visitation hours or opportunities</li> <li>Complement visitation with video conferencing</li> <li>Create child-friendly visitation rooms</li> <li>Allow for conjugal visits</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate resources for video conferencing</li> <li>Mandate cap on collect phone call fees</li> <li>Appropriate resources for mother-child housing units</li> <li>Mandate housing prisoners within x miles of home</li> </ul>	<ul style="list-style-type: none"> <li>Increased frequency of family contact</li> <li>Lower rates of disciplinary infractions</li> <li>Lower rates of recidivism</li> </ul>
<b>Infractions and use of force by unit, security level, and officer</b>	Identify problem areas and officers who are more likely to issue infractions or engage in use of force	<ul style="list-style-type: none"> <li>Establish intervention protocols for problem officers; institute de-escalation training</li> <li>Launch experimental collaborative community units</li> </ul>	<ul style="list-style-type: none"> <li>Require public reporting of use of force data</li> <li>Hold prisons accountable for high rates of use of force</li> </ul>	<ul style="list-style-type: none"> <li>Reduced rates of infractions</li> <li>Reduced rates of use of force</li> </ul>



Data type	Analytic inquiry	Prison reform	Policy reform	Outcomes
<b>Corrections officer use of overtime and sick days</b>	To assess and address officer physical health and mental well-being	<p>Launch officer wellness campaign</p> <p>Develop protocols to identify officers at risk of burnout, connect with services/treatment</p>	<p>Restrict excessive use of overtime</p> <p>Appropriate resources for officer wellness programs</p>	<p>Reduced rates of sick leave</p> <p>Reduced attrition or longer retention of officers</p> <p>High levels of officer job satisfaction</p> <p>Lower rates of infractions issued and use of force</p>
<b>Proxies for motivation levels of incarcerated people</b>	Assess differential outcomes by motivation; identify degree to which readiness to learn yields greater benefit from program offerings	Experiment with motivational interviewing, coaching, and other methods to increase motivational levels	Incentivize participation in self-betterment programming/treatment through earned time credits	<p>Higher rates of participation in program</p> <p>Lower rates of recidivism</p>
<b>Post-release outcomes by age, race, length of incarceration, nature of offense, criminal history, and SES demographics</b>	Assess degree to which rehabilitation efforts were successful	Revise program and treatment offerings based on results of recidivism analyses and outcomes	<p>Mandate routine reporting of recidivism data by risk level</p> <p>Hold prisons accountable for high (risk-adjusted) recidivism rates</p>	<p>Lower rates of recidivism</p> <p>Higher rates of post-release employment</p>

**Vermont DOC Budget Narrative**

A separate accompanying narrative should be submitted to correspond to the line-item budget cost components. This narrative should include justification for the costs and assumptions, and/or methodologies relevant to the cost components. If such costs are a part of the submitted budget, consider the following in your narrative:

1. Salaries/wages: Salary and wages are included for a full- time Prison Research and Innovation Network Manager. This position has been created through the State of Vermont, Department of Human Resources classification process. The position is rated as a paygrade 27 on the State of Vermont Pay Plan. Asas of January 5, 2020, the starting rate for a paygrade 27 at Step 1 on the Pay Plan is \$30.10 per hour. We anticipate the need to hire-into-rage and have budgeted the position at step 6 or \$36.05 per hour. Per the state employee contract, there will be a \$1,400 lump sum payment to all state staff the first pay period in FY21 (should be paid on or around July 23, 2020). This payment is added to budget period two for a total salary of \$76, 384.
2. Fringe Benefits: Include numerical rate and description of components (e.g., Health Insurance, FICA, pension, etc.); OR attach most recent Negotiated Indirect Cost Rate Agreement (NICRA) if fringe rate is incorporated therein.

Below is the detail for each of the benefit categories that make the fringe category. Fringe can change based on the type of insurance the employee selects. We have budgeted for the average health care costs currently incurred.

Budget Period	Base Salary	Health	Dental	Retirement	Life	LTD	EAP	Medicare	OASDI	Benefit Total	Total Salary Cost
1	\$37,492	\$8,341	\$418	\$7,874	\$158	\$86	\$16	\$544	\$2,325	\$19,760	\$57,252
2	\$38,892	\$8,341	\$418	\$8,167	\$158	\$86	\$16	\$564	\$2,411	\$20,161	\$59,053
Total	\$76,384	\$16,681	\$836	\$16,041	\$316	\$172	\$32	\$1,107	\$4,736	\$39,921	\$116,305

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3. Subawards/Consultants/Contractors: Other purchased services outside your agency; include services to be provided and need for each along with rates/price, etc. and a detailed explanation of the selection process for each partner.

There are no sub-awards anticipated.

4. Other direct costs: provide a detailed justification and breakdown of each cost; if including travel, provide the location, no of trips, and estimates for airfare, lodging, per diems, etc. There are not direct costs included. DOC will absorb the costs associated with the required trip to Washington D.C. the network meeting.

5. Indirect Costs: If your agency incorporates any costs into an overhead pool (which might be categorized as overhead, general and administration, indirect costs, etc.) you may likewise incorporate these costs in the same way into your budget. If you have a current NICRA approved by a government agency, attach this as documentation for the rate included; if you do not have a NICRA, your narrative should include a description of the components of your cost pool (rent, Executive Director, Accounting staff, etc.) and how the rate was derived. You can also elect to apply the de minimis of 10% for your indirects.

There are no indirect costs associated. DOC will absorb any overhead, general, and administrative costs.



**Prison Research & Innovation Network**

**Budget Period 1: Jan 1 - Jun 30, 2020**

**Vermont Department of Corrections**

<b>SALARY/WAGES SUBTOTAL</b>				<b>\$ 37,492</b>
Name	Title	FTE or hours	Hourly rate or annual salary	Amount
Vacant	Prison Research and Innovation Network Manager	1.00	\$37,492.00	\$37,492
				\$0
				\$0
				\$0
<b>FRINGE</b>				<b>\$ 19,760</b>
<b>SUBCONTRACTS/CONSULTANTS/CONTRACTORS (if multiple, list each separately)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>INDIRECT COSTS at X%</b>				
<b>TOTAL REQUESTED</b>				<b>\$ 57,252</b>

74984

Please submit a separate budget narrative, per the instructions.

**Project Name**

**Budget Period 2: Jul 1 - Dec 31 2020**

**Site/Research Partner Name**

<b>SALARY/WAGES SUBTOTAL</b>				<b>\$ 38,892</b>
<b>Name</b>	<b>Title</b>	<b>FTE or hours</b>	<b>Hourly rate or annual salary</b>	<b>Amount</b>
Vacant	Prison Research and Innovation Network Manager	1.00	\$38,892.00	\$38,892
				\$0
				\$0
				\$0
<b>FRINGE</b>				<b>\$ 20,161</b>
<b>SUBCONTRACTS/CONSULTANTS/CONTRACTORS (if multiple, list each separately)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>(insert other direct cost)</b>				<b>\$ -</b>
<b>INDIRECT COSTS at X%</b>				
<b>TOTAL REQUESTED</b>				<b>\$ 59,053</b>

Please submit a separate budget narrative, per the instructions.

**Project Name**

**Summary All Years: Jan - Dec 2020**

**Vermont Department of Corrections**

<b>SALARY/WAGES SUBTOTAL</b>				\$ 76,384
<b>Name</b>	<b>Title</b>	<b>FTE or hours</b>	<b>Amount</b>	
Vacant	Prison Research and Innovation Network Manager	1.00	\$76,384	
			\$0	
			\$0	
			\$0	
<b>FRINGE</b>				\$ 39,921
<b>SUBCONTRACTS/CONSULTANTS/CONTRACTORS (if multiple, list each separately)</b>				\$ -
(insert other direct cost)				\$ -
(insert other direct cost)				\$ -
(insert other direct cost)				\$ -
(insert other direct cost)				\$ -
<b>INDIRECT COSTS</b>				\$ -
<b>TOTAL REQUESTED</b>				\$ 116,305

Please submit a separate budget narrative, per the instructions.

## **1. PROBLEM STATEMENT (4 pages)**

Increasing costs, over-crowded correctional facilities, and a prioritization on the health and well-being of those who live and work in prison, have prompted a state-wide interest in criminal justice reform. As part of these efforts, the Vermont Department of Corrections (DOC) is partnering with researchers at the University of Vermont (UVM) to pilot and study the use of Norwegian-style operations in its correctional facilities. The pilot study is in the early planning stages, making the timing of this application ideal. In addition, there is widespread support for these efforts and partnership from policy makers, state leadership, and community organizations. Participation in the Prison Research and Innovation Network (PRIN, or the Network) will provide an opportunity for the DOC to collaborate with local researchers and partners committed to reimagining prison culture, learn from similar efforts nationally, and share findings with other states embarking on reform efforts.

There are several relevant state policy reforms currently underway. In August 2019, Vermont launched its second Justice Reinvestment (JR) project with the Council of State Governments (CSG) to analyze the broader criminal justice system, its impact on the number of individuals incarcerated in Vermont, and the reasons for their incarceration. The DOC's previous JR project, begun as a result of legislative action in 2008, focused on improving the outcomes for individuals served by the DOC. Using that initiative as a basis for change, Vermont was able to lower its incarceration rate, despite projections that it would grow substantially.

Another significant policy reform now underway in Vermont is a revision of the DOC's restrictive housing policy. The newly revised policy reflects the DOC's philosophy that offenders

must be held accountable for their actions, while being held in the least restrictive environment consistent with inmate and facility safety and security, and is informed by national best practice standards and evidence-based research. The policy is expected to be fully implemented by January 2020.

Vermont has also implemented policy changes regarding the expansion of the delivery of Medically Assisted Treatment (MAT) for opioid use disorder (OUD) in its correctional facilities. In 2018, the Vermont Legislature passed Act 176 requiring that all Vermont inmates diagnosed with OUD be offered MAT if medically necessary, and at any time during their incarceration. With the passage of Act 176, Vermont joined Rhode Island as the only unified state correctional systems to offer all Federal Drug Administration-approved MAT to inmates. Additionally, Vermont was the first state to codify the provision of MAT to inmates when medically necessary.

Even with these successes, more work remains to substantially change the daily experiences of those in confinement and to foster their rehabilitation. Fortunately for Vermont, the DOC leadership has an established history of implementing innovations and evidence-based practices to improve offender outcomes and reduce recidivism. Over the past ten years, the DOC successfully completed several Second Chance Act (SCA) Grants that led to major reforms in correctional practices and the policies that govern its operations. These include a system of restorative justice throughout the state, a nationally recognized reentry program for people convicted of violent crimes or sex offenses, and a new model of community supervision driven by assessed risk and need. With this solid foundation of implementation and innovation, the DOC is positioned to take the next step in reforming Vermont's prison system.

Vermont Department of Corrections  
Prison Research and Innovation Network Application

Through participation in the Network, the DOC intends to develop and validate a humane and rehabilitative correctional model that will improve the health and well-being of those who live and work in Vermont prisons. Engagement in the PRIN will provide valuable technical assistance, collaboration with a learning community of peers, and a framework to grow a cohesive, interdisciplinary team of local stakeholders to continue this work long into the future. Vermont has already implemented several new initiatives to improve the well-being of Vermont's inmates. For example, in 2018 the DOC launched a forensic peer support program (Open Ears), based on the PeerStar LLC model of forensic peer support services, for inmates who suffer from mental illnesses, substance abuse disorders, or both. Open Ears is now operational in all DOC facilities, with the latest data showing that peer coaches have provided 11,336 sessions since the program's inception.

In an effort to promote transparency and accountability, this past year the DOC Commissioner hosted facility tours with Vermont stakeholder groups including the Governor and members of his cabinet, the Legislative Women's Caucus, advocacy groups including the ACLU, and the Chittenden County State's Attorneys' Office. On a monthly basis, the DOC provides segregation reports to the state Legislature, Prisoners' Rights Office, and Disability Rights Groups.

Participation in the Network will build upon this foundation and create additional opportunities to engage stakeholders and through the partnership with UVM, an increased capacity for research, data collection and reporting.

The DOC envisions designing, implementing, and studying a Norwegian-style operation in its Southern State Correctional Facility (SSCF). The team (DOC officials and UVM researchers) is interested in exploring the Norwegian system because it has demonstrated effectiveness in

operating safe, humane facilities, reducing recidivism, and improving workforce satisfaction and well-being. The system is designed to infuse humanity into correctional operations using a dynamic security mode in which correctional officers serve as role models, coaches, and mentors. In August 2019, team members traveled to Connecticut's "The Rock" prison to learn more about their Norwegian-inspired T.R.U.E. program for 18-25-year old males. By leveraging the experiences of facilities that have already implemented alternative models in U.S. settings, the team is looking to identify and test strategies for adapting programs and infrastructure appropriate for Vermont's facilities and populations. Strategies that may be developed include making changes to workforce culture and training, infrastructure modifications, new supervision models, additional inmate-led programs, and increased community connections. The project's success hinges on changing the nature of with interactions between staff and inmates, and keeping a focus on safety and security while humanizing the incarcerative experience. This can be as simple as changing the language used to demonstrate respect and intrinsic worth for all individuals, and as complicated as a re-examination and full assessment of the day-to-day operations of the correctional facility. During the pilot, the team will explore how changes in policies related to visitation, property allowances, grievances and recreation impact correctional culture.

Information from other states that have adopted similar models indicate that staff buy-in will be a major challenge. Many correctional officers don't agree with the transformation of their roles as administrators of discipline and order, to something more closely resembling a social worker. With this in mind, it will be important to engage staff early in the project and develop mechanisms for open dialogue and feedback.

## **2. PROPOSED PARTNERSHIP AND QUALIFICATIONS (6 pages)**

*Description of initiative.* DOC Commissioner Mike Touchette will lead this project. UVM professors Kathy Fox and Abigail Crocker, from UVM's Justice Research Initiative, will be the research partners. In addition, the following persons and organizations have already committed to actively participate in the project: a formerly incarcerated individual employed by the American Civil Liberties Union (ACLU); a formerly incarcerated prisoner advocate; a currently incarcerated individual and Open Ears coach; the Executive Director of Vermonters for Criminal Justice Reform (VCJR); the DOC Deputy Commissioner; the DOC Facilities Executive; the Superintendent of Southern State Correctional Facility; the Superintendent of Chittenden Regional Correctional Facility; the DOC Administrative Services Director; and the DOC Lead Research Analyst. The project has the support of Vermont's Governor, Attorney General and key legislators, and it is expected that representatives from each entity will serve on the Executive Committee. Additionally, a member of the Vermont State Employees' Union (Corrections Bargaining Unit) will be recruited to join the Committee.

*Influence of project leadership.* Within statutory and budgetary parameters, the DOC Commissioner has significant latitude to introduce new correctional programming. *See* 28 V.S.A. § 102 (2) (Commissioner has authority "to exercise supervisory power over and to establish and administer programs and policies for the operation of the correctional facilities of the Department, and for the correctional treatment of persons committed to the custody of the Commissioner.") This authority will not be exercised in a vacuum; stakeholder groups represented on the Executive Committee will provide input and perspective and assist in evaluating and planning how to address potential concerns of the public or legislature to



changes in correctional practice and programming. In addition, the Commissioner will ensure the process is transparent by providing regular updates to, and an open dialogue with, pertinent legislative committees that include the House Committee on Corrections and Institutions, the Senate Judiciary Committee, the Senate Institutions Committee, the House and Senate Appropriations Committee, and the Joint Legislative Justice Oversight Committee.

*Hiring and funding a Prison Research Innovation Manager.* If selected to participate in the PRIN, the DOC will establish a new limited service position and recruit for a Prison Research Innovation Manager (PIM). The DOC intends to fill the position with an individual with skills in project management, budgeting, quality improvement, and data management. The successful candidate must have excellent skills overseeing and guiding complex projects with multiple partners and stakeholders. The PIM's ability to establish and maintain effective working relationships with a diverse group of state and local partners and stakeholders, and to develop a team approach among project staff, will be key for optimizing the project's success. This individual will work closely with the project team and be responsible for guiding planning and implementation work in the pilot facility, facilitating data collection activities, coordinating the work of the local research partner, engaging with the Urban technical assistance team, and ensuring compliance with all project reporting requirements.

As a Vermont state employee, limited service position, the PIM's salary and benefits will initially be funded with external dollars; if Vermont is selected to continue to Phase 2 of the Grant, however, the position will be converted to a permanent classified state position. The position will be posted for recruitment following state hiring guidelines which will allow external applicants to apply.

*Pilot Prison.* The DOC proposes piloting this work in Vermont's Southern State Correctional Facility (SSCF), the state's second largest correctional facility with a capacity of 377 inmates. Of the total capacity, 200 beds (53%) are general population and 161 (42%) are considered special housing for inmates with serious mental health, medical, and behavioral issues. The remaining 16 beds are reserved for inmates placed in restrictive housing. SSCF houses sentenced males and males held pre-trial (detained). The facility is in Windsor County, Vermont which has the fourth largest population in the state but is largely rural. The SSCF population is primarily moderate to high risk.

Currently, services and programs provided to residents by community groups and volunteers include yoga, writing, music, art, religious, nutrition class, Alcoholics Anonymous, Narcotics Anonymous, and recreation. Much of the population at SSCF is eligible or required to participate in risk and needs reducing programming which is delivered by contractors to offenders who score moderate and high risk on the Ohio Risk Assessment Survey (ORAS).

Sample curricula include *Motivational Interviewing; Charting a New Course; Thinking for a Change; Criminal Conduct and Substance Abuse; Cognitive Behavioral Intervention – Substance Abuse; and Aggression Interruption.*

In addition, through the Community High School of Vermont (CHSVT), a DOC-operated accredited school, inmates may access educational services supporting literacy and numeracy, the attainment of high school diplomas and workforce readiness, and national technical certifications that include First Aid and Cardiopulmonary Resuscitation (CPR) with automated external defibrillator (AED); Barbering – Vermont Board; Occupational Safety and Health

Vermont Department of Corrections  
Prison Research and Innovation Network Application

Administration (OSHA), 10-hour General Industry and 10-Hour Construction; and National Restaurant Association Educational Foundation (NRAEF).

Notwithstanding the availability of these programs and services at SSCF, the facility lacks many of the rehabilitative services available at other facilities around the state. Specifically, it lacks an industry program for expanded work and career readiness opportunities. The demographics of the SSCF population, combined with limited programming, leaves a gap in this facility's ability to effectively serve its clients.

*National or regional corrections initiatives experience.* The DOC has experience with several Second Chance Act Grants (SCA) from the Bureau of Justice Assistance (BJA). These grants required a period of planning with technical assistance from the Council of State Governments (CSG) to fully develop an initiative. The initial SCA grants established a foundation of restorative justice in the DOC and in communities across the state. Subsequent grants expanded the Department's use of evidence-based practices and grounded its policies in data-driven research. The DOC also participated in a Justice Reinvestment project in 2008 and recently launched Justice Reinvestment, Phase 2. Each of these undertakings is informed by previous experience, collaborative partnerships, data collection and analysis, and a commitment to implementing meaningful change. The DOC will take the same approach with this grant opportunity and expects to gain further ground in advancing correctional reforms.

*Expansion and sustainability.* The size of the Vermont DOC makes the scaling-up of any new initiative manageable. Vermont has a unified system of correctional facilities, probation, furlough and parole, and operates six correctional facilities and twelve field offices geographically spread across the state. Vermont's correctional population is small in

comparison to other states, with an average daily population of approximately 1,750 incarcerated detained or sentenced inmates.

The proposed pilot site will provide the DOC with ample opportunity to learn from any implementation challenges and successes as it implements changes system-wide. Vermont's small geographic area readily allows for face-to-face meetings and site visits, and the DOC plans to establish learning communities, cross training, live observations, and support calls among correctional facilities across the state. Sustained change in correctional culture will be supported by embedding these reforms in correctional staff's everyday work experience.

The DOC has the capacity to support this culture change, which it has previously demonstrated through its statewide rollout and implementation of the Prison Rape Elimination Act (PREA) standards. The DOC employs a staff person that specifically oversees PREA requirements. The position was previously grant-supported and transitioned to a state position once the PREA grant was completed. DOC envisions structuring its work under this grant to follow a similar model for sustainability beyond the project period.

DOC is very interested in first expanding this project to the Chittenden Regional Correctional Facility, Vermont's only women's correctional facility. There is currently a heightened internal and external focus on the health and well-being of the inmates at this location. The DOC considered this prison for inclusion in this project as a pilot site; with a 177-bed capacity, however, it does not meet the minimum capacity for eligibility. With an expectation that the DOC will implement similar initiatives based on the project findings, the women's facility superintendent has been included as a member of the Executive Committee.

In addition, the DOC is one of six departments that comprise Vermont's Agency of Human Services (AHS), a factor that will help to support the long-term sustainability and goals of this project. The AHS has the widest reach of all agencies in state government and a critical mission: to improve the conditions and well-being of Vermonters and protect those who cannot protect themselves. Other departments under the AHS umbrella include the Departments of Disabilities, Aging and Independent Living, Children and Families, Health (including the Division of Alcohol and Drug Abuse Services), Mental Health, and Vermont Health Access. The leadership of each department, as well as the Secretary of the Agency, is committed to the success of the project and will use available resources to provide the support needed to implement and sustain the project.

Further, participation in the PRIN will provide the platform and funding mechanism to develop a local, interdisciplinary team of engaged stakeholders. Over the course of the project there will be a focus on developing a sustainability plan to continue this cross-sector, collaborative engagement. Moreover, this project will provide an opportunity to strengthen the DOC's relationship with UVM, Vermont's premier research university. This strengthened partnership will provide long-term opportunities for increasing data and research capacity within the DOC.

### **3. DATA AND RESEARCH CAPACITY (1 page)**

The DOC has worked with a variety of external researchers in evaluation capacities, including current research partner UVM Professor Kathy Fox, local private evaluation firms, Norwich University, and the University of Cincinnati Corrections Institute.

The DOC is positioned within the Vermont Agency of Human Services (AHS). All research within AHS is overseen by an agency-wide Institutional Review Board (IRB) which meets monthly. Time from initial IRB review to final determination depends on a number of factors, but typically well-prepared applicants can secure IRB approval within 30 days of initial review.

The DOC has a small research and data analysis staff. One FTE is designated as a research analyst. This position is supported by the Administrative Services Director, who provides guidance and contributes to the analysis work.

This project will provide a unique opportunity for the DOC to work side-by-side with UVM researchers in the design, implementation, evaluation, and dissemination phases of the project. The DOC and UVM are currently navigating data sharing protocols and a memorandum of understanding to formalize the research partnership.

The DOC is committed to making unidentifiable prison data available to the public in a timely manner. Currently, the DOC maintains a public use file which is updated daily. Data collected as part of this project will be de-identified before sharing. Data that contain sensitive information will be aggregated at an n>5 cell level before sharing.

### Southern State Correctional Facility Data: Calendar Year 2018

<b>Admissions and releases</b>	
2018 yearend population	312
Annual releases to the community	1,655 (estimate)
Average time served	Unavailable at this time
<b>Population by gender, age, race, etc.</b>	
Number of housing units (pods, wings, tiers, etc)	4 (GP), 8 (SH), 1 (RH)/13 Total
Rated prison capacity	377
Number of people in restrictive housing	0 (meeting definition)/ 592 throughout the year meeting VT definition
Number of people in protective custody	18
<b>Incidents</b>	
Total number of incidents	3,032
Number of inmate-inmate incidents	78/102 w/agitating/provoking
Number of inmate-staff incidents	55/224 with agitating/provoking
Number of staff- staff incidents	0
Number of use-of-force (staff on inmate) incidents	152
Number of assaults (physical, sexual)	139 (sexual), 151 (physical)/290 Total
Number of grievances filed by inmates	851
Number of PREA incidents filed by inmates	18
Number of PREA hotline calls received	4
Percentage of grievances sustained	2.33%
Number of disciplinary actions against inmates	2,188

**VERMONT DEPARTMENT OF PERSONNEL**  
**Request for Classification Review**  
**Position Description Form A**

- **This form is to be used by managers and supervisors to request classification of a position (filled or vacant) when the duties have changed, and by managers and supervisors to request the creation of a new job class/title (for a filled, vacant, or new position), and by employees to request classification of their position.**
- This form was designed in Microsoft Word to download and complete on your computer. This is a form-protected document, so information can only be entered in the shaded  areas of the form.
- If you prefer to fill out a hard copy of the form, contact your Personnel Officer.
- To move from field to field use your mouse, the arrow keys or press Tab. Each form field has a limited number of characters. Use your mouse or the spacebar to mark and unmark a checkbox.
- Where additional space is needed to respond to a question, you might need to attach a separate page, and number the responses to correspond with the numbers of the questions on the form. Please contact your Personnel Officer if you have difficulty completing the form.
- The form must be complete, including required attachments and signatures or it will be returned to the department's personnel office. All sections of this form are required to be completed unless otherwise stated.

**INSTRUCTIONS:** Tell us about the job. The information you provide will be used to evaluate the position. It will not be used in any way to evaluate an employee's performance or qualifications.

Answer the questions carefully. The information you give will help ensure that the position is fairly evaluated. Here are some suggestions to consider in completing this questionnaire:

- Tell the **facts** about what an employee in this position is actually expected to do.
- Give **specific examples** to make it clear.
- Write in a way so a person unfamiliar with the job will be able to understand it.
- Describe the job **as it is now**; not the way it was or will become.
- Before answering each question, read it carefully.

**To Submit this Request for Classification Review:** If this is a filled position, the employee must sign the original\* and forward to the supervisor for the supervisor's review and signature. The Personnel Officer and the Appointing Authority must also review and sign this request before it is considered complete. The effective date of review is the beginning of the first pay period following the date the complete Request for Classification Review is date stamped by the Classification Division of the Department of Personnel.

\*An employee may choose to sign the form, make a copy, submit original to supervisor as noted above, while concurrently sending the copy to the Classification Division, 144 State Street, Montpelier, with a cover note indicating that the employee has submitted the original to the supervisor and is submitting the copy as a **Concurrent** filing.

**If this is a request (initiated by employees, VSEA, or management) for review of all positions in a class/title please contact the appropriate Classification Analyst or the Classification Manager to discuss the request prior to submitting.**



## Request for Classification Review Position Description Form A

For Department of Personnel Use Only

Notice of Action # _____		Date Received (Stamp)
Action Taken: _____		
New Job Title _____		
Current Class Code _____	New Class Code _____	
Current Pay Grade _____	New Pay Grade _____	
Current Mgt Level _____ B/U _____ OT Cat. _____	EEO Cat. _____	FLSA _____
New Mgt Level _____ B/U _____ OT Cat. _____	EEO Cat. _____	FLSA _____
Classification Analyst _____	Date _____	Effective Date: _____
Comments: _____		Date Processed: _____
Willis Rating/Components: _____	Knowledge & Skills: _____	Mental Demands: _____
	Working Conditions: _____	Accountability: _____
	Total: _____	

### Incumbent Information:

Employee Name:  Employee Number:   
Position Number:  Current Job/Class Title:   
Agency/Department/Unit:  Work Station:  Zip Code:   
Supervisor's Name, Title, and Phone Number:   
How should the notification to the employee be sent:  employee's work location  or  other address, please provide mailing address:

### New Position/Vacant Position Information:

New Position Authorization:  Request Job/Class Title:   
Position Type:  Permanent or  Limited / Funding Source:  Core,  Partnership, or  Sponsored  
Vacant Position Number:  Current Job/Class Title:   
Agency/Department/Unit:  Work Station:  Zip Code:   
Supervisor's Name, Title and Phone Number:

Type of Request:

- Management:** A management request to review the classification of an existing position, class, or create a new job class.
- Employee:** An employee's request to review the classification of his/her current position.

## 1. Job Duties

This is the **most critical** part of the form. Describe the activities and duties required in your job, **noting changes (new duties, duties no longer required, etc.) since the last review**. Place them in order of importance, beginning with the single most important activity or responsibility required in your job. The importance of the duties and expected end results should be clear, including the tolerance that may be permitted for error. Describe each job duty or activity as follows:

- **What** it is: The nature of the activity.
- **How** you do it: The steps you go through to perform the activity. Be specific so the reader can understand the steps.
- **Why** it is done: What you are attempting to accomplish and the end result of the activity.

For example a Tax Examiner might respond as follows: **(What)** *Audits tax returns and/or taxpayer records.* **(How)** *By developing investigation strategy; reviewing materials submitted; when appropriate interviewing people, other than the taxpayer, who have information about the taxpayer's business or residency.* **(Why)** *To determine actual tax liabilities.*

This is a limited service position created to manage key operational elements and ensure implementation of Vermont's activities and responsibilities under a multi-year project directed at researching and improving prison culture, operations, and design to create more humane and rehabilitative correctional environments. This position is approved until June 30, 2024.

The Prison Research and Innovation Network Manager (PRINM) duties include but are not limited to the following: coordinate, facilitate, and implement Vermont's planning activities with a Technical Assistance provider; support and direct the project Executive and Steering Committees; develop and implement a plan for engaging and facilitating stakeholder participation; manage day-to-day project work; ensure compliance with project timelines; prepare project reports and disseminating project findings; managing the grant budget; manage the contract with project research partner; assist with the design and implementation of an evaluation strategy; coordinate and align project activities and goals with other related Vermont initiatives.

**What:** Coordinate, facilitate and implement Vermont's project to improve prison culture, operations, and design.

**How:** Manage deliverables of the project which will include regular contact with the technical assistance provider, developing project plans and tracking project deliverables, convening the Executive and Steering Committees, and budget management.

**Why:** The research and innovation project requires a full time manager to ensure the project is meeting its deliverables and that information is shared with the stakeholder for decision making.

**What:** Work with the research partner to conduct research with the staff and incarcerated population.

**How:** The project design includes community based participatory research to be carried

out by a third party research partner. The Manager will support the researcher partner to gain access to staff and the incarcerated population at the research location. The research results will inform project activities.

**Why:** The project is based on a model that recognizes the value of actively engaging participants in designing and developing programs. The manager will ensure the project adheres to this model.

**What:** Lead the project at the research location

**How:** The PRINM will become a visible member of the leadership team at Southern State Correctional Facility. In this capacity, the PRINM will have direct access to inmates and staff and can engage people informally. The PRINM will also develop a formal engagement strategy that includes opportunities for the incarcerated population to shape the project. The plan will outline the methods of engagement, what types of information will be shared and how, a schedule of engagement, roles and responsibilities, and progress reporting.

**Why:** A daily presence at the research location will ensure consistent engagement and reinforcement of project goals.

**What:** Manage data collection and dissemination activities

**What:** Engage with research location staff, central office staff and the contracted researcher on efforts that support data collection improvement, enhancement, and dissemination.

**Why:** To ensure data on prison environment and operations is available in a timely manner.

**What:** Identify, develop, support and/or lead training efforts to support project goals.

**How:** Through participatory community based research, specific needs related to training (for staff and the incarcerated population) will develop. The PRINM is responsible for the process to implement training activities which could include the RFP and Contract process, curriculum development and approval, delivery and evaluation.

**Why:** To ensure the delivery of new skills and knowledge to the people who live and work in the research location.

## 2. Key Contacts

This question deals with the personal contacts and interactions that occur in this job. Provide brief typical examples indicating your primary contacts (**not** an exhaustive or all-inclusive list of contacts) other than those persons to whom you report or who report to you. If you work as part of a team, or if your primary contacts are with other agencies or groups outside State government describe those interactions, and what your role is. For example: you may *collaborate, monitor, guide, or facilitate change*.

Technical Assistance Providers from Urban Institute/Arnold Venture  
Project Executive Committee  
Project Steering Committee  
DOC Senior Management Team  
Project Researchers from UVM  
Staff and residents of Southern State Correctional Facility

**3. Are there licensing, registration, or certification requirements; or special or unusual skills necessary to perform this job?**

Include any special licenses, registrations, certifications, skills; (such as counseling, engineering, computer programming, graphic design, strategic planning, keyboarding) including skills with specific equipment, tools, technology, etc. (such as mainframe computers, power tools, trucks, road equipment, specific software packages). Be specific, if you must be able to drive a commercial vehicle, or must know Visual Basic, indicate so.

Successful candidate must be skilled in trauma-informed practices and communication techniques to work with an incarcerated population. Skills in public administration, social services, project and budget management, leadership, written and oral communication, and relationship building are necessary for management of the project.

**4. Do you supervise?**

In this question "supervise" means if you direct the work of others where you are held **directly** responsible for assigning work; performance ratings; training; reward and discipline or effectively recommend such action; and other personnel matters. List the names, titles, and position numbers of the classified employees reporting to you:

No.

**5. In what way does your supervisor provide you with work assignments and review your work?**

This question deals with how you are supervised. Explain how you receive work assignments, how priorities are determined, and how your work is reviewed. There are a wide variety of ways a job can be supervised, so there may not be just one answer to this question. For example, some aspects of your work may be reviewed on a regular basis and in others you may operate within general guidelines with much independence in determining how you accomplish tasks.

This position will be supervised by the Administrative Services Director. The Project Director will have considerable latitude and decision making authority within in the limits of the project plan. The Manager will take general direction from the Executive Committee and carry out activities as needed to complete the work.

**6. Mental Effort**

This section addresses the mental demands associated with this job. Describe the most mentally challenging part of your job or the most difficult typical problems you are expected to solve. Be sure to give a specific response and describe the situation(s) by example.

- For example, a purchasing clerk might respond: *In pricing purchase orders, I frequently must find the cost of materials not listed in the pricing guides. This involves locating vendors or other sources of pricing information for a great variety of materials.*
- Or, a systems developer might say: *Understanding the ways in which a database or program will be used, and what the users must accomplish and then developing a system to meet their needs, often with limited time and resources.*

Understanding the unique culture and practices of the correctional setting to inform the project design. The PRINM will regularly encounter barriers such as open disagreement from staff on the reforms and managing the balance of project goals with the operations of

the facility. The PRINM must navigate these barriers using the principles of change management and relationship building as there is no direct chain of command authority to the facility staff.

Understanding, incorporating, and collaborating with different stakeholders with differing perspectives, when creating a new program and policies. The project will involve stakeholders from various aspects of the criminal justice system including advocates, current and formerly incarcerated individuals, and elected officials.

## 7. Accountability

This section evaluates the job's expected results. In weighing the importance of results, consideration should be given to responsibility for the safety and well-being of people, protection of confidential information and protection of resources.

What is needed here is information not already presented about the job's scope of responsibility. What is the job's most significant influence upon the organization, or in what way does the job contribute to the organization's mission?

Provide annualized dollar figures if it makes sense to do so, explaining what the amount(s) represent.

For example:

- A social worker might respond: *To promote permanence for children through coordination and delivery of services;*
- A financial officer might state: *Overseeing preparation and ongoing management of division budget: \$2M Operating/Personal Services, \$1.5M Federal Grants.*

The PRINM is responsible for the implementation of a 4 year research grant from Urban Venture/Arnold Foundation. This is a high profile project with state-wide and national exposure.

## 8. Working Conditions

The intent of this question is to describe any adverse conditions that are routine and expected in your job. It is not to identify special situations such as overcrowded conditions or understaffing.

- a) What significant mental stress are you exposed to? All jobs contain some amount of stress. If your job stands out as having a significant degree of mental or emotional pressure or tension associated with it, this should be described.

Type	How Much of the Time?
Decision making and accountability for the implementation of the project plan	100%

- b) What hazards, special conditions or discomfort are you exposed to? (Clarification of terms: **hazards** include such things as potential accidents, illness, chronic health conditions or other harm. Typical examples might involve exposure to dangerous persons, including potentially violent customers and clients, fumes, toxic waste, contaminated materials, vehicle accident,

disease, cuts, falls, etc.; and **discomfort** includes exposure to such things as cold, dirt, dust, rain or snow, heat, etc.)

Type	How Much of the Time?
This position is based at Southern State Correctional Facility and requires regular interaction with inmates	80 - 90%

c) What weights do you lift; how much do they weigh and how much time per day/week do you spend lifting?

Type	How Heavy?	How Much of the Time?
Typical Office Work	5-10	10%

d) What working positions (sitting, standing, bending, reaching) or types of effort (hiking, walking, driving) are required?

Type	How Much of the Time?
Sitting at a desk	50%
Driving to meetings	5%

**Additional Information:**

Carefully review your job description responses so far. If there is anything that you feel is important in understanding your job that you haven't clearly described, use this space for that purpose. Perhaps your job has some unique aspects or characteristics that weren't brought out by your answers to the previous questions. In this space, add any additional comments that you feel will add to a clear understanding of the requirements of your job.

Position is vacant

Employee's Signature (required): \_\_\_\_\_ Date: \_\_\_\_\_

**Supervisor's Section:**

Carefully review this completed job description, but **do not** alter or eliminate any portion of the original response. Please answer the questions listed below.

1. What do you consider the most important duties of this job and why?

The PRIN will take the lead in designing and implementing the project. The person in the position must be able to take general direction and turn that into actionable steps. Other important duties include managing the research contract, the project budget, organizing the Executive and Steering Committees, detailed record keeping, report writing, delivering presentations, and training.

2. What do you consider the most important knowledge, skills, and abilities of an employee in this job (not necessarily the qualifications of the present employee) and why?

The PRINM is responsible for managing cultural reform with a prison setting. To do this, the encumbant must be adept at building trust with all people who reside and work in the facility. This position requires knowledge of prison operations, change management, data analysis, and skilled communication techniques. It is a unique set of skills to combine in one position.

3. Comment on the accuracy and completeness of the responses by the employee. List below any missing items and/or differences where appropriate.

N/A

4. Suggested Title and/or Pay Grade:

Prison Research and Innovation Network Manager, Paygrade 28

Supervisor's Signature (required):



Date:

11/19/19

**Personnel Administrator's Section:**

*Please complete any missing information on the front page of this form before submitting it for review.*

Are there other changes to this position, for example: Change of supervisor, GUC, work station?

Yes  No If yes, please provide detailed information.

Attachments:

- Organizational charts are **required** and must indicate where the position reports.
- Draft job specification is **required** for proposed new job classes.

Will this change affect other positions within the organization? If so, describe how, (for example, have duties been shifted within the unit requiring review of other positions; or are there other issues relevant to the classification review process).

Suggested Title and/or Pay Grade:


Personnel Administrator's Signature (**required**): \_\_\_\_\_ Date: \_\_\_\_\_

**Appointing Authority's Section:**

Please review this completed job description but **do not alter** or eliminate any of the entries. Add any clarifying information and/or additional comments (if necessary) in the space below.

Suggested Title and/or Pay Grade:

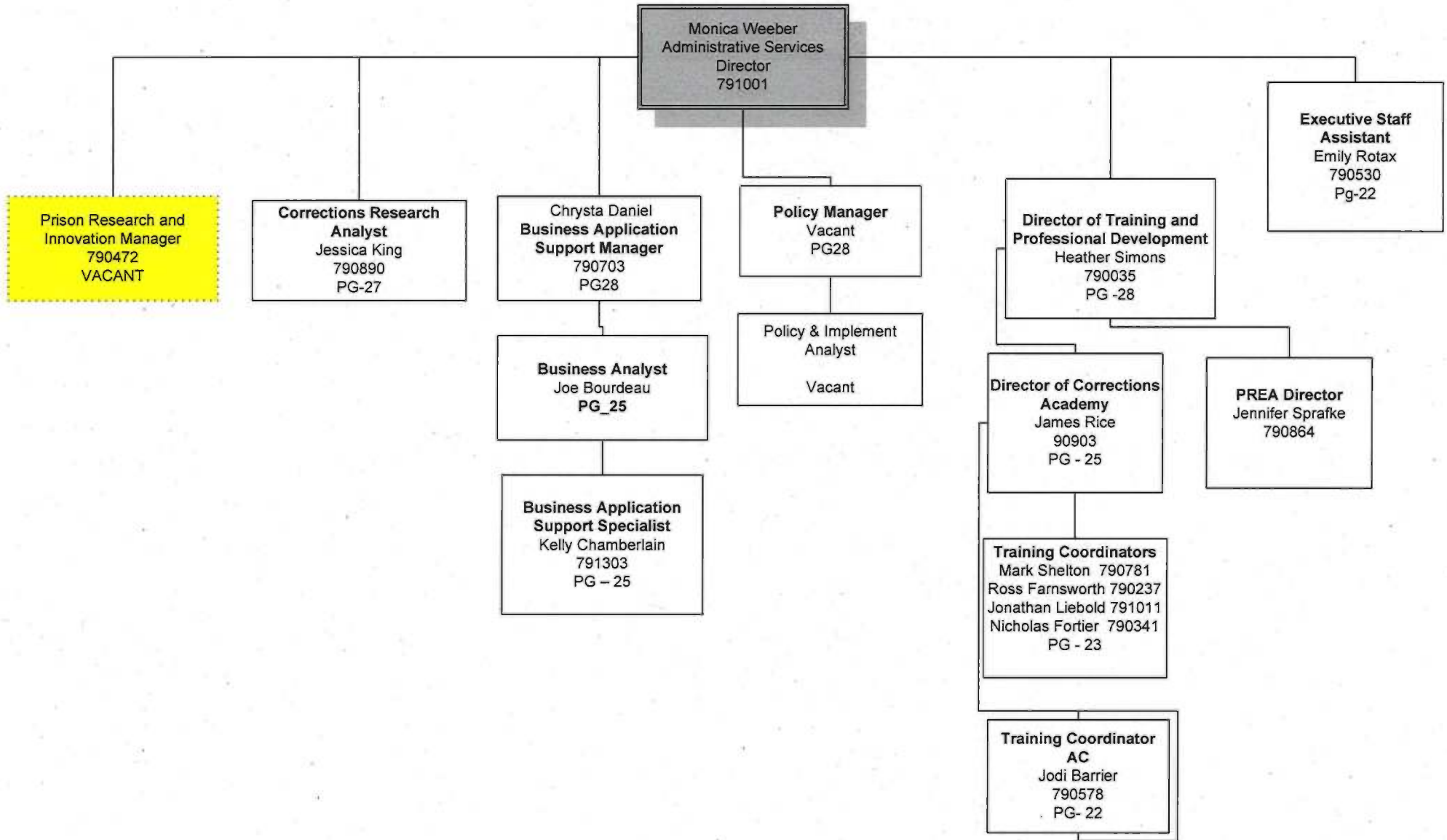
*per classification committee*

  
\_\_\_\_\_  
Appointing Authority or Authorized Representative Signature (**required**)


11/20/19  
Date



# Administrative Services Division





To: Mike Smith, AHS Secretary  
From: Michael Touchette, DOC Commissioner   
Re: Position Request  
Date: November 14, 2019

I am writing to request approval to submit an RFR for a new position to support the Prison Innovation and Reform Project. With approval from the Secretary's office in June 2019, DOC applied to Urban Ventures/Arnold Foundation to participate in their Prison Research and Innovation Network. This a comprehensive effort to build evidence and spur innovation to make prisons more humane, safe, and rehabilitative environments. It is a four-year project that will leverage research and evidence to shine a much-needed light on prison conditions and pilot strategies to promote the well-being of people who live and work behind bars.

A requirement of the grant is to hire a full-time manager to support the project. During the first year of the project, the manager will be supported with grant funds. During years 2-4, DOC will provide the funds to support the position. The position will be established as limited-service position allowing for the optional transition to permanent employment or elimination as determined by the department towards the end of the project.

An initial conversation with the Urban/Arnold team indicates that Vermont has a strong chance to receive this award. The final decision will be announced by December 1<sup>st</sup>. The Urban/Arnold team indicated that work should begin as soon as possible and encouraged applicants to be prepared to hire and start working on the project in January 2020. If we are not awarded the grant, I will withdraw our request prior to the December 5, 2019 AHS Classification Committee meeting.

A copy of the job description and RFR are attached to this request.

## **PRISON RESEARCH AND INNOVATION NETWORK MANAGER**

### **Class Definition:**

Manage the key operational elements and ensure implementation of Vermont's activities and responsibilities related to a multi-year project directed at researching and improving prison culture, operations, and design to create more humane and rehabilitative correctional environments. Under the general supervision of an Administrative Director, performs administrative, managerial, and planning work.

All employees of the Agency of Human Services perform their respective functions adhering to four key practices: customer service, holistic service, strengths-based relationships and results orientation.

### **Examples of Work:**

The Prison Research and Innovation Network Manager duties include but are not limited to the following: coordinate, facilitate, and implement Vermont's planning activities with a Technical Assistance provider; support and direct the project Executive and Steering Committees; develop and implement a plan for engaging and facilitating stakeholder participation; manage day-to-day project work; ensure compliance with project timelines; prepare project reports and disseminate project findings; manage the grant budget; manage the contract with project research partner; assist with the design and implementation of an evaluation strategy; and coordinate and align project activities and goals with other related Vermont initiatives.

### **Environmental Factors:**

Duties are mainly performed in a correctional facility. Departmental and public meetings require private means of transportation and result in frequent travel. Evening and weekend work may occur.

Emergency situations may require availability at any time. Direct contact with offenders is predictable and poses possible danger. Stress may be encountered from tight deadlines, conflicting opinions, and working within a correctional facility. The incumbent must be skilled at conflict management and integrating various stakeholder viewpoints.

### **Minimum Qualifications**

#### **Knowledge, Skills and Abilities:**

- Ability to work and make decisions independently
- Considerable knowledge of correctional practices and principles

- Considerable experience and expertise with project management, including budget monitoring and reporting to funders
- Knowledge of principles and practices of Organizational Change Management
- Ability to develop and deliver multi-mode communications effectively for different audiences
- Familiarity with quality measurement and improvement strategies
- Experience overseeing and guiding complex projects with multiple partners and stakeholders
- Excellent organizational skills and ability to balance many competing demands and urgent matters
- Ability to work with policymakers, providers, and other professionals
- Strong oral and written communication skills, including experience preparing reports and presentations
- Proficiency with Microsoft Office software (Word, Excel, PowerPoint)
- Ability to develop and implement effective program policies and operating procedures
- Ability to establish and maintain effective working relationships with diverse groups of state and local partners and stakeholders, and to develop a team approach among project staff
- Ability to perform job duties within the framework of the four key practices of the Agency of Human Services: customer service, holistic service, strengths-based relationships and results orientation

**Education and Experience:**

Graduate degree in public or business administration or in a human services or health field AND three (3) years or more of professional-level experience in public or business administration, planning, grant management, or project management, including work in either a correctional setting or in a role requiring frequent interaction with correctional facility administration and inmates, coordination with a correctional facility program, or direct casework with inmates.

**OR**

Bachelor's degree in public or business administration or in a human services or health field AND five (5) years or more of professional-level experience in in public or business administration, planning, grant management, or project management, including work in either a correctional setting or in a role requiring frequent interaction with correctional facility administration and inmates, coordination with a correctional facility program, or direct casework with inmates.