

# **2002 Annual Performance Report**

March 2003

Minnesota Department of Corrections  
1450 Energy Park Drive, Suite 200  
St. Paul, Minnesota 55108-5219  
(651) 642-0200  
TTY (651) 643-3589

This information will be made available in alternative format upon request.  
Printed on recycled paper with at least 10 percent post-consumer waste.

The total cost of salaries, printing, and supplies incurred in the development and preparation of this report is \$6,410 (reported as required by M.S. 3.197).

# Table of Contents

---

Executive Summary.....	1
Introduction .....	3
<b>Section I.</b> Strategic Plan 2000 FY02 Performance Report Detail .....	5
<b>Section II.</b> FY02 Per Diem Information .....	19
<b>Section III.</b> Annual Performance Statistics.....	21
<b>Section IV.</b> Adult and Community Recidivism .....	29
Adult Recidivism Update.....	30
Community Recidivism .....	32
Research Method.....	32
Demographic Information .....	33
Re-Conviction Rate.....	34
Re-Incarceration Rate.....	35

# Figures

---

Figure 1 Adult Correctional Institutions: Per Diems at End of Fiscal Year 2002.....20

## Annual Performance Statistics

Figure 2 Number of Discipline Convictions and Incidents– Adult Facilities .....22  
Figure 3 Number of Discipline Convictions and Incidents– MCF-Red Wing.....23  
Figure 4 Offender Capacity and Population by Facility and Fiscal Year.....24  
Figure 5 Percent of Idle Adult Offenders by Month – FY01 .....25  
Figure 6 Percent of Idle Adult Offenders by Month - FY02 .....26  
Figure 7 MINNCOR Operating Statistics by Fiscal Year .....27

## Adult Recidivism Update

Figure 8 Felony Re-Conviction Rates Up to Three Years Post-Release.....30  
Figure 9 Re-Incarceration Rates Up to Three Years Post-Release.....31

## Community Recidivism Findings

Figure 10 Supervision Type .....33  
Figure 11 Offender’s Race.....33  
Figure 12 Offender’s Sex .....33  
Figure 13 Felony-Level Conviction Rates For Felons on Probation or Supervised Release .....34  
Figure 14 Three-Year Incarceration Rates Since Active Probation .....35

# Executive Summary

---

M.S. §241.016 requires submission of an annual report to the legislature by the Minnesota Department of Corrections (DOC). The statute stipulates that the report include information on: 1) the DOC's strategic plan, 2) department-wide per diem information, 3) annual statistics, and 4) recidivism data on a rotating basis (adult facility, juvenile facility, and community services). The recidivism section requires an update of adult recidivism.

## **Section I: Strategic Planning Outcomes**

The DOC's Strategic Plan has 36 performance indicators under six main goals. The 2002 results show improvement in 16 of the indicators over the previous year's targets. Twelve indicators were negative, three showed no change, and five were pending or not applicable. The DOC has identified nine of the indicators as top priorities. Of these targets, the DOC met or exceeded seven. These include: percent of DOC-supervised offenders with a new felony conviction while under supervision (3%); percent of court-ordered restitution paid (77%); percent of eligible offenders receiving a GED/12<sup>th</sup> grade education (24%); percent of eligible offenders with an increase in grade level (69%); number of community members involved in direct offender service (3,059); per diem of facilities, programs, and services (\$79.89); and number of events to discuss DOC policy with policymakers and the public (88).

## **Section II: Per Diem**

The per diem for 2002 was \$79.89. This includes \$68.28 for facility programs and services and \$11.61 for health care. As directed by M.S. §241.018, after including capital costs and 65 percent of central office indirect costs, the total adult facility per diem equals \$94.17. This is a reduction from last year's per diem of \$102.20.

## **Section III: Annual Performance Statistics**

It is the hope of the DOC that the information contained in the strategic plan will be more meaningful than the performance statistics, and eventually the two areas will come together. Already, much of the information that used to be reported as a performance measure has been incorporated into the strategic plan. The information that is not in the strategic plan section of this report (Section I) is included in this section (Section III).

## **Section IV: Adult and Community Recidivism**

The 2001 Annual Performance Report presented recidivism information for adults and juveniles. Adult three-year post-release re-conviction and re-incarceration rates were based on adults released from prison between 1990 and 1998. This year's report includes offenders released in 1999. Currently, the three-year, post-release, felony re-conviction rate for this group is 28 percent while the re-incarceration rate is 21 percent.

The new Statewide Supervision System enables the DOC to report statewide information on recidivism rates of felony-level offenders on supervised release or probation. In order to determine three-year recidivism rates, a random sample of 400 felony-level offenders who were on supervised release or probation in 1998 was drawn. By 2001, 18 percent of these offenders were re-convicted for a felony-level crime and 16 percent were incarcerated in one of Minnesota's adult correctional facilities.



# Introduction

---

Over the past five years, the legislature has required the DOC to complete several reports focusing on performance measures. Because of modifications to these reports, it became clear that the information would be more meaningful and less fragmented if it was consolidated into one comprehensive report. In 2001, the legislature agreed to this consolidation and outlined the specifics of the annual report in M.S. §241.016. This statute requires the DOC to report on its strategic plan, per diems, annual statistics, and recidivism rates in Minnesota. Specifically, this statute states:

Subdivision 1. Annual Report. (a) The department of corrections shall submit a performance report to the chairs and ranking minority members of the senate and house committees and divisions having jurisdiction over criminal justice funding by January 15 of each year. The issuance and content of the report must include the following:

- (1) department strategic mission, goals, and objectives;
- (2) the department-wide per diem, adult facility-specific per diems, and an average per diem reported in a standard calculated method as outlined in the departmental policies and procedures; and
- (3) departmental annual statistics as outlined in the departmental policies and procedures.

(b) The department shall maintain recidivism rates for adult facilities on an annual basis. In addition, each year the department shall, on an alternating basis, complete a recidivism analysis of adult facilities, juvenile services, and the community services divisions and include three-year recidivism analysis in the report described in paragraph (a). When appropriate, the recidivism analysis must include education programs, vocational programs, treatment programs, industry, and employment.

This year, for the first time, the DOC is reporting community recidivism rates for felony-level offenders on supervised release, parole, or probation. Gathering the recidivism information for this report is possible because of the new Statewide Supervision System (S<sup>3</sup>). The development of a statewide data system allows the DOC access to information on felons supervised in the community from across the state.



# Section I

## **Strategic Plan 2000: FY02 Performance Report Detail**

The DOC's Strategic Plan has 36 performance indicators under six main goals. This is the second year in which the department has outcome data regarding its strategic plan. The 2002 results show improvement in 16 of the indicators over the previous year's targets. Twelve indicators were negative, three showed no change, and five were pending or not applicable.

During the first year (FY01) of collecting data, there was tremendous growth in the ability to measure activity. The greatest difficulty was establishing a method of measurement that will be accurate today, 12 months from now, and for years to come. The greatest benefit was the enthusiasm for tracking improvement. DOC employees recognized that correctional work has great importance to society. Keeping score has created a new level of effort to find improvements, better methods, and the lowest-cost solution.

During the second year (FY02), the DOC has uncovered a variety of system and data issues that made it difficult to provide valid and reliable result measures for the 36 indicators. Finding the system and data issues allows them to be addressed and corrected. Numerous teams worked together to identify and correct the problems. Step-by-step, the measurement process is improving and commitment to the process is growing. This performance report reflects this continuing improvement.



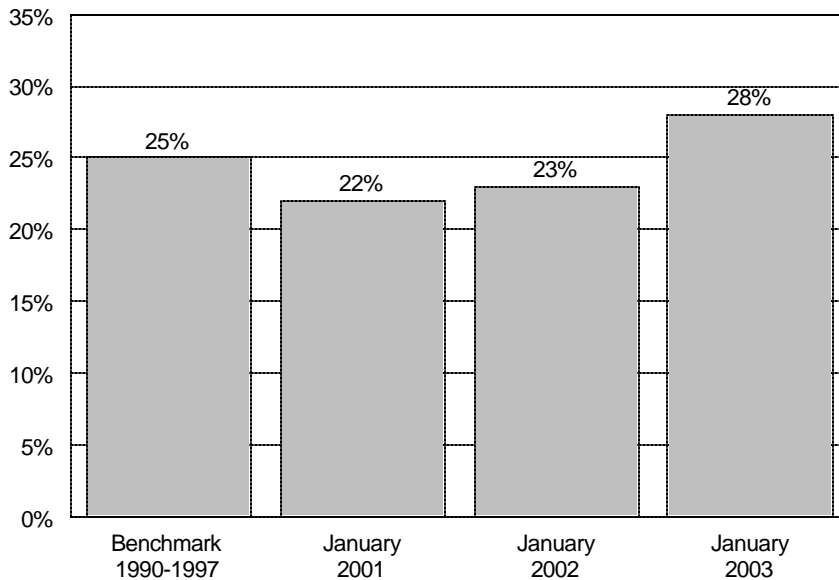
## DOC Goal: Community Safety

### Outcome: Reduce the risk of recidivism

#### Indicator of Results:

A. Reduce the percent of offenders reconvicted of a new felony within three years of release from prison.

Percent of Offenders with a New Felony Conviction  
Three Years Post-Release

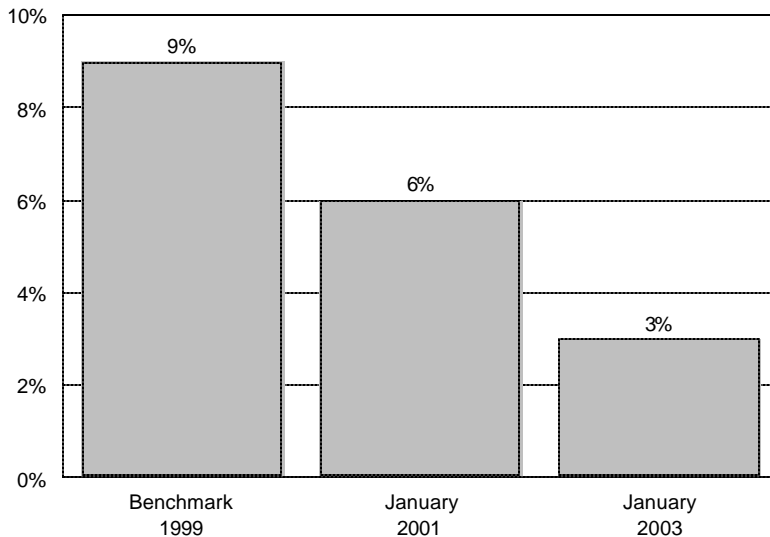


- ◆ This chart reflects the rate of new felony convictions for offenders released three years prior to the year indicated. Because community safety is the highest priority and primary goal, recidivism, or offenders' rate of return to correctional custody for new crimes, is a key performance measure. While there is an increase in reconviction rates between January 2002 (23%) and January, 2003 (28%), the average recidivism rate for the past 10 years is 24 percent.

#### Indicator of Results:

B. Reduce the percent of DOC-supervised offenders reconvicted of a new felony while under supervision.

Percent of Supervised Offenders  
With a New Felony While Under Supervision



- ◆ During CY 2002 for prison-released offenders under DOC supervision and offenders sentenced to DOC supervision instead of prison for a misdemeanor, gross misdemeanor, or felony, three percent committed a new felony.

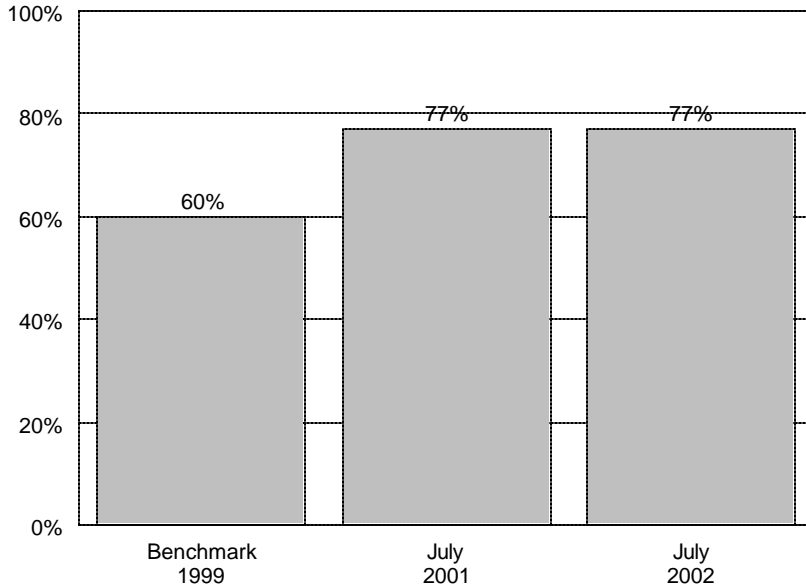
**DOC Goal: Offender Accountability**

**Outcome: Increase offender payment of restitution and victim aid**

*Indicator of Results:*

**A. Percent of court-ordered restitution paid per year.**

Percent of Court-Ordered Restitution Paid



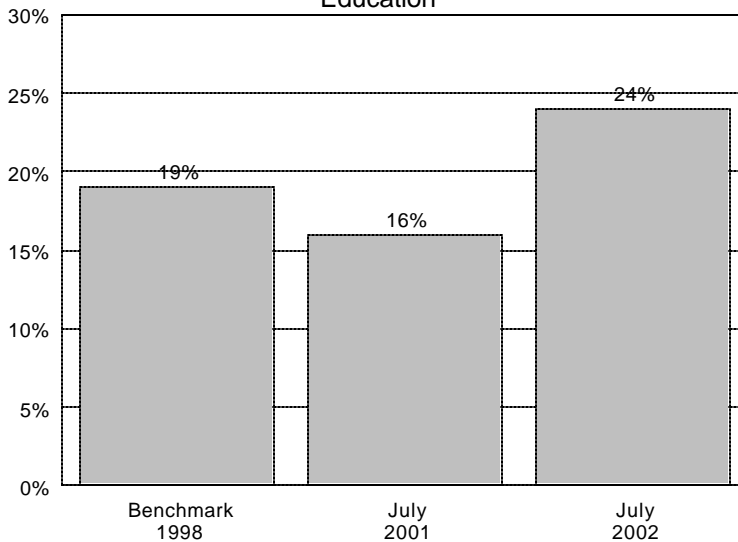
- ◆ Victim satisfaction with the justice process increases when offenders fully pay restitution. The DOC secures a portion of offenders' wages and other income for payment toward restitution and victim aid. This resulted in 77 percent of probationers completing their restitution obligation at probation discharge in both FY01 and FY02. This indicator is calculated for both offenders on supervised release and probation.

**Outcome: Increase level of educational achievement for eligible offenders in prison**

*Indicator of Results:*

**B. Eligible offenders receiving a GED/12<sup>th</sup> grade education.**

Percent of Eligible Offenders Receiving a GED/12<sup>th</sup> Grade Education

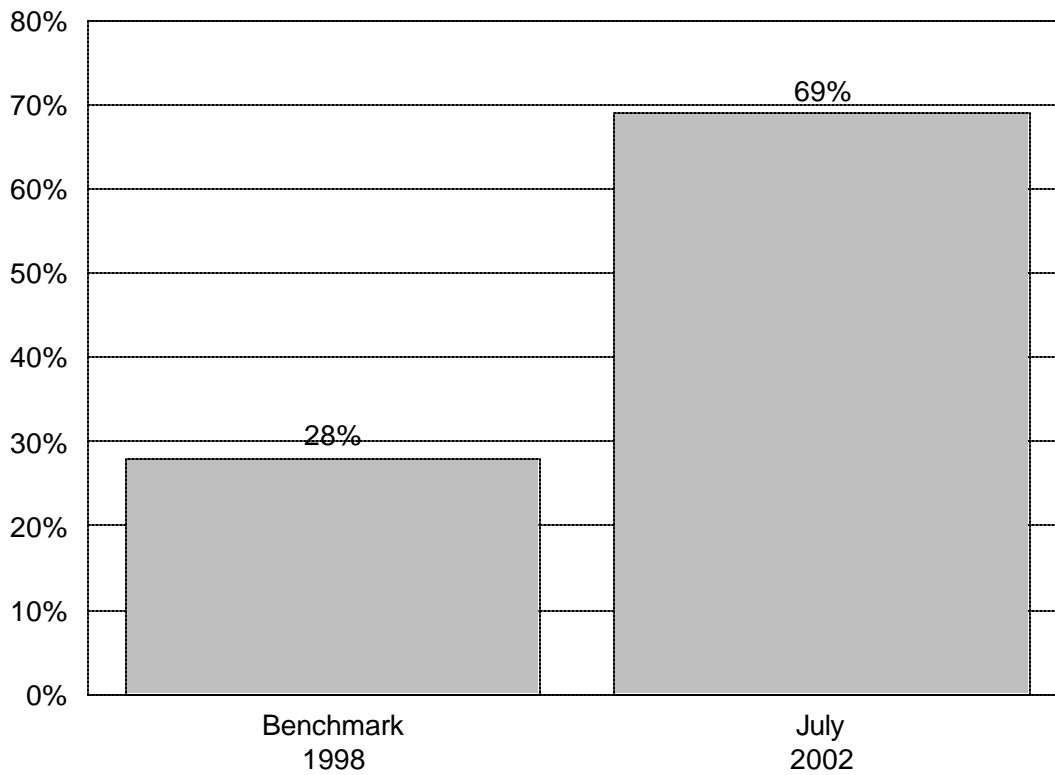


- ◆ Preparing offenders for release and transition back into their communities aligns with the DOC's priority of maintaining healthy, vital communities by increasing offenders' level of educational achievement during incarceration. All offenders undergo educational testing at intake, and those offenders who enter an institution with less than a GED/12<sup>th</sup> grade education *and* who have a period of incarceration longer than one year are included in a literacy target group. This group is then directed toward coursework to develop their core competencies. In 2000 and 2001, the coursework focused on raising the reading level of the offenders. In 2002, the focus shifted to successful completion of the GED, which is indicated by the increase from 16 percent in FY01 to almost one-quarter (24%) of eligible offenders receiving a GED/12<sup>th</sup> grade education in FY02.

*Indicator of Results:*

C. Eligible adult offenders who participate in prison education programming will increase their grade level.

Percent of Eligible Offenders with an Increase in Grade Level



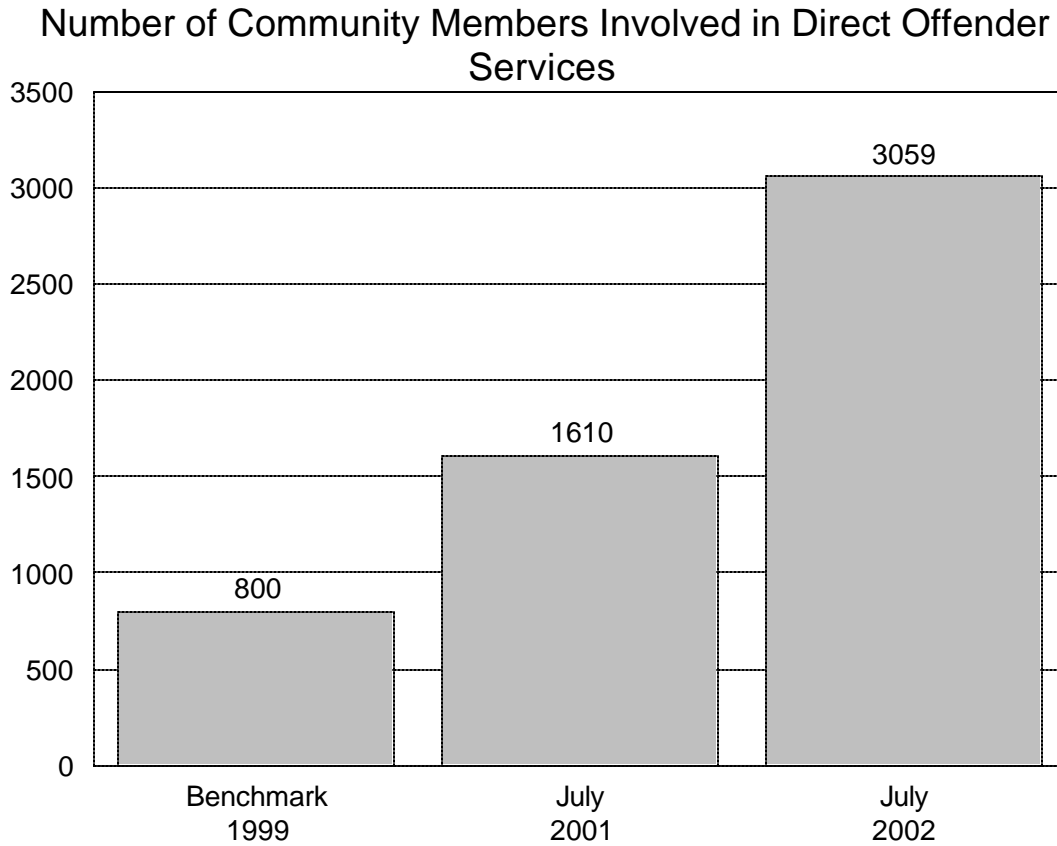
- ◆ Increasing adult offenders' educational levels helps prepare them to become contributing members of their communities when they are released from prison. Beginning in 2000, the measure for educational achievement was modified from teacher's perception of student achievement to change measured by test scores. In 1998, 28 percent of students increased their grade level as measured by testing; by this current fiscal year, test scores show that almost seven in ten (69%) offenders increased their grade level.

**DOC Goal: Shared Responsibility with the Community**

**Outcome: Increase community involvement in direct offender service activities**

*Indicator of Results:*

A. Number of community members involved in direct offender service activities, per year.



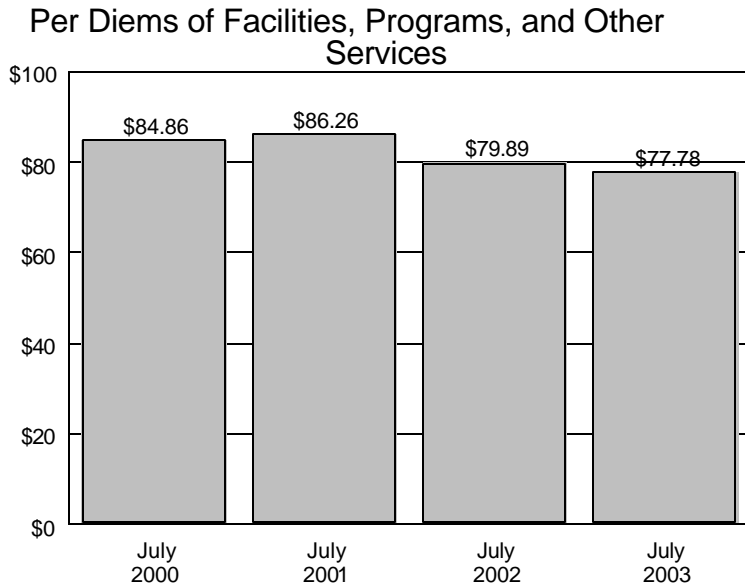
- ◆ Research indicates that community-centered justice efforts can improve community attitudes toward social control and mitigate the effects of incarceration by allowing members to share responsibility for preventing and reacting to crime.
- ◆ A key indicator of DOC efforts to increase community involvement is the number of citizens involved in direct offender service activities per year. During fiscal year 2001, 1,610 community members participated in direct offender service activities in the prisons, such as facilitating AA/NA groups, victim impact classes, and providing faith-based services. By July 2002, the number involved in direct offender service increased 90 percent to a total of 3,059.

**DOC Goal: Operational Effectiveness**

**Outcome: Reduce costs of correctional services**

*Indicator of Results:*

A. Per inmate, per day costs (per diems) of facilities, programs, and other correctional services.

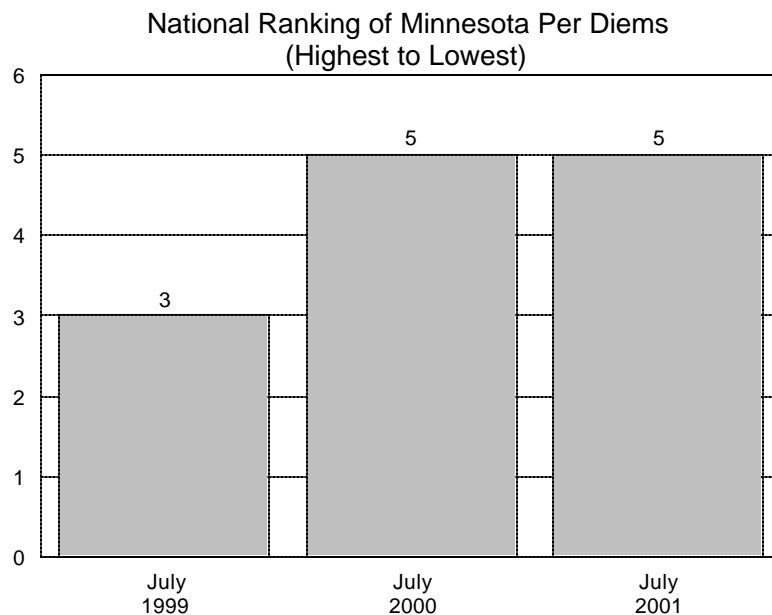


\*Does not include inflation. The July 2003 number is the DOC's current per diem target.

◆ The DOC is reducing the cost to operate prisons on a per diem basis, while ensuring public and staff safety. In fiscal year 1999, the DOC adult inmate per diem ranked third highest nationally, according to *The Corrections Yearbook*, published by the Criminal Justice Institute, Inc. In fiscal year 2000, the DOC ranking was reduced to fifth. The DOC remained in fifth ranking during fiscal year 2001. The information for fiscal year 2002 is not yet available.

*Indicator of Results:*

B. Minnesota out of national top five per diems.

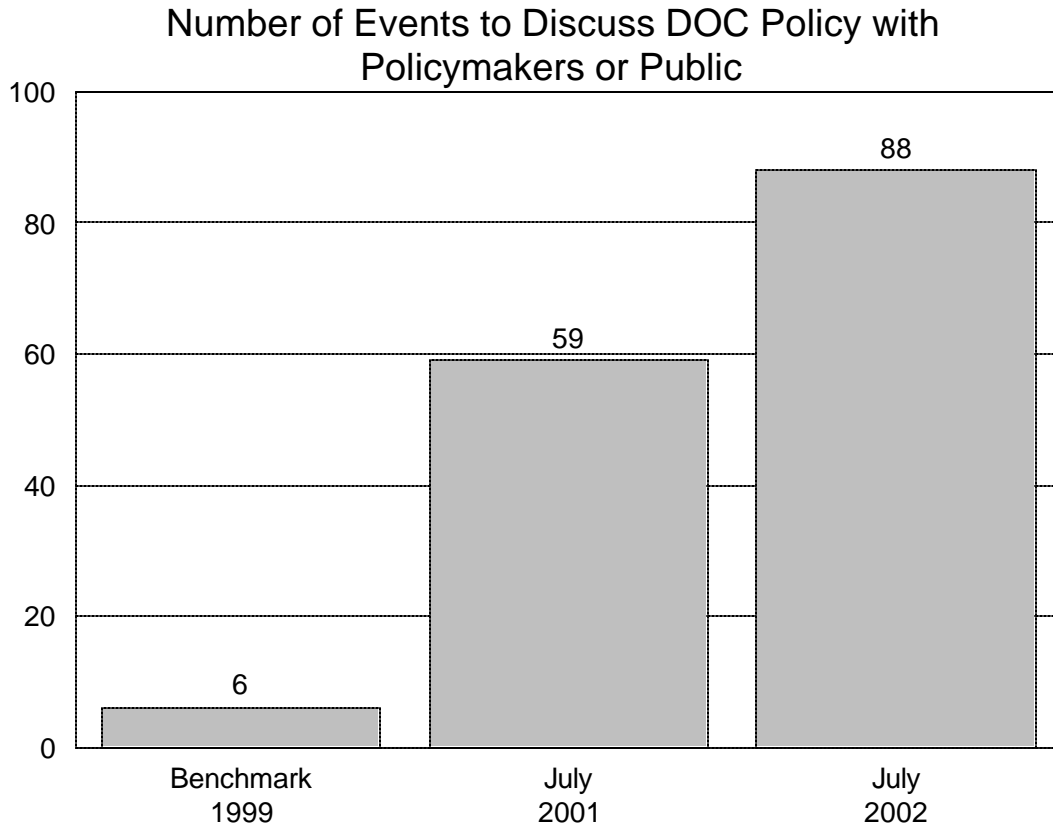


**DOC Goal: Sound Public Policy**

**Outcome: Encourage good correctional policy discussions/decisions through public involvement**

*Indicator of Results:*

A. Functions and events to discuss DOC policy with policymakers and the public.



- ◆ The DOC has sponsored or participated in various activities that increase public involvement in corrections and enhance the formation of sound public policy. This number has steadily increased each fiscal year with 88 events occurring in 2002. A few examples are:
  - Symposium on Offenders with Mental Illness, January 2002
  - Keep Kids Alcohol Free Initiative, April 2002
  - Level Three Sex Offender Community Notification Meetings, ongoing

## DOC Goal: Community Safety

Outcomes	Indicators	1999 Benchmarks	FY01	FY02
Reduce the risk of recidivism	1. Comparison of pre- and post-treatment risk scores on a standardized instrument (Level of Service Inventory)	25% reduction in risk score	Pending	Pending
	2. Percent of offenders convicted of a felony within three years of release	25%	22%	28%
	3. Percent of offenders convicted of a felony while under supervised probation in the community	9%	6%	3%
Reduce incidents of absconding from correctional programs	4. Offenders who escape (secure facility)	0	0	0
	5. Offenders who walk away (non-secure facility)	9	10	2
	6. Fugitive captures	92%	99%	92.4%

Notes:

- #1 LSI pre- and post-treatment scores have been standardized for all DOC Field Services and institutions have been trained. Data is being collected, and the first results will be available in early 2003.
- #2 The information presented in indicator #2 is based on calendar year and is representative of the 1999 release population only. Recidivism rates vary from year to year and without extensive analysis and study, there currently is not a clear understanding of the specific influences that cause these fluctuations. However, the average re-conviction rate for the past ten years has remained 24 percent in both 2001 and 2002.
- #3 The percent of DOC offenders convicted of a felony while under supervision or probation in the community decreased from six percent in FY01 to three percent in FY02. Reconviction rates vary significantly between reporting periods; a drop from six to three percent does not necessarily indicate a trend. Also, the information in this indicator is based solely on offenders supervised by the DOC and cannot be compared to information in the recidivism section of this report. The recidivism information is based on a statewide sample of offenders, not only DOC.
- #5 Advanced technology helped to reduce minimum-security walk-aways in FY02.
- #6 This indicator rises and falls depending upon open cases at year-end. It is not a full reflection of activity because it can fluctuate greatly depending upon activity during the last few days of the fiscal year. The indicator will be modified in the future to reflect how long it takes to capture fugitives.

## DOC Goal: Offender Accountability

Outcomes	Indicators	1999 Benchmarks	FY01	FY02
Increase offender payment of restitution and victim aid	7. Restitution paid per year	60%	77%	77%
Increase offender compliance with conditions of release and court-ordered sanctions	8. Offenders successfully completing supervision, per year	80%	91%	85.37%
	9. Offenders completing court conditions prior to expiration	50%	80%	76%
Increase offender ability to repair harm	10. Offenders successfully completing Sentencing to Service Program requirements	88%	90%	86.25%
	11. Victim/offender dialog sessions	5	16	9
	12. Offenders participating in victim impact classes	807	1,085	1137
Increase level of educational achievement for eligible incarcerated offenders	13. Eligible offenders receiving a GED/12 <sup>th</sup> grade education	19%	16%	24%
	14. Eligible offenders who participate in education and increase their education level	48%	28%	69%

**Notes:**

- #7-9 DOC Field Services is now using a fully functional management information system, and these indicators reflect improved data management.
- #8 In FY01, 91 percent of offenders supervised by the DOC successfully completed supervision. While this number dropped to 85 percent in FY02, it is still well above the benchmark.
- #9 In FY01, 80 percent of offenders completed their court conditions prior to expiration. While this number dropped to 76 percent in FY02, it is still above the benchmark. After reviewing the last two years' fiscal data, the benchmark should be adjusted to 70 percent with the potential of going higher after two or more years of receiving data.
- #10 Statewide the 31,018 Sentencing to Service (STS) offenders worked a total of 1,241,492 hours completing projects with a total market value of \$9,650,532.
- #11-12 Increasing the opportunity for appropriate victim/offender interaction creates the opportunity for restoration. Eliminating a position at the MCF-Shakopee explains the drop in FY02 sessions.
- #14 On July 1, 2000, 48 percent of offenders participating in education increased their education level. At that time, two methods were used to determine an increase in level; sometimes the methods were used together and sometimes the methods were used independently (teacher perception and standardized testing). In the past year, teacher perception of student growth was removed, and now only grade-level testing is done. On July 1, 2001, 28 percent of students increased their level as measured by testing. The instruments of measurement changed between the two dates.



## DOC Goal: Shared Responsibility with the Community

Outcomes	Indicators	1999 Benchmarks	FY01	FY02
Increase community involvement in direct offender service activities	15. Community members involved in direct offender service activities, per year	800	1,610	3,059
Increase community volunteering with correctional activities	16. Volunteers involved in correctional activities, per year	1,096	2,904	3,051
	17. Volunteer hours spent in correctional activities, per facility/program and year	38,375	38,974	37,620
	18. Volunteers recruited, per year	229	473	590

**Notes:  
#15-18**

Community members serve a vital role with their involvement. The DOC benefits when citizens contribute their personal time and creative ideas. Recruiting 590 new volunteers during FY02 sets the stage for significant volunteer contributions in FY03.

## DOC Goal: Humane Environment for Staff and Offenders

Outcomes	Indicators	1999 Benchmarks	FY01	FY02
Provide a respectful work environment for staff	19. Department of Human Rights probable cause findings, per year	0	2	0
Decrease work-related injuries to staff	20. Assaults to staff occurring in a correctional setting, per year	131	61	57
Decrease incidents of injury to offenders	21. Assaults on offenders occurring in correctional settings, per year	219	260	275
Maintain required safety standards	22. Safety audit ratings achieved	NA	100% complete in FY01, ACA compliance scores averaged 98.8 and ranged from 97.4 to 100.	Pending

**Notes:**

- #20-21      Assaults on staff are greatly reduced while assaults on offenders have increased. The DOC is monitoring both to determine factors that influence these trends.
- #22         ACA audits are conducted every three years. All facilities were audited during calendar year 2001. All facilities received passing scores.

## DOC Goal: Operational Effectiveness

Outcomes	Indicators	1999 Benchmarks	FY01	FY02
Reduce costs of correctional services	23. Per diems of facilities, programs, and other correctional services	MN ranks in U.S. top five in per diem cost	MN ranks fifth in nation in per diem cost	Pending
Improve quality of correctional services	24. Outcome evaluations completed, per year	0	3 in progress	0
Maintain a diverse, well-trained staff	25. Percent of employees of minority status meets or exceeds census levels of the Minnesota labor force within the recruiting area population	Exceeds census level	DOC = 6.9%, MN labor force = 5.5%	DOC = 6.7%, MN labor force = 10.2%
	26. Percent of female employees matches or exceeds census levels of the Minnesota labor force within the recruiting area population	8% below census level	DOC = 38.9%, MN labor force = 34.9%	DOC = 39.1%, MN labor force = 34.8%
	27. Percent of employees who are disabled meets the state mandate	Exceeds state mandate	DOC=9.4% MN labor force=8.6%	DOC = 8.1%, MN labor force = 8.2%
	28. Employees achieving department training requirements	96%	93%	96%
	29. Staff turnover rates, by job classification	6%	9.6%	10.8%
Improve/standardize data systems and practices	30. Improvements to inter-agency data systems	1 county 0 facilities	61 counties 28 facilities	87 counties 100+ facilities
	31. Improvements to data collection procedures	1	2	3
Increase community satisfaction with correctional services	32. Community members who state an understanding of correctional services/processes	MN State Survey 2000: 40% very or somewhat familiar with correctional services/programs	34%	Pending
	33. Community members who state feeling satisfied with department services/delivery	MN State Survey 2000: 60% very or somewhat satisfied with correctional system overall	64%	Pending

Notes:

- #23 The Per Diem Reduction Committee projects an \$18 million reduction in incarceration costs, moving Minnesota from the third highest per dem in the nation in FY1999 to fifth highest in FY2001 (according to the *2001 Corrections Yearbook*, a national survey). Fiscal Year 2002 information is not yet available.
- #24 Many program evaluations are currently underway and awaiting final approval. In addition, the Research & Evaluation Unit has, in the past year, acted in an advisory capacity for many programs rather than as the primary evaluator.
- #25-27 Competing in today's job market requires a continuously improving recruitment process. The new Recruitment Task Force, a diverse group of employees from across the state, works to identify and initiate improvements in DOC recruitment. The DOC will continue to attend job fairs, increase visits to colleges, and offer student internships.
- #29 Turnover rates are rising as competition for employees remains high.
- #32-33 The Minnesota State Survey completed in the fall of 2000 provided the benchmarks of 40 percent familiar and 60 percent satisfied. Repeating the survey in 2001 provided similar results; 2002 results will be available early 2003.

## DOC Goal: Sound Public Policy

Outcomes	Indicators	1999 Benchmarks	FY01	FY02
Facilitate correctional policy discussions/decisions	34. Functions and events to discuss DOC policy with policymakers	6	59	88
Increase dissemination of accurate and timely reports on correctional issues	35. Reports released to the public, per year	21	90	99
	36. Reports posted on department website	20%	100%	100%

**Notes:**

- #34** The DOC has a comprehensive community outreach program underway to increase citizen participation in and understanding of corrections. The number of DOC community outreach events increased substantially in FY01, with a variety of public forums involving citizens and policymakers.
- #35-36** Another key element of the DOC's community outreach program is the release of reports and other corrections-related information to the public. While this information is made available in public documents, the DOC is utilizing website technology as one of the primary means of dissemination to reach the greatest number of citizens. The DOC is committed to continuing this dialogue with Minnesotans to increase the understanding of corrections and thus foster good public policy.

# Section II

## Fiscal Year 2002 Per Diem Information

Per diem information is calculated on an annual basis. The calculation procedure is standardized and in compliance with M.S. §241.018, requiring the DOC to develop a uniform method to calculate an average department-wide per diem for incarcerating offenders at adult state correctional facilities. This per diem must factor in capital costs and 65 percent of the department's management services budget.

Figure 1 on the following page shows per diem information by facility for FY2002. The total per diem at the bottom of the figure is calculated by adding the facility operating per diem, total health care per diem, total central office indirect support, and total capital project per diem.

**FIGURE 1: Adult Correctional Institutions - Per Diems at End of Fiscal Year 2002**

	MCF-STW	MCF-SCL	MCF-LL	MCF-ML	MCF-WR CIP Male	MCF-OPH	MCF-FRB	Work Release ICWC	MCF-SHK	MCF-WR CIP Female	Total
Average YTD Population	1,289	808	1,168	929	73	363	1125	152	357	14	6,278
Facility Operating Per Diem	\$61.48	\$79.67	\$66.63	\$58.16	\$81.08	\$122.95	\$56.91	\$54.26	\$81.95	\$81.08	\$68.28
Facility Health Care	\$3.81	\$4.98	\$3.25	\$2.90	\$2.67	\$6.20	\$4.02		\$5.02	\$2.67	\$3.91
Central Office Health Care	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73	\$5.73
Transitional Care Unit	\$0.26	\$0.26	\$0.26	\$0.26	\$0.26	\$0.26	\$0.26	\$0.26			\$0.26
Mental Health	\$1.55	\$1.55	\$1.55	\$1.55	\$1.55	\$1.55	\$1.55	\$1.55	\$3.18	\$3.18	\$1.71
Total Health Care Per Diem	\$11.35	\$12.52	\$10.79	\$10.44	\$10.21	\$13.74	\$11.56	\$7.54	\$13.93	\$11.58	\$11.61
Institution Support Operation (100%)	\$4.36	\$4.36	\$4.36	\$4.36	\$4.36	\$4.36	4.36	4.36	4.36	4.36	4.36
Management Services (65%)	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59	\$3.59
Total Central Office Indirect Support	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95	\$7.95
Facility Repair & Special Projects	\$4.33	\$5.95	\$3.98	\$6.04	\$0.25	\$12.14	\$2.72		\$7.31	\$0.25	\$4.92
Facility Special Equipment	\$0.42	\$0.41	\$0.40	\$0.76	\$0.34	\$0.44	\$0.35		\$0.34	\$0.34	\$0.44
Agency Bonded Capital Project Costs	\$0.97	\$0.97	\$0.97	\$0.97	\$0.97	\$0.97	\$0.97		\$0.97	\$0.97	\$0.97
Total Capital Project Per Diem	5.72	\$7.33	\$5.35	\$7.77	\$1.56	\$13.55	\$4.04		\$8.62	\$1.56	\$6.33
<b>Total</b>	<b>\$86.50</b>	<b>\$107.47</b>	<b>\$90.72</b>	<b>\$84.32</b>	<b>\$100.80</b>	<b>\$158.19</b>	<b>\$80.46</b>	<b>\$69.75</b>	<b>\$112.45</b>	<b>\$102.17</b>	<b>\$94.17<sup>1</sup></b>

<sup>1</sup> The per diem of \$94.17 in this figure is based on a legislatively-outlined definition and does not match the per diem cost reported in Section I of this report. The DOC uses two definitions to determine per diem: the strategic plan per diem includes only operating costs, while the legislatively-outlined per diem definition includes indirect costs. The legislatively-outlined per diem definition is not consistent with the national definition used by *The Corrections Yearbook*.

# Section III

## Annual Performance Statistics

Until the development of the strategic plan, the DOC published yearly performance statistics that were meant to show performance in relation to a general goal of providing a “safe, secure, humane environment for staff and offenders.” In the past, the performance statistics included much of the information now contained within the strategic plan. Because of this, the following section contains information on adult and juvenile discipline convictions, facility capacity and population, information on the percentage of idle offenders, and MINNCOR’s operating statistics.



**FIGURE 2**

**Number of Discipline Convictions and Incidents  
Adult Facilities<sup>2</sup>**

	<b>FY01</b>	<b>FY02</b>
Threatening Others	870	832
Assault on Inmate	416	334
Possession of Alcohol	247	200
Possession of Drugs	138	170
Assault on Staff	112	88
Possession of Weapons	151	118
Assault on Inmate with Bodily Harm	89	98
Assault on Staff with Weapon	6	40
Assault on Inmate with Weapon	32	32
Unlawful Assembly	5	35
Possession of Smuggling Device	49	30
Possession of Money	53	29
Assault on Inmate with Weapon and Bodily Harm	16	24
Assault on Staff with Bodily Harm	10	20
Extortion	12	13
Inciting to Riot	5	13
Holding Hostages	6	8
Homicide	0	0
Assault on Staff with Weapon and Bodily Harm	0	4
Possession of Escape Materials	5	3
Arson	0	2
Riot	0	0
<b>Incidents</b>		
Secure Escape	0	0
Non-Secure Escape	10	3
Accidental Death	0	0
Suicide	1	1
<b>Total Number of Discipline Convictions and Incidents</b>	<b>2233</b>	<b>2097<sup>3</sup></b>

- ◆ Figure 2 shows the total number of convictions at adult facilities in FY01 and FY02. In both years, adult facilities had the highest convictions for threatening others, inmate assault of inmate, and possession of alcohol. While the total number of discipline convictions and incidents decreased between FY01 and FY02, there were significant increases in some distinct infraction categories including assault on staff with a weapon, assault on inmate with a weapon and bodily harm, assault on staff with bodily harm, and assault on staff with a weapon and bodily harm.

<sup>2</sup> Figure 2 does not show the number of people convicted (some offenders could have more than one conviction).

<sup>3</sup> This table does **not** report convictions for *attempted* infractions. There were 67 additional convictions for *attempted* infractions: 14 additional convictions were for attempted assault on an inmate, eight were for attempted assault of an inmate with a weapon, 36 were for attempted assault of staff, six were for attempted assault on staff with a weapon, an additional two convictions were for attempted extortion, and one additional conviction was for attempted possession of drugs.

**FIGURE 3**

**Number of Discipline Convictions and Incidents  
MCF- Red Wing**

	<b>FY01</b>	<b>FY02</b>
Threatening Others	285	448
Assault on Inmate	19	65
Inciting to Riot	0	50
Assault on Inmate with Bodily Harm	5	33
Assault on Staff	11	25
Assault on Staff with Bodily Harm	7	9
Possession of Weapons	6	3
Assault on Staff with Weapon	1	1
Possession of Alcohol	0	1
Possession of Drugs	4	0
Arson	0	0
Assault on Inmate with Weapon	0	0
Assault on Staff with Weapon and Bodily Harm	0	0
Assault on Inmate with Weapon and Bodily Harm	0	0
Extortion	0	0
Possession of Money	0	0
Possession of Smuggling Device	0	0
Possession of Escape Materials	0	0
Holding Hostages	0	0
Riot	0	0
Unlawful Assembly	0	0
<b>Incidents</b>		
Secure Escape	0	0
Non-Secure Escape	0	0
Accidental Death	0	0
Suicide	0	0
<b>Total Number of Discipline Convictions and Incidents</b>	<b>335<sup>4</sup></b>	<b>635</b>

- ◆ Figure 3 shows that in FY02 the highest number of convictions at Red Wing was for threatening others (N = 448). There were 65 assault convictions by inmates on other inmates and 50 convictions for inciting to riot.
- ◆ The dramatic increase in the number of discipline convictions and incidents from FY01 to FY02 is due to data collection. The Red Wing data collection system wasn't put in place until October of 2000; therefore, a little more than three months worth of data was not recorded in FY01. In addition, there was inconsistent use of the data system. Red Wing staff now use the data system consistently and accurately.

<sup>4</sup> FY01 Red Wing data contains only nine months of information.

**FIGURE 4****Offender Capacity and Population by Facility and Fiscal Year**

	Capacity FY01	Population FY01	Capacity FY02	Population FY02
Stillwater	1293	1280	1293	1289
Lino Lakes	1146	1158	1177	1168
Shakopee	351	335	407	357
Oak Park Heights	392	366	392	363
Moose Lake	964	965	964	929
St. Cloud	816	822	821	808
Faribault	1125	1127	1125	1125
Willow River/CIP	80	83	90	87
<b>Total Adult Capacity and Populations</b>	<b>6,167</b>	<b>6,136</b>	<b>6,269</b>	<b>6,126</b>
Red Wing	203	164	215	165
<b>Total Juvenile Capacity and Populations</b>	<b>203</b>	<b>164</b>	<b>215</b>	<b>165</b>

**FIGURE 5**

**Percent of Idle Adult Offenders by Month – FY01<sup>5</sup>**

	July 00	Aug. 00	Sept. 00	Oct. 00	Nov. 00	Dec 00	Jan 01	Feb 01	March 01	Apr 01	May 01	June 01	FY01 Average
Faribault	3%	3%	3%	5%	4%	5%	8%	3%	5%	2%	7%	10%	5%
Lino Lakes	12%	3%	3%	2%	2%	1%	2%	2%	2%	2%	7%	7%	4%
Moose Lake	16%	17%	7%	10%	9%	9%	8%	3%	4%	5%	5%	6%	8%
Oak Park Heights	17%	19%	21%	20%	21%	21%	23%	22%	25%	25%	20%	25%	22%
Rush City	41%	33%	2%	1%	3%	3%	4%	5%	6%	4%	6%	7%	10%
St. Cloud	3%	1%	2%	4%	4%	3%	6%	4%	7%	7%	8%	%	4%
Shakopee	15%	13%	12%	20%	14%	24%	13%	14%	15%	9%	9%	9%	14%
Stillwater	12%	17%	12%	13%	15%	14%	15%	15%	17%	18%	18%	14	15%
Willow River/CIP	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
<b>Average Idle Percent</b>	<b>13%</b>	<b>12%</b>	<b>7%</b>	<b>8%</b>	<b>8%</b>	<b>9%</b>	<b>9%</b>	<b>8%</b>	<b>9%</b>	<b>8%</b>	<b>9%</b>	<b>9%</b>	<b>9%</b>
<b>Total Number of Idle Inmates</b>	<b>692</b>	<b>651</b>	<b>405</b>	<b>505</b>	<b>498</b>	<b>513</b>	<b>531</b>	<b>437</b>	<b>546</b>	<b>521</b>	<b>612</b>	<b>619</b>	<b>544</b>
<b>Total Adult Inmate Population</b>	<b>6126</b>	<b>6163</b>	<b>6140</b>	<b>6174</b>	<b>6213</b>	<b>6177</b>	<b>6196</b>	<b>6195</b>	<b>6258</b>	<b>6277</b>	<b>6334</b>	<b>6288</b>	<b>6211</b>
<b>Total Percent Idle of Total Population</b>	<b>11%</b>	<b>11%</b>	<b>7%</b>	<b>8%</b>	<b>8%</b>	<b>8%</b>	<b>9%</b>	<b>7%</b>	<b>9%</b>	<b>8%</b>	<b>10%</b>	<b>10%</b>	<b>9%</b>

- ◆ On average, MCF-Oak Park Heights (22%) had the highest percentage of idle offender in FY01, followed by MCF-Stillwater (15%) and MCF-Shakopee (14%). Both MCF-St. Cloud and MCF-Lino Lakes had an average of four percent of their population idle in FY01 while MCF-Willow River/CIP had no idle offenders.
- ◆ Overall, nine percent of the FY01 total population was considered idle.

<sup>5</sup> Idle offenders are those who are capable of working but have not been assigned or are on average assigned less than three hours per day, have been terminated from his or her assignment, or who have refused an assigned placement. All juveniles are involved in programming and therefore not idle.

**FIGURE 6**

**Percent of Idle Adult Offenders by Month – FY02<sup>6</sup>**

	July 01	Aug. 01	Sept. 01	Oct. 01	Nov. 01	Dec 01	Jan 02	Feb 02	March 02	Apr 02	May 02	June 02	FY02 Average
Faribault	10%	13%	11%		12%	13%	12%	12%					
Lino Lakes	7%	12%	15%		9%	15%	16%	18%					
Moose Lake	5%	5%	8%		12%	7%	9%	8%					
Oak Park Heights	24%	22%	19%		23%	19%	21%	19%					
Rush City	4%	5%	8%		4%	3%	7%	3%					
St. Cloud	6%	9%	8%		7%	8%	12%	5%					
Shakopee	9%	11%	4%		5%	7%	13%	6%					
Stillwater	16%	16%	15%		16%	19%	18%	17%					
Willow River/CIP	0%	0%	0%		0%	0%	0%	0%					
<b>Average Idle Percent</b>	<b>9%</b>	<b>10%</b>	<b>10%</b>		<b>10%</b>	<b>10%</b>	<b>12%</b>	<b>10%</b>					
<b>Total Number of Idle Inmates</b>	<b>615</b>	<b>739</b>	<b>731</b>		<b>733</b>	<b>802</b>	<b>885</b>	<b>773</b>					
<b>Total Adult Inmate Population</b>	<b>6341</b>	<b>6348</b>	<b>6348</b>		<b>6465</b>	<b>6450</b>	<b>6511</b>	<b>6584</b>					
<b>Total Percent Idle of Total Population</b>	<b>10%</b>	<b>12%</b>	<b>12%</b>		<b>11%</b>	<b>12%</b>	<b>14%</b>	<b>12%</b>					

- ◆ Information regarding the idleness of offenders was not maintained on a regular basis during FY02 (Figure 6). Because of this, an average for the year was not calculated.

<sup>6</sup> Idle offenders are those who are capable of working but have not been assigned or are on average assigned less than three hours per day, have been terminated from his or her assignment, or who have refused an assigned placement. All juveniles are involved in programming and therefore not idle.

**FIGURE 7**

**MINNCOR Operating Statistics by Fiscal Year**

	<b>FY01</b>	<b>FY02</b>
Inmates Assigned	1,002	874
Total Revenues (Operating and Non-Operating Revenues)	\$22,779,398	\$24,748,674
Total Expenses	\$24,004,670	\$26,567,128
Operating Subsidy	\$1,673,911	\$836,884
Subsidy Reduction from Prior Year	\$811,906	\$837,027

- ◆ As shown in Figure 7, the number of inmates assigned to MINNCOR decreased by 128 between FY01 (1,002) and FY02 (874). There was a \$1,969,276 revenue increase between these two years, along with a \$2,562,458 expense increase. In addition, MINNCOR's operating subsidy decreased by almost 50 percent between FY01 and FY02.



# Section IV

## Adult and Community Recidivism

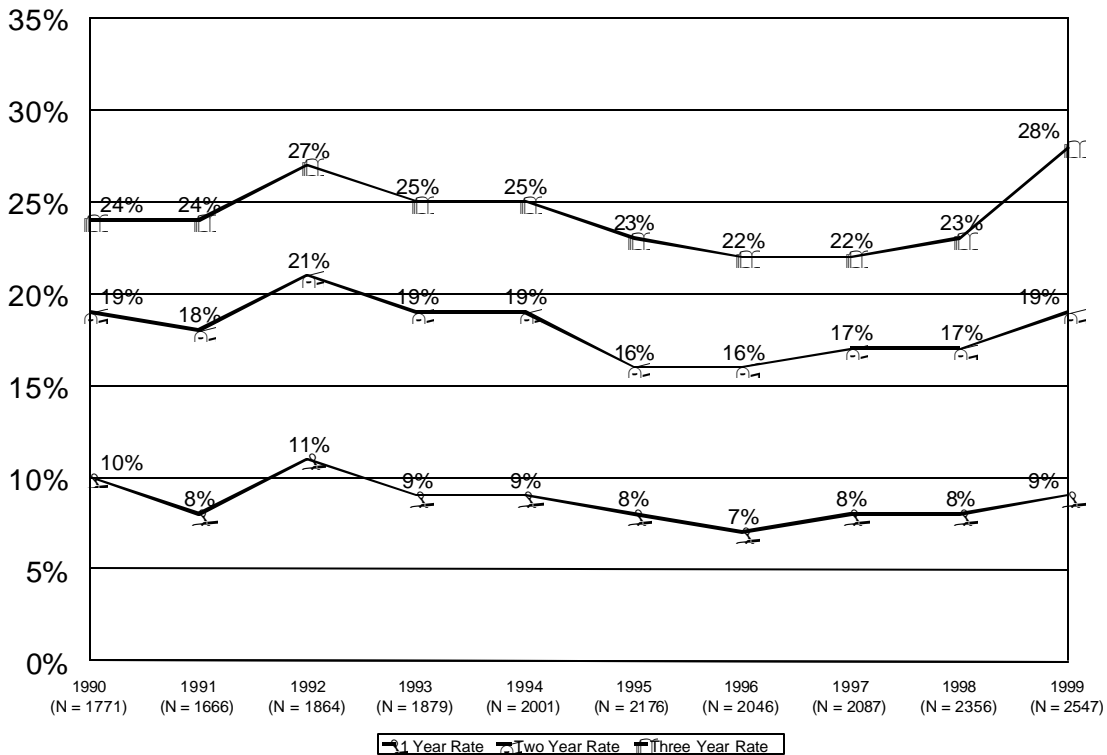
Section IV provides an update of the three-year, post-release felony conviction and re-incarceration rates for offenders released from an adult facility between 1990 and 1999. For the first time, the DOC is able to report statewide community recidivism information for felony-level offenders on probation or supervised release in 1998. This information includes three-year re-conviction rates, three-year re-incarceration rates, and demographic information on a random sample from across the state of 400 felony offenders on supervised release or probation.



# Adult Recidivism Update

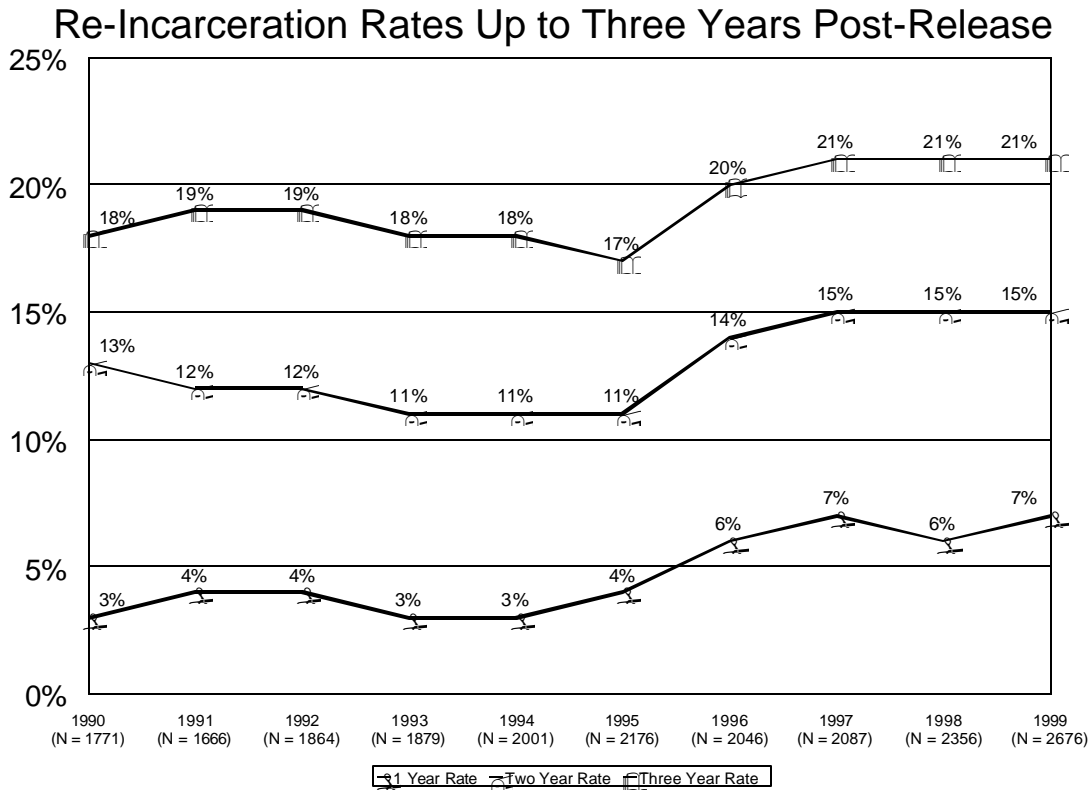
FIGURE 8

## Felony Re-Conviction Rates Up to Three Years Post-Release



- ◆ Over the past 10 years, felony re-conviction rates have fluctuated between 28 percent of the release population in 1999 and 22 percent of the release population in 1996 and 1997 (Figure 8). On average, 24 percent of offenders released between 1990 and 1999 have been re-convicted of a felony-level crime by three years post-release.

**FIGURE 9**



- ◆ Re-incarceration rates have ranged from 17 percent in 1995 to 21 percent in 1997, 1998, and 1999 (Figure 9). On average, 19 percent of the offenders released from prison between 1990 and 1999 have been re-incarcerated three years post-release.

# Community Recidivism

---

This section contains information on felony-level offenders on probation or supervised release in 1998. Overall demographic information is presented first, followed by re-conviction and re-incarceration rates for three years. Each graph is followed by a bulleted discussion. Re-incarceration includes any adult commitment to the state and *does not* include sentences to county jails. Also, the offenders in this sample may or may not have been discharged from probation or supervised released during the three-year follow-up period. To be included in the study they had to have been on active supervision in 1998 for a felony-level offense.

## Research Method

For the first time, Minnesota has a centralized statewide data system containing information on offenders placed on probation or supervised release. For over four years, the DOC has worked with counties to make statewide information on offenders under supervision available to criminal justice agencies and staff. The Statewide Supervision System (S<sup>3</sup>) was initially designed to provide probation information through a secure Internet website. However, the system has expanded to include jail booking information, offender risk assessment, and a direct link to the DOC's prison inmate data.

In July of 2001, the Data Definition Team (DDT) was formed from previous workgroups and focused on the issues of quality assurance, defining and clarifying how outcome measures would be collected using current (and future) data systems, and creating/coordinating a data collection and reporting protocol. The DDT will be responsible for conducting a statewide outcomes study using the S<sup>3</sup> in July of 2003. The DDT's definition of recidivism is used in this mandated report. Therefore, recidivism in this report is based on the percentage of adults on active felony probation, parole, or supervised release convicted for a new felony offense or re-incarcerated within three years from the onset of supervision or at discharge, whichever occurs first. In order to have three years worth of data, a sample of 400 offenders was selected from a population of 21,583 felony-level probationers who were on active probation, parole, or supervised release in 1998. This sample size of 400 was chosen to ensure 95 percent confidence that the information provided will be accurate within  $\pm$  five percent.

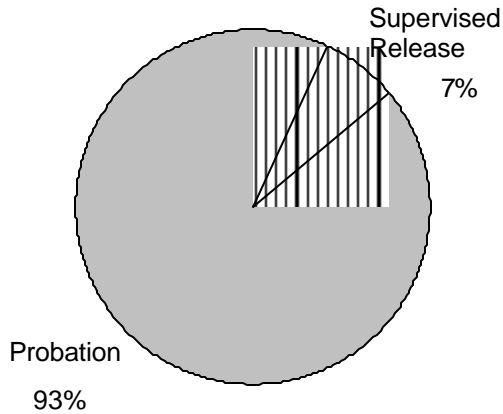
Once the sample was chosen, the information was sent to the Bureau of Criminal Apprehension to determine the percentage of offenders who had been reconvicted of a felony-level offense between 1999 and 2001. The sample was also checked against the DOC offender management system to determine the percentage of these offenders who were incarcerated between 1999 and 2001.

## Demographic Information

**FIGURE 10**

**Supervision Type**

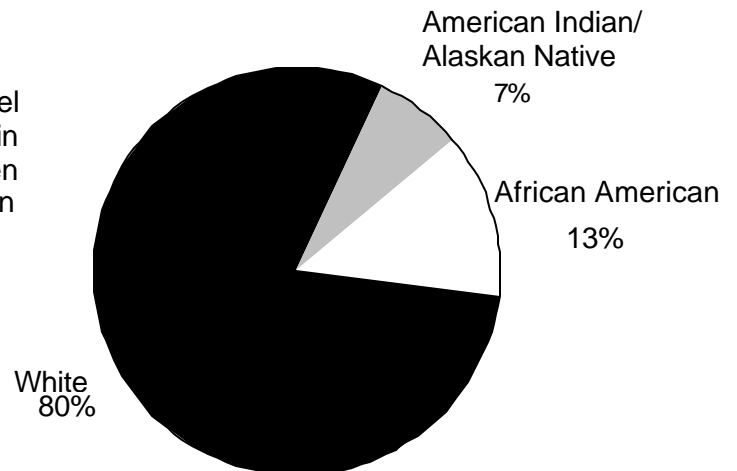
(N = 400)



- Figure 10 shows that almost all (93%) of the 400 offenders in the sample were on probation in 1998.

**FIGURE 11**

**Offender's Race**  
(N = 400)

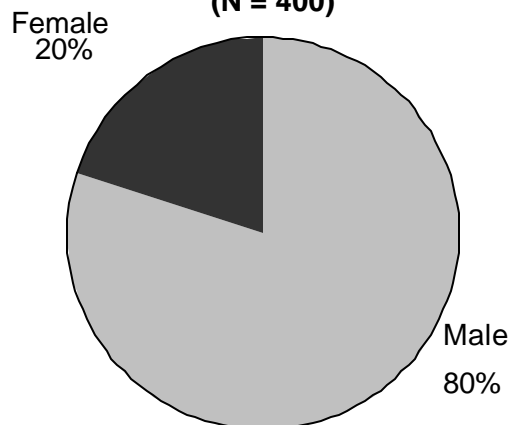


- Figure 11 shows that eight in ten felony-level offenders on supervised release or probation in 1998 were white. Slightly more than one in ten (13%) were African American while less than one in ten (7%) was American Indian.

**FIGURE 12**

**Offender's Sex**

(N = 400)

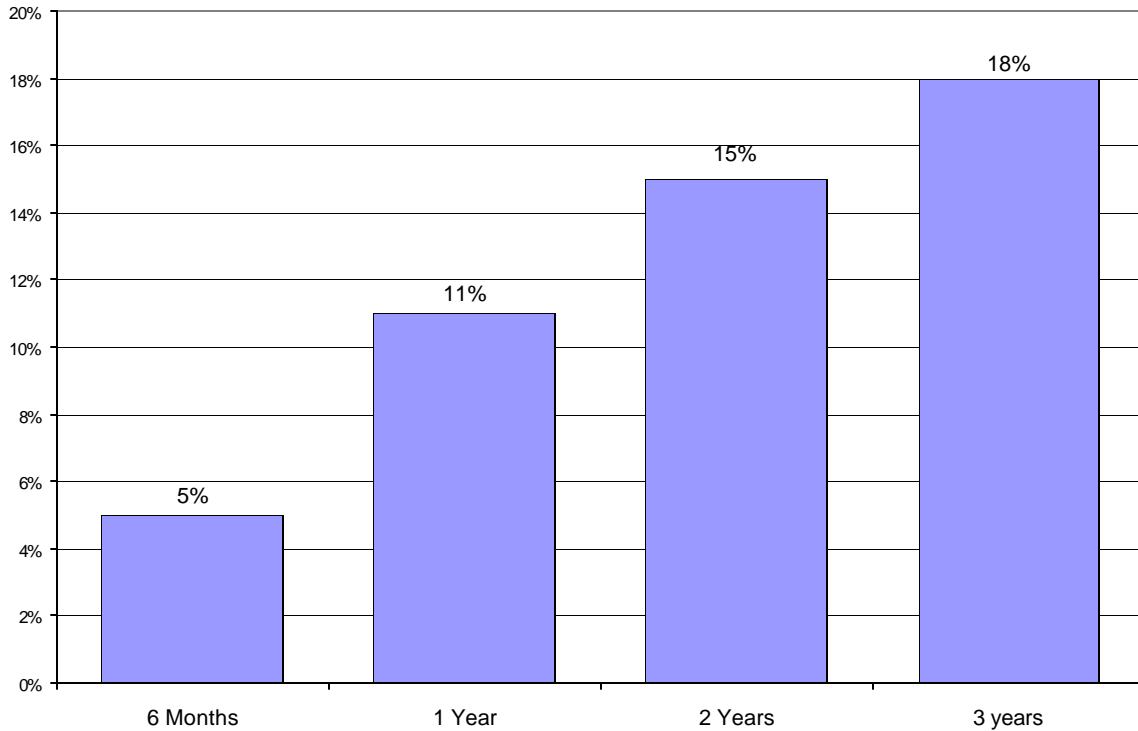


- Eight in ten (80%) felony-level offenders on supervised release or probation in 1998 were men while 20 percent were women (Figure 12).

## Recidivism Rates

FIGURE 13

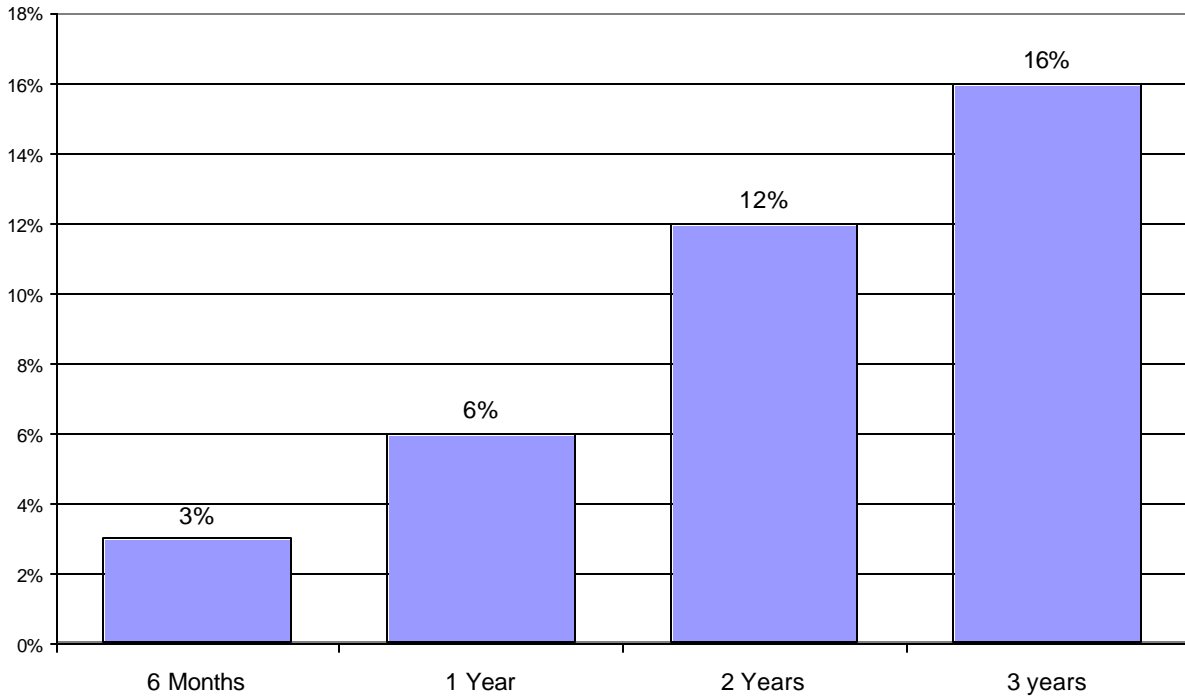
Felony-Level Conviction Rates for Felons  
on Probation or Supervised Release  
(N = 400)



- At three years post active probation, parole, or supervised release, almost two in ten (18%) felony-level offenders had been convicted of another felony-level crime.

**FIGURE 14**

**Three-Year Incarceration Rates Since Active Probation  
(N = 400)**



- Sixteen percent of felony-level offenders on active probation, parole, or supervised release in 1998 were incarcerated in a Minnesota correctional facility within three years of that date.

# Community Recidivism Conclusion

---

This study is a first attempt at tracking statewide recidivism rates for felony-level offenders on supervised release or probation. Until the recent advent of the S<sup>3</sup>, this type of statewide study was incredibly laborious and difficult. The data shows that approximately two in ten active felony probationers in 1998 were re-convicted of a felony-level crime three years post 1998 and about 16 percent were incarcerated in a Minnesota correctional facility.

While the DOC's goal is to report re-conviction and re-incarceration rates for supervised felony-level offenders for each individual county, that is currently not possible. Often, the state identification number needed to obtain re-conviction information from the Bureau of Criminal Apprehension (BCA) is not entered into the data system. The DOC is working with counties and the BCA to ensure that this information is available to the counties and entered into the S<sup>3</sup>, allowing the DOC to conduct more detailed recidivism analysis.

While the recidivism information regarding offenders supervised in the community is important for identifying trends in re-offense, it does not provide information on how or why offenders are re-convicted while under supervision. Continued use of the S<sup>3</sup> may provide information that can answer some of these questions.