



VALLEY STATE PRISON FOR WOMEN

**WARDEN TINA HORNBEAK
ONE-YEAR AUDIT**

**OFFICE OF THE
INSPECTOR GENERAL**

**DAVID R. SHAW
INSPECTOR GENERAL**

STATE OF CALIFORNIA

SEPTEMBER 2010



September 28, 2010

Matthew L. Cate, Secretary
California Department of Corrections and Rehabilitation
1515 S street, Room 502 South
Sacramento, California 95814

Dear Mr. Cate:

Enclosed is the Office of the Inspector General's report concerning the performance of Warden Tina Hornbeak at Valley State Prison for Women (VSPW). The purpose of the audit was to satisfy our statutory requirement to audit each warden one year after appointment.

The report concludes that under Tina Hornbeak's leadership, the prison functioned effectively in the areas of safety and security, inmate programming, and business operations. While many employees spoke positively about Warden Hornbeak's leadership, security awareness, and the cohesiveness of her executive team, we found that her performance in employee-management relations needs further improvement. The report identifies several employee-management relations factors that impact VSPW's employee morale for the department's consideration.

If you have any questions concerning this report, please contact Jerry Twomey, Chief Assistant Inspector General, Bureau of Audits and Investigations, at (916) 830-3600.

Sincerely,

A handwritten signature in blue ink that reads "David R. Shaw".

David R. Shaw
Inspector General

Enclosure

cc: Scott Kernan, Undersecretary, Operations, CDCR
Elizabeth Siggins, Chief Deputy Secretary, Adult Programs, CDCR
George Giurbino, Director, Adult Institutions, CDCR
Kim Holt, External Audits Manager, CDCR

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Results in Brief

Warden Tina Hornbeak

The Office of the Inspector General (OIG) found that Warden Tina Hornbeak has successfully performed her job as warden at the Valley State Prison for Women (VSPW). Safety and security, inmate programming, and business operations at VSPW function effectively under the warden's control. However, Warden Hornbeak could improve her effectiveness in the area of employee-management relations. Some employees at VSPW expressed concerns about the warden's lack of communication, her low visibility on the facilities, and their perception of the warden's favoritism. On the other hand, many employees spoke highly of the warden's leadership skills, the cohesiveness of her executive management team and, in particular, the ingenuity of her chief deputy warden.

VALLEY STATE PRISON FOR WOMEN FACTS AT A GLANCE

Location: Chowchilla, CA

Opened: 1995

Missions: Reception Center,
Low Security (Level I) through
Maximum Security (Level IV)

Inmate Population: 3561

Designed Capacity: 1,980 inmates

Employees: 1222

We began our audit of the warden's performance by surveying a broad range of VSPW employees, key stakeholders, and California Department of Corrections and Rehabilitation (CDCR) executives. We analyzed the data we collected, and we categorized employee responses into four areas: safety and security, inmate programming, business operations, and employee-management relations. Initial survey results from all respondents presented mixed opinions. Closer analysis revealed that custody employees generally expressed negative opinions about the warden's overall performance but that VSPW management staff, key stakeholders, and CDCR executives expressed mostly positive opinions.

We followed our initial survey by visiting VSPW in March 2010 to interview management team members, employees who manage key prison functions, and other employees. Many VSPW employees told us that the prison's overall operations have improved since the warden's appointment in 2007. For example, one employee who saw improvements at the prison asserted that management's emphasis is to fine-tune operations and not to "re-invent the wheel." Other employees explained that they could not give an opinion on improvements based on their time at VSPW or said that they found prison operations to be neither better nor worse overall. A smaller number of employees felt that the overall operations were worse since the warden's appointment.

The critical comments we received focused more on the warden's employee-management relations. For example, custody employees criticized her for not facilitating effective



Valley State Prison for Women
Warden Tina Hornbeak.
Photo: CDCR

communication between management and custody employees, for displaying actions perceived as favoritism, and for failing to satisfy employee expectations that the warden tour the prison regularly and talk personally with employees.

Our interviews found that employees, on average, rated the warden’s performance as “very good.” However, VSPW employees’ individual opinions of the warden’s performance ranged from “improvement needed” to “outstanding.” For example, individual employee responses suggest that the warden can improve in the area of employee morale. On the other hand, employees told us that she excels in the areas of leadership and security awareness, and that she is dedicated to her work.

One-Year Evaluation of Warden Tina Hornbeak

California Penal Code section 6126(a)(2) requires the Office of the Inspector General (OIG) to audit each warden of an institution one year after his or her appointment. To satisfy this requirement, we evaluated Warden Tina Hornbeak’s performance at Valley State Prison for Women since her appointment in October 2007.

Background of Warden

Warden Hornbeak began her career with CDCR in 1986 as a correctional officer at the California Correctional Institution at Tehachapi. She was a facility captain at the Substance Abuse Treatment Facility and at California State Prison, Corcoran from 1997 through 2000. Between 2000 and 2005, Hornbeak held several positions at VSPW, including chief deputy warden and correctional administrator.

In July 2006, Hornbeak became the acting warden at VSPW. Governor Arnold Schwarzenegger appointed Hornbeak as warden on October 31, 2007. Hornbeak assumed the position of acting associate director for female offender programs at CDCR headquarters in Sacramento beginning in September 2008; however, she returned to VSPW as warden in April 2009.

Institution Overview

VSPW is one of the 33 adult prisons operated by CDCR. The prison opened in 1995 and encompasses 640 acres in Madera County. It is one of three prisons that house female

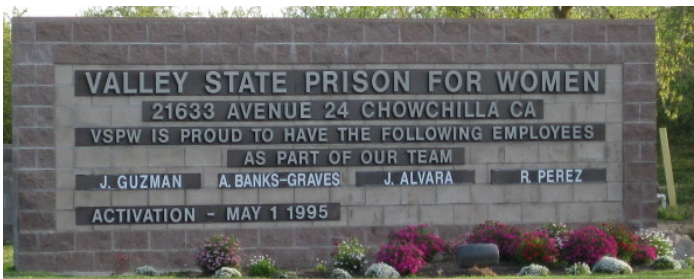


Figure 1 – Valley State Prison for Women Main Entrance
Photo: OIG, March 2010

inmates, and it functions as both a general population prison and as a reception center. As a general population institution, VSPW houses over 2,800 low- to maximum-security female inmates within three facilities. Each facility houses all levels of inmates, ranging from level I

(minimum security) through level IV (maximum security). In a fourth facility, VSPW operates a reception center, which houses over 600 new inmates as they undergo classification assessments to determine their initial security level as well as their medical and mental health needs. After VSPW employees complete these assessments, newly classified inmates are then either assigned to one of the prison's general population facilities or sent to one of CDCR's other two prisons for women.

VSPW also operates an Administrative Segregation Unit (ASU), a segregated housing area for the temporary holding of disruptive or victimized inmates, as well as operates the state's only female Security Housing Unit (SHU), a dedicated section specially designed with added security features and generally housing inmates who commit a serious rules violation while incarcerated. The ASU and SHU also serve inmates who are at the Enhanced Outpatient Program level of care.



Figure 2 – Valley State Prison for Women.
Photo: CDCR

These inmates have mental disorders that generally require ongoing treatment. In addition, VSPW is the hub facility for female inmates with mobility impairments and is one of two California prisons for women that house pregnant inmates.

Rehabilitation Programs

The prison offers academic and vocational programs, substance abuse programs (SAP), and work opportunities through the Prison Industry Authority (PIA). Recent budget cuts have drastically reduced the number of available academic, vocational, and SAP assignments; however, the prison continues to offer several self-help programs such as Narcotics Anonymous and Alcoholics Anonymous.

Budget and Staffing

For fiscal year 2009-2010, VSPW's budget was \$129.3 million. This included \$76.7 million for prison and education operations plus \$52.6 million for medical-related services. VSPW had 1,222 budgeted positions, of which 616 (or about 50 percent) represent custody employees. Table 1 compares VSPW's budgeted and filled positions as of November 30, 2009. Overall, the prison had filled 93.5 percent of its total budgeted positions.

Table 1: Staffing Levels at Valley State Prison for Women

<i>Position</i>	<i>Filled Positions</i>	<i>Budgeted Positions</i>	<i>Percent Filled</i>
Custody	596	616	96.8%
Education	64	67	95.5%
Medical	180	203	88.7%
Support	187	206	90.8%
Trades	105	118	89.0%
Management	11	12	91.7%
Total	1,143	1,222	93.5%

Source: California Department of Corrections and Rehabilitation, CompStat ending November 30, 2009, Valley State Prison for Women. Unaudited data.

Objectives, Scope, and Methodology

To fulfill our objective of assessing the warden's performance, we employed a three-part approach. First, we used surveys to solicit opinions and comments from employees, CDCR management team members, and other stakeholders. Next, we analyzed operational data maintained by CDCR and compared it with the averages of the other two prisons for women, California Institution for Women and the Central California Women's Facility, and to the averages of all prisons statewide. In addition, we reviewed relevant reports prepared by CDCR or other external agencies. Finally, we visited the prison to interview various employees, inmates, and a representative of the inmate family council, an external organization that supports the inmates' families and the community. We also followed up on noteworthy concerns identified from surveys, operational data, or reports.

To understand how prison employees and other stakeholders view the warden's performance, we sent surveys to three distinct groups: CDCR and VSPW managers, VSPW employees, and key stakeholders outside CDCR. For our employee survey, we randomly selected 236 of the prison's employees and sent them a survey. The survey provides us with information about employees' perceptions of the warden's overall performance as well as her performance in specific operational areas at the prison: Safety and Security, Inmate Programming, Business Operations, and Employee-Management Relations.

To simplify our analysis of the survey results, we grouped survey respondents into three employment categories: Custody, Health Care, and Other (which includes employees in education, plant operations, administration, and clerical positions.) Then, to identify strong trends or patterns, we classified the responses to our questions as either positive or negative. For example, if the respondent "agreed" or "strongly agreed" with our question, we classified the response as positive; if the respondent "disagreed" or "strongly disagreed" with our question, we classified it as negative. We excluded passive responses such as "neutral" or "unknown."

Our inspectors also analyzed operational data maintained by CDCR (comparative statistics called "CompStat") and evaluated the responses to our surveys. We reviewed relevant reports prepared by CDCR or by external agencies about the prison's operations. From these efforts we identified strong trends or patterns – either negative or positive – as well as other issues that we noted as topics for further review and evaluation during our on-site visit to VSPW.

During our visit to VSPW, we gained insight into the environment in which the warden works. We interviewed certain key employees but also interviewed randomly selected employees, using information gathered from our analysis of statistical information and from employee surveys. Our interviews involved employees in various operational areas throughout the prison, including the following:

- Business services
- Educational programs
- Employee/labor relations
- Food services
- Health care
- Housing units
- Human resources
- Information technology
- Inmate appeals
- Inmate assignments
- Inmate case records
- In-service training
- Investigative services
- Personnel assignment
- Plant operations
- Prison Industry Authority
- Receiving and release
- Use-of-force review
- Vocational programs
- Warehouse management

We performed our site visit during the week of March 22, 2010. During our visit, we interviewed 56 individuals on various topics such as safety concerns, prison operations, and the warden's performance. These individuals included custody employees, executive management team members, education employees, plant operation and administration staff, health care professionals, inmate advisory committee members and an inmate family counsel representative.

Review Results

Our management survey results indicate that the prison’s management and CDCR’s management believe that the warden is doing a “very good” and “outstanding” job overall, respectively. Employee surveys show mixed responses in the four categories of safety and security, inmate programming, business operations, and employee-management relations. For example, employees responded positively for safety and security and business operations, yet were evenly divided in their opinions regarding inmate programming. Employees gave mostly negative responses in the area of employee-management relations.

In interviews, VSPW employees rated the warden’s overall performance as “very good,” with individual ratings varying from “unacceptable” to “outstanding.” The Inmate Family Council representative rated Warden Hornbeak as “outstanding” and asserted that the warden is at the “top of her group.”

Category 1: Safety and Security

CDCR’s primary mission is to enhance public safety through safe and secure incarceration of offenders. The department establishes the importance of safety and security by requiring that custodial security and the safety of staff, inmates, and the public take precedence over all other considerations in the operation of its programs and activities. As shown in Table 2, 76 percent of the prison employees we surveyed had positive opinions about the safety and security of VSPW.

Table 2: Safety and Security – Employee Survey Results

Respondents	Positive	Negative
Custody	70%	30%
Health care	81%	19%
Admin, Plant Operations, and Other	79%	21%
Weighted Average	76%	24%

Source: OIG survey of VSPW employees. See Appendix for details.

After taking into consideration our interviews, comments from the warden, and the results from our employee survey, we noted three areas for further discussion: Survey and Interview Results, Contraband, and Use of Force.

Survey and Interview Results

The survey questions related to safety and security resulted in a higher proportion of positive responses than survey questions regarding any other operational area. For example, 96 percent of the survey responses indicated that employees effectively respond to emergencies, and 93 percent indicated that they have been issued all of the safety equipment they need. Additionally, 90 percent of the employees responded that they have received all required safety training (see Appendix for complete survey results).



**Figure 3 – Tower 1
Sally Port Entrance.
Photo: OIG, March 2010**

However, 41 percent of employees who responded to our survey felt that safety and security has improved since the warden's appointment. Because this figure was low in comparison to the relatively high overall rating, we interviewed the prison's management team and employees to obtain possible explanations. In total, we conducted 56 interviews with management and employees, asking them to identify their biggest concerns related to safety and security. Although many respondents indicated that they felt very safe or had no concerns about the prison's physical infrastructure, others identified isolated security concerns that the respondents attributed to a lax approach to safety. For example, we were told by a handful of employees that the working mentality of being in a prison for women leads some custody and management employees to operate with a false sense of security. Some employees expressed concern that the prison gives female inmates too much freedom, and that freedom, coupled with what the respondents perceived as the prison's overwhelming emphasis on running inmate programs, has weakened controls. In particular, some employees asserted that prison-wide searches can be unfocused and hurried in efforts to reduce inmate programming delays. One management employee even commented, "It takes an act of God to modify or to shut programming down."

During our review, we learned that while Warden Hornbeak was in headquarters serving as the acting associate director of female offender programs, the prison underwent an operational peer review conducted by CDCR's Office of Audits and Compliance (OAC). The preliminary report found the prison to have few security weaknesses, or a 95 percent compliance rating. We reviewed the corrective action plans submitted by the prison and discovered that the institution had promptly responded to the security issues through actions taken or proposed. Another noteworthy accomplishment relates to OAC's review of the prison's armory operations—the results found the prison was in 100 percent compliance.

With respect to the warden's contribution to safety and security, we concluded that although the majority of employees surveyed did not note significant improvements since the warden's appointment, the safety and security of the prison remains effective. However, it is essential that the warden ensures that communication between custody and management employees remains open so that management can hear and respond to employees' security concerns.

Contraband

According to CDCR's Operations Manual, Article 20, Section 52051.4, contraband is any unauthorized property, materials, supplies, items, commodities, and substances received or obtained by inmate(s) from any source. Contraband can be introduced into the secured perimeter of a prison by visitors, staff or volunteers. It can be thrown over the perimeter fence or mailed into the facility. At VSPW, we found that a major challenge in eliminating contraband is the prevention of narcotics and tobacco trafficking by inmates. The presence of these items can lead to a dangerous environment for officers and inmates alike. Inmates have been known to participate in assaults or riots over drug debts.

According to the warden, the prison's Investigative Services Unit (ISU) has been successful in mitigating drug and tobacco presence within VSPW. This was confirmed by VSPW's ISU lieutenant. The lieutenant noted that the ISU has recently heightened its focus on inmates known to engage in illicit activities. While facilitating an open line of communication with key inmates within the prison population, the ISU is able to obtain specific information pertaining to ongoing illegal activities. Consequently, the ISU has made multiple discoveries of tobacco and narcotics throughout the prison grounds.

A common opportunity for inmates to acquire contraband at VSPW is in the farmland where inmates work outside the secured perimeter. VSPW provides inmate labor to PIA for 441 acres of orchards just outside prison grounds. Although tobacco is the most common form of contraband, drugs and cell phones are also buried or hung from trees by outside sources for inmates to locate. In their efforts to avoid discovery during a physical search, inmates attempt to smuggle contraband by inserting the items into their body cavities. Our review found that the warden and the ISU are responsive to these matters, and that the ISU, under the warden's direction, has broadened its focus to include searches of the orchards. In fact, the ISU recently purchased an off-road vehicle which has assisted in the detection and confiscation of these items.

The warden also indicated that the prison is considering adding an enclosed structure to the vehicle sallyport to conduct unclothed body searches of inmates before they re-enter the secured perimeter. Currently, although the prison conducts inmate searches, inmates first walk inside the perimeter, where they can drop contraband before the search takes place. The inmates can retrieve the contraband later.

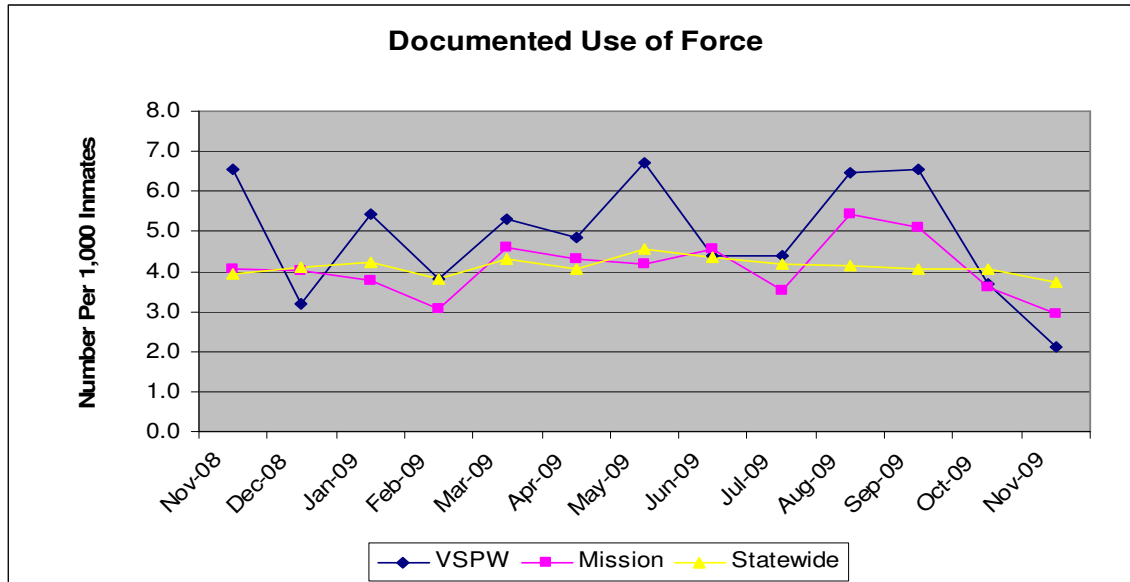
Use of Force

The number of incidents in which force is necessary to subdue an attacker, overcome resistance, effect custody, or gain compliance with a lawful order is a measure of inmate behavior and the prison's ability to safely incarcerate inmates. To assess VSPW's use-of-force statistics, we reviewed CDCR's CompStat data for the 13-month period from November 2008 through November 2009. As shown in Chart 1, on page 9, the prison's rate of use-of-force incidents was above the statewide average and/or the average for prisons for women for 11 months in the review period. However, we noted that use-of-force incidents began a downward trend after September 2009.

Some of VSPW's high use-of-force rate may be explained by its unique mission. Not only does VSPW function as a general population prison and as a reception center, but it also operates an ASU and a SHU for inmates requiring a higher level of security. For inmates serving a SHU term for disciplinary reasons, VSPW operates as the hub for other prisons for women. According to the warden, inmates who finish their SHU terms will on occasion stay at VSPW for security reasons rather than go back to their original prison. Consequently, this leaves VSPW with a higher number of inmates with an established history of misbehavior. Additionally, we heard from employees that female inmates are more inquisitive than their male counterparts. Their tendency to ask questions rather than promptly obey a direct order from custody employees can lead to more provoking

circumstances. This poses a challenge for some custody officers who typically expect immediate response to direct orders and are inclined to apply force to achieve compliance. When we spoke to the warden about VSPW's high use of force, she suggested that the prison's use-of-force rate was elevated by staff members who applied force in those instances where management believed that communication through verbal persuasion would have been a more effective means to de-escalate the situation. According to the warden, ineffective communication between staff members and inmates is the primary factor in most use-of-force incidents.

Chart 1:



Source: California Department of Corrections and Rehabilitation, CompStat ending November 30, 2009, Valley State Prison for Women. Unaudited data.

Warden Hornbeak told us that although she responded to the increased number of use-of-force incidents before leaving VSPW in September 2008 to assume her role as CDCR's acting associate director, she could not fully address the problem until her return in April 2009. A number of management employees commented that reducing the backlog of use-of-force reviews as well as the number of reported incidents was a big priority for the warden when she returned to the prison from her assignment.

The warden cited CDCR's implementation of 32 hours of gender-responsive training for employees working with females as a factor in reducing the high number of use-of-force incidents. According to the warden, one objective of this training is to close the communication gap between custody employees and inmates and to emphasize the skills needed to de-escalate rather than escalate aggravating situations. Although at the time of our visit, the eight-hour communication portion of the training had yet to be provided due to budgetary reasons, management has continued to emphasize officer communication with inmates. Management promotes communication and verbal persuasion as key to reducing the number of use-of-force incidents. Additionally, the warden noted that her team conducts regular debriefings after each incident. The goal of debriefings is to review the incident with the involved parties to determine whether the use of force could have

been avoided. Warden Hornbeak believes that the debriefings have also contributed to lowering the number of use-of-force incidents. During our visit, we requested additional data on the number of reported incidents involving the use of force for the period from July 2009 through March 20, 2010. Our review found that the average number of incidents documented from July through September 2009 (22 per month) declined by 45 percent from October 2009 through March 2010 (approximately 12 per month).

Our conversation with the prison’s use-of-force coordinator also revealed that by October 2008, a large backlog, approximately 100 incident packages, exceeded CDCR’s use-of-force policy time frames. According to the use-of-force coordinator, in an effort to reduce the backlog of use-of-force packages, the warden encouraged the use-of-force committee to meet more often than once each week. Warden Hornbeak also established clear expectations for her managers. Specifically, in September 2009, after the prison had made some progress toward compliance with CDCR’s use-of-force policy, the warden issued a memo establishing timeframes that the incident commander, facility captains, associate wardens, use-of-force coordinator, and the ISU shall meet in completing their use-of-force reviews. As part of expediting the use-of-force review process, the warden outlined procedures and introduced a newly created use-of-force incident route slip to be incorporated into VSPW’s Department Operations Manual (DOM) supplement 51030.3. According to the prison’s use-of-force coordinator, associate wardens and facility captains have made significant efforts to ensure adherence to the timeframes; as of November 2009, records show that the prison had eliminated its overdue incident backlog. With the backlog eliminated, the use-of-force coordinator has more time to review all pertinent use-of-force reports, to request additional information from officers, and to focus efforts on the accuracy and completeness of incident packages.

Category 2: Inmate Programming

Research shows that inmate programs can reduce the likelihood that offenders will commit new crimes and return to prison. For example, a study of adult basic and vocational education programs published in 2006 by the Washington State Institute for Public Policy found that such programs reduce inmate recidivism by an average of 5.1 percent and 12.6 percent, respectively.¹ CDCR recognizes these benefits and provides inmates with academic and vocational training as well as a number of self-help and self-improvement services, including substance abuse programs. An added benefit is that programming requires inmates to have a more structured day, with less idle time. As a general rule, inmates with a structured day tend to be easier to manage. As a result, the prison’s safety and security can be affected by the amount of available inmate programming.

Table 3: Inmate Programming – Employee Survey Results

Respondents	Positive	Negative
Custody	53%	47%
Health care	52%	48%
Admin, Plant Operations, and Other	44%	56%
Weighted Average	50%	50%

Source: OIG Survey of VSPW Employees. See Appendix for details.

¹ Washington State Institute for Public Policy, “Evidence-Based Adult Corrections Programs: What Works and What Does Not,” January 2006.

Overall, as shown in Table 3, on page 10, 50 percent of all survey responses related to inmate programming indicated favorable ratings. Although 74 percent of employee responses affirmed that the prison is meeting its inmate programming mission, only 32 percent responded positively to the question of whether inmate programming has improved since the warden's appointment (see Appendix). Additionally, when asked whether inmate programming is adequate for the number of inmates at the prison who would benefit from the education or work experience, only 43 percent of employees responded favorably. These results may be explained by the state budget cuts, which reduced the number of program opportunities available to inmates, as discussed below.

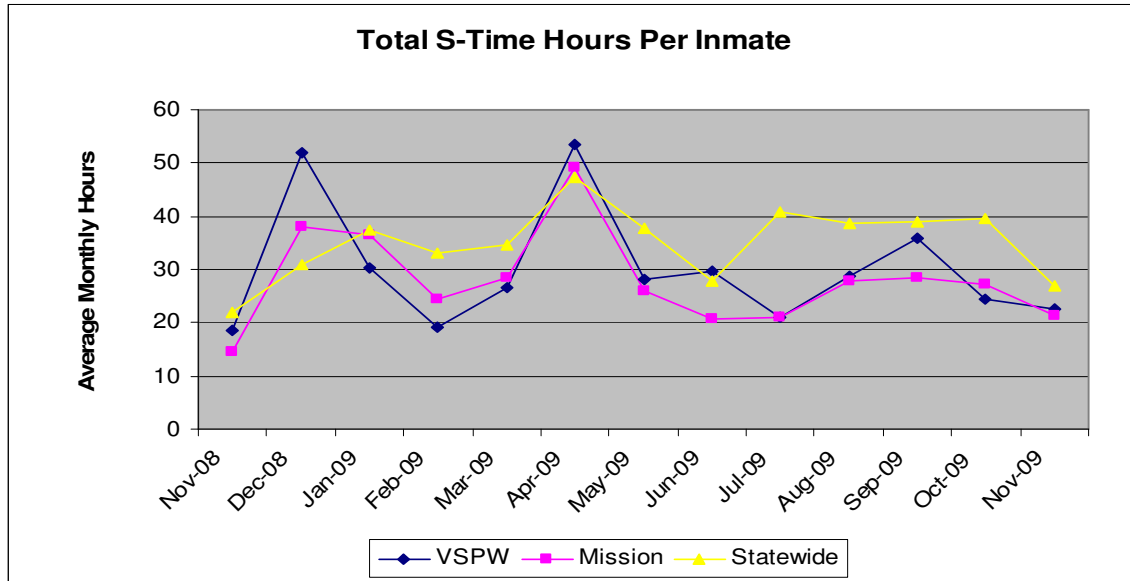
After considering the interviews as well as additional information gathered from CDCR statistics and the warden, we identified two key areas for further discussion: Inmate Program Attendance and Programming Opportunities.

Inmate Program Attendance

CDCR establishes the amount of time that assigned inmates must attend academic and vocational training classes each day and requires administrators to track inmates' absences from classes. This tracking allows us to evaluate each prison's effectiveness in complying with school-day attendance requirements. CDCR refers to absences caused by circumstances beyond the inmate's control as "S-time." Such absences are, in part, caused by security-related matters such as lockdowns, modified programming, investigations, and inmate medical appointments. Education-related absences, such as teachers calling in sick, also contribute to S-time. High or increasing patterns of S-time at a prison indicates that prison management may be ineffectively using their academic and vocational programs or even wasting these resources, which provide inmates with a better opportunity to succeed upon parole.

VSPW did not experience any prison-wide lockdowns during the 13-month period from November 2008 through November 2009, but the prison did modify several programs, which interrupted class attendance. A prison can modify programming for various reasons, including responding to medical quarantines or security issues. Our review of VSPW's data showed that the prison generally followed the trend of other prisons with similar missions in the amount of S-time; however, our review also revealed a considerable increase in S-time at VSPW in December 2008 when compared to the mission trend and statewide average (see Chart 2, page 12). An academic vice-principal explained that December's spike in S-time was due to a modified program in effect from December 3 through December 8, 2008. The modified program was initiated after medical staff members discovered tools missing from the infirmary. The vice-principal also noted that a spike in S-time in April 2009, which followed the mission trend, was due to several factors, including the implementation of furlough days for staff and modified programming due to inmate tuberculosis testing and electrical repairs.

Chart 2:



Source: California Department of Corrections and Rehabilitation, CompStat ending November, 2009, Valley State Prison for Women. Unaudited data.

Programming Opportunities

VSPW houses approximately 3,600 inmates, but as of April 22, 2010, the prison only had work or education assignments for approximately 1,700 inmates, or 48 percent of its population. This includes 356 academic slots and 168 vocational program slots. In addition, there are 176 slots available for its substance abuse program. Other work programs offered at VSPW include support services and PIA assignments.

We identified two key factors outside of the warden’s control that adversely affected inmate programming opportunities at VSPW. First, mandated budget cuts have significantly reduced the number of academic and vocational programs offered to inmates. The school principal explained that before the budget cuts, VSPW offered 14 vocational programs. There are now six vocational programs, which include cosmetology, fiber optics, heating and air conditioning, welding, office services, and auto mechanics. According to the principal, vocational programs are valuable to inmates because students completing these programs will receive certification in the respective trade that will increase their employability upon release from prison. VSPW employees explained that beginning in May 2010, VSPW will implement a new education model serving 630 inmates.

Second, VSPW’s mission as the reception center for female inmates reduces the number of its inmates who are eligible for program placement. CDCR restricts prisons from assigning reception center inmates to work until the prison establishes their security levels. Some of the restrictions include prohibiting reception center inmates from leaving the reception center area or interacting with non-reception-center inmates. As a result, there are few programming opportunities available to these inmates, who make up approximately 17 percent of the population. Further, inmates housed in VSPW’s ASU

and SHU are not suitable for most types of programming assignments because these inmates present risks to the safety and security of the prison.

During our review, we were told that although the budget has reduced program opportunities, Warden Hornbeak has encouraged inmates to participate in the programs still available. As an example, the Woman’s Advisory Council (WAC)² told us that only a few inmates initially applied for 25 available substance abuse counselor positions made available as part of a substance abuse mentor program. According to the WAC, inmates were hesitant to apply because the mentors would be transferred to another prison once they completed the initial phase of the program. Warden Hornbeak was instrumental in explaining to inmates the positive aspects of the program; as a result, several more inmates applied. The substance abuse mentoring program now has 25 inmates enrolled, along with two alternates.

Our review also found that Warden Hornbeak encourages voluntary participation in various inmate self-help groups. Programs available to inmates include Alcoholics Anonymous, Narcotics Anonymous, and Freedom to Choose workshops, which teach skills to heal relationships. In addition, employees and inmates told us about special events, such as the Get on the Bus program³, as well as community and faith-based programs, that are conducted throughout the year and are geared to positively influence the inmate population. Although these types of programs are not deemed official programming assignments, they could positively influence inmates’ rehabilitation.

Category 3: Business Operations

A prison’s business operations include budget planning and control, personnel administration, accounting and procurement services, employee training and development, and facility maintenance and operations. The warden must be knowledgeable in these areas to effectively perform his or her duties.

Table 4: Business Operations – Employee Survey Results

Respondents	Positive	Negative
Custody	60%	40%
Health care	61%	39%
Admin, Plant Operations, and Other	57%	43%
Weighted Average	59%	41%

Source: OIG survey of VSPW employees. See Appendix for details.

As shown in Table 4, 59 percent of employees had positive responses about the prison’s business operations and 41 percent had negative responses. Our analysis of CDCR’s data as well as our own survey responses and interviews uncovered three specific areas that we discussed further with the warden and with other management team members. The areas under discussion were Facility Maintenance, Overtime Usage, and Administrative Segregation Housing.

² The Women’s Advisory Council is an inmate committee formed to advise and communicate with the warden and other prison employees those matters of common interest and concern to the general inmate population.

³ The Get on the Bus program affords inmates’ children the opportunity to be transported to the prison and participate in a Mother’s Day visit and luncheon.

Facility Maintenance

We found that 78 percent of the employees who responded to our survey believed that plant operations employees are able to meet maintenance and repair needs in their assigned areas. As a matter of fact, survey responses mirrored those of almost all employees who gave an opinion on plant operations during our site visit. During interviews we consistently heard that the plant operations staff members were very efficient at maintaining the facility.

One employee said, “Just look, we have one of the most beautiful prisons in the state.” As we toured the prison, we found the grounds and housing units to be clean and in good condition.

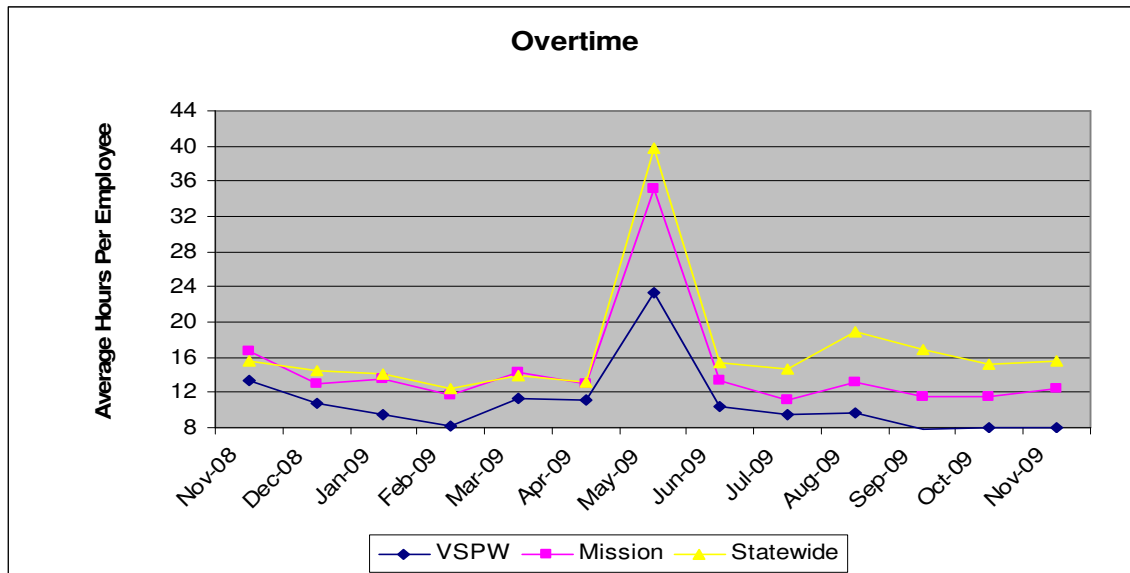


Figure 4 – Valley State Prison for Women Main Yard. Photo: OIG, March 2010

Overtime Usage

The control of overtime is one indicator of a warden’s ability to manage his or her institution’s overall operations since it requires the warden to ensure that good budgeting, planning, and personnel administration practices are in place. To assess VSPW’s overtime usage, we compared its overtime statistics to both the statewide average for all prisons and to the average for the other two prisons for women. As shown in Chart 3, we found that for the 13-month period under review, VSPW has consistently incurred fewer average overtime hours per employee than the other prisons. Accordingly, the warden appears to be doing a very good job at controlling overtime.

Chart 3:



Source: California Department of Corrections and Rehabilitation, CompStat ending November, 2009, Valley State Prison for Women. Unaudited data.

The use of sick leave is one of the reasons that prisons may incur overtime, since full-time employees fill in for employees who take sick leave. We were told by VSPW managers that the prison's overtime is low because Warden Hornbeak is proactive in monitoring sick leave usage. Additionally, as part of the sick leave management program, VSPW recently started issuing Letters of Instruction for employees who abuse sick leave. Medical access and hospital coverage for inmates also contributes to VSPW's overtime, since staff members accompany inmates who are transported to outside medical facilities. The transportation time may extend various staff members' duty time. The associate warden of business services explained that the prison is looking for ways to mitigate overtime usage caused by medical transports.

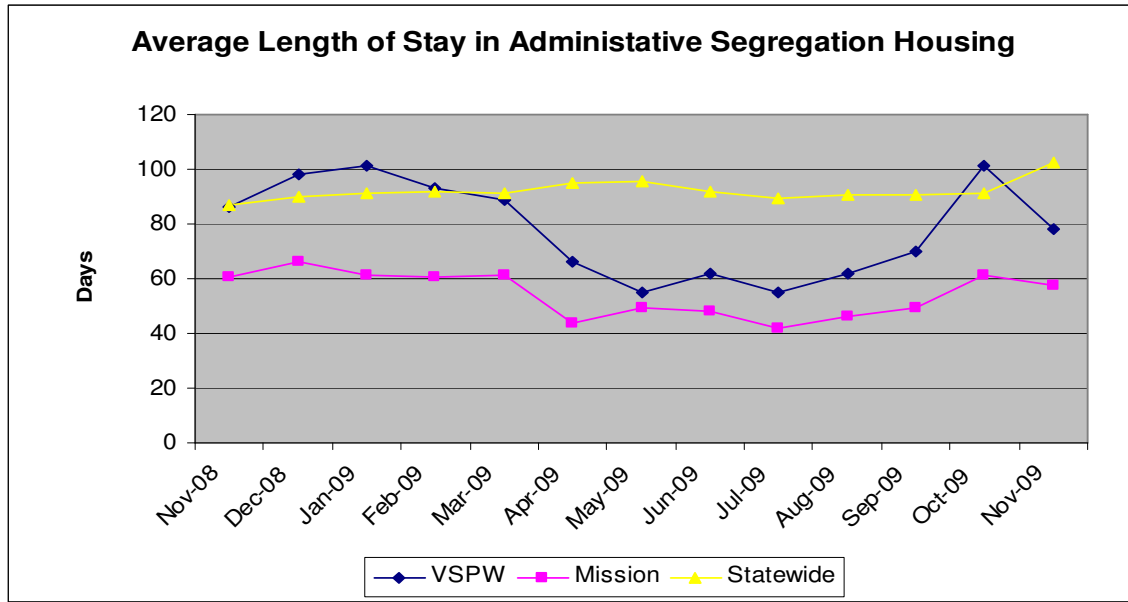
Furthermore, the prison has been able to save in overtime costs through a recent statewide plan to achieve a 3 percent budget reduction through salary savings. Although the prison has not decreased the number of its personnel, it is using those employees whose posts were deemed "non-critical" to cover shifts that would normally be covered through overtime. One employee told us that the prison has been redirecting affected employees to cover vacant shifts while at the same time trying to accommodate the employees' normal shift schedule.

Administrative Segregation Housing

Prisons use Administrative Segregation Units (ASU) to temporarily house inmates who are either disruptive or victimized by other inmates until prison employees investigate the level of threat to the prison or inmate. ASU housing is more expensive to operate than general population housing because it has increased security requirements. Effectively managing the time it takes the prison to investigate the threat level to the prison or inmate can significantly reduce the average length of stay, and in turn, reduce the cost of housing inmates in ASU. As a result, the average length of stay in ASU is an indicator of how well a prison is managing its resources and protecting inmates' due process rights.

We reviewed the prison's data for the average length of stay in ASU for the period from November 2008 through November 2009; as shown in Chart 4, on page 16, VSPW's average for most months is significantly lower than the statewide average, but higher for all months than the average for the two other women's prisons. When we asked managers about the time periods in which VSPW's average was either above or near the statewide average, we were told that several factors may contribute to the elevated length of stay. Specifically, managers noted that four inmates involved in an alleged rape pushed the average higher. In these types of cases, the prison's investigators must work with outside agencies to prosecute crimes that occur within the prison walls. The outside agencies include the district attorney's office, the Department of Justice, and the court system. Due to the coordination that must occur in criminal cases, these agencies' involvement can add to the time it takes to investigate and prosecute the cases, thereby increasing the inmates' time in ASU.

Chart 4:



Source: California Department of Corrections and Rehabilitation, CompStat ending November, 2009, Valley State Prison for Women. Unaudited data.

Category 4: Employee-Management Relations

According to the correctional standards for effective leaders, “Successful leaders invite communication, listen well, and prove themselves trustworthy by exhibiting

rational, caring, and predictable behavior in their interpersonal relationships.”⁴ The warden’s ability to communicate plays an important role in employee relations and is vital in implementing CDCR’s vision and mission at the prison level. Not only must the warden interact with employees throughout the prison and communicate instructions and directions clearly and effectively, but he or she must also communicate effectively with CDCR’s headquarters and with the surrounding community.

As shown in Table 5, only 45 percent of the survey respondents had positive opinions about various areas related to employee-management relations. The survey questions in the employee-management relations category dealt with such topics as the warden’s knowledge, use of authority, professionalism, skill in communication, effectiveness in employee discipline, and overall employee-management relations. These areas all contribute to the formation of the work environment. When we analyzed only the

Table 5: Employee-Management Relations – Employee Survey Results

Respondents	Positive	Negative
Custody	37%	63%
Health care	66%	34%
Admin, Plant Operations, and Other	47%	53%
Weighted Average	45%	55%

Source: *OIG survey of VSPW employees. See Appendix for details.*

⁴ *Correctional Leadership Competencies for the 21st Century*, U.S. Department of Justice, National Institute of Corrections (December 2006).

responses of custody officers, the largest classification of survey respondents, we found that only 37 percent of the survey responses were positive.

The low employee-management relations scores were concentrated in specific areas. Our analysis of employees' responses to our surveys, statistics on employee grievances, and the results of our interviews with the warden's management team and with other employees resulted in five topics for further consideration: Personnel and Hiring, Warden's Management Team, Employee Morale, Employee Grievances, and Interview and Survey Comments.

Personnel and Hiring

Both custody and management employees expressed concerns in interviews and surveys about the warden's hiring practices. For example, several employees told us that the warden exhibits favoritism by promoting individuals based on personal relationships. As one employee noted, "Honesty, integrity, intelligence, work ethic, and knowledge are superseded by her personal agenda, and not the state's." During our interview with the prison's Institutional Personnel Officer (IPO), we found that prior to September 2009, VSPW lacked a formal process for hiring and scoring candidates. Moreover, an operational peer review conducted by CDCR's Office of Audits and Compliance from January 5 through January 16, 2009, identified deficiencies in hiring interview packages and stated that "these conditions result in difficulty justifying the selection in the event a complaint is filed and a hearing is scheduled with the State Personnel Board." In response to OAC's peer review, the warden has made considerable efforts to improve the hiring procedures, and with the guidance of personnel staff members, has developed hiring procedures and standards for VSPW to ensure the integrity of the selection process. In fact, a review of VSPW's corrective action plan showed that the warden committed to establish a Local Operating Procedure to ensure complete, proper, and consistent hiring practices. VSPW's personnel office provided us with a copy of the addendum revising the DOM supplement 31060.3, Powers of Appointment, which was effective September 29, 2009.

We reviewed records for nine people that the warden hired or promoted over the period from April 6, 2009 through September 28, 2009. Our summary review of each panel member's interview score sheet suggested that in each case, the person hired was the most competitive candidate. To further analyze hiring practices, we reviewed relevant documents in four of the five corresponding recruitment packages. These documents confirmed that the people hired had the highest overall average interview score. Of particular note, we observed that the hiring panel progressively applied more consistent procedures and documentation with each hire. This progression was expected, since the warden was concurrently developing hiring procedures during this period. When we spoke with the IPO, she said that although the warden is not required to always select the highest-scored candidate, it is critical that the warden consider the appropriate factors and that the proper documentation is included in the package in order to ensure the integrity of the process and justify the hiring decision. According to the IPO, the warden chooses

to keep all hiring decisions confidential; neither the IPO nor the warden share information about selections until the prison makes an official hiring announcement.

When we spoke to the warden about personnel selections, she said that as the hiring authority, she is solely responsible for hiring. Because she values the confidentiality of the process, she explained, she and the IPO work exclusively on the hiring. Without the control of confidentiality, she felt that her decisions would be exposed to scrutiny or to perceptions of influence. Warden Hornbeak noted that she seldom hires against the hiring panel's recommendation; however, she acknowledged that she could select a candidate against the panel's recommendations and that such a selection would usually result from information obtained on the candidate through a completed investigation clearance. This clearance consists of a check for ongoing investigations or prior adverse actions. Investigative findings are not disclosed to panel members. According to the IPO, in cases when the warden has not agreed with the hiring panel's recommendation, the selection has been fair and justified in writing.

Warden's Management Team

The warden's management team, which consists of the chief deputy warden, five associate wardens, four facility captains, and other department heads, plays an important role in implementing the warden's vision for the prison and running the institution's daily activities.

When we conducted our entrance interview with the warden, she said that she has successfully developed a team that believes in her leadership to effectively manage the operations of VSPW. She also asserted confidently that her management team "takes care of business." After speaking with a number of employees during our visit, we determined the warden's statements to be accurate. We interviewed key employees and nearly every member of the management team; most described the team as very effective. For example, we heard a number of comments describing the team members as having good relationships and good interactions, being open to ideas, and being committed to solving problems. One team member commented, "This is the tightest team known; they have their day-to-day problems, but are able to work through them like a well-oiled machine." According to the warden and some management employees, this team's motivation is the result of the warden's success at attracting good people who know their jobs. Fittingly, the warden appears confident in the management team's ability to function as a group, listen to new ideas, and remain open to alternative ways to do things. Just the same, we were told that while the warden expects feedback and input from her managers and considers all matters, she ultimately retains overall decision-making authority.

Although most interview comments from management and other employees about the management team were positive, no team is without opportunities for improvement. While it is normal to rely on one's management to communicate with custody employees, the warden expects that her managers regularly notify custody employees of new information or directions coming from the prison or from CDCR. Yet according to custody employees that we interviewed, the prison management does not communicate in

a timely way and in general does not share information with custody officers. Moreover, employees we spoke with generally feel that management filters information or fails to prioritize concerns raised by custody employees. This contributes to low morale among custody officers.

A few management team members commented that the warden's own actions often give an appearance of preferential treatment to some managers. For example, one management employee said that the warden tends to have close relationships with some employees, with whom she interacts frequently, yet she almost never interacts with other employees. Employees said that these close relationships have allowed some managers to have more access to the warden, resulting in the ability of some to have more leverage than others in decision-making or in exercising freedom to run facilities. Although we were provided with no concrete evidence of preferential treatment, we note that it should be the goal of every organizational head to lead by example and to create both the reality and the perception that all staff members are treated uniformly.

Employee Morale

We received many responses and comments from the surveys and interviews indicating that VSPW has low employee morale. One factor contributing to low morale is the effect on employee finances caused by the state's employee furlough program, which has cut salaries by approximately 14 percent. In addition, CDCR's intent to cut its own spending by three percent through identifying "non-critical" posts to run vacant has caused a redirection in assignments for correctional officers, sergeants, and lieutenants. We were told by management staff members that the warden is addressing the budget constraints the best she can with employee interests in mind; however, state budget objectives are generally outside the control of the warden. With this perspective, we identified at least four factors affecting morale over which the warden does have control.

The first factor is the warden's lack of visibility to custody employees. Most employees agree that the warden should tour the prison more to talk, listen, and show a genuine interest in the concerns of custody officers. Employees indicated that if the warden simply acknowledged officers more and provided them with an opportunity to get to know her, employee morale would be higher. Second, custody employees perceive that their voices are not heard because communication is typically "one-way, from the top down." Further, they believe that information is slow to trickle down the chain of command and contend that management fails to foster officer input, particularly in how policies and procedures work or do not work in the prison's day-to-day operations. A third factor is that several custody employees indicated a correlation between low morale and the number of freedoms and opportunities afforded inmates. Officers said that the prison's emphasis on inmate programs can take precedence over operations. For example, one officer said that opening the main yard to all inmates on the weekends with insufficient staffing compromises officer safety. Other officers indicated that since the prison has enforced the use of verbal persuasion with inmates as a means to communicate and achieve compliance, failures to hold inmates accountable to direct orders has also contributed to a perception of lower officer security. Still others said that in relation to

inmate programs, more emphasis should be on training for officers. The perception of “inmates first” contributes to low morale and a widening gap between officers and management employees.

In contrast to the factors contributing to low morale, a fourth factor over which the warden has some control is the effort to raise morale. The prison has formed a morale group called the “Visionaries.” Spearheaded by the warden and her chief deputy, the Visionaries group is responsible for showcasing staff appreciation through employee social events such as a family night and a military observance day for veterans, chili cook-offs, and other community activities.

When we spoke to the warden about employee morale, she judged it to be high or low depending on the employee. She noted that in difficult fiscal times, families are affected, and that it is common for employee morale to be affected as well. Consequently, she has made it a priority to focus on increasing morale in spite of budget reductions and overtime limitations. She and the chief deputy warden have sponsored a number of staff events and have encouraged employee participation in community events. She understands that employees are not always happy with the choices she makes, but she genuinely believes people like working at VSPW.



Figure 6 – VSPW Visionaries, Event Participation Flyer.
Photo: OIG, March 2010

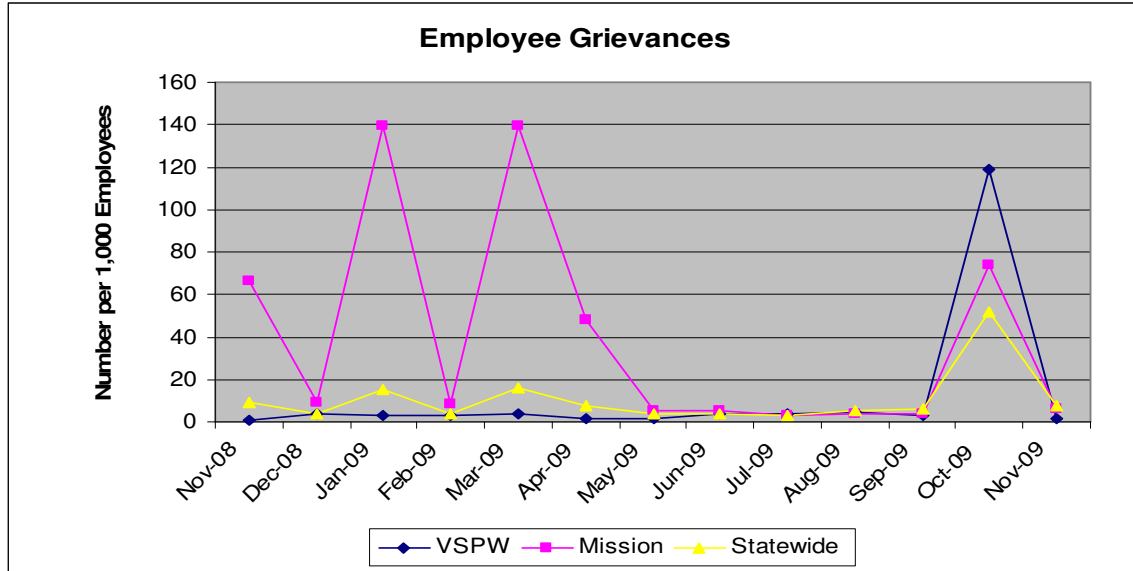
When we informed the warden that custody employees would like to see her out on the yards and housing units more often, Warden Hornbeak asserted that she spends long days at the prison, typically staying well into the evening hours. She also indicated that she does go out to the yards. She described a recent visit to the ASU. During that visit, she explained, officers aired concerns about personnel issues and facility maintenance; she believes that she addressed their needs in response. Warden Hornbeak also noted that although she has to share her time, she will try to get out to the yards more. This will provide employees with the opportunity for more direct communication with the warden.

Employee Grievances

All employees have the right to express their grievances through an established CDCR procedure. The employee grievance process is one way employees have to file complaints against the employee investigation and discipline process. Employees may also use the grievance process to file complaints regarding general workplace conditions and disputes. As shown in Chart 5, on page 21, for most months during the period from November 2008 through November 2009, VSPW was somewhat comparable with both the statewide average and the mission average for number of employees who filed a grievance. This did not include the month of October 2009, when grievances escalated to 118 per 1,000 employees.

We asked the warden to explain why grievances were high for this period. She commented that the Legislature revoked a paid state holiday and that employees filed grievances in response. During our visit, we also followed up with the prison’s Labor Relations Officer, and she confirmed that the high number of grievances were related to the elimination of Columbus Day. Our own research showed that the amendment to the provisions in Government Code section 19853 eliminating two paid holidays, February 12 (Lincoln’s Birthday) and the second Monday in October (Columbus Day), became effective March 2009 for all state employees.

Chart 5:



Source: California Department of Corrections and Rehabilitation, CompStat ending November 30, 2009, Valley State Prison for Women, VSPW. Unaudited data.

Interview and Survey Comments

During our interviews, we asked employees to identify accomplishments that the warden has made since her appointment. Although many custody employees we interviewed did not identify any notable accomplishments, some management employees credited the warden with efforts to pull people together by forming the employee morale group, “Visionaries.” Other employees recognized the warden for her ability to manage despite budget reductions and to respond with concern for employees stressed by furloughs. Still others credited the warden for the overall smooth function and operation of the prison.

In addition, CDCR officials and VSPW managers who responded to our survey rated Warden Hornbeak favorably for her management abilities. Our survey asked the officials and managers to consider the warden’s performance in six

Table 6: Rating of Warden’s Management Skills and Qualities

Category	Average Rating
Personal Characteristics/Traits	Very Good
Relationships with Others	Very Good
Leadership	Very Good
Communication	Very Good
Decision Making	Very Good
Organization/Planning	Very Good

Source: OIG survey of CDCR and VSPW management.

management skills and qualities and to rate the performance as either “unacceptable,” “improvement needed,” “satisfactory,” “very good,” or “outstanding.” As shown in Table 6, on page 21, the survey results indicate that Warden Hornbeak is performing at the “very good” level in various management-related categories.

Written comments from the surveys and from our interviews support the warden’s overall performance rating. Management team members commented that the warden is in control and sets the tone for others, has a good handle on issues and is responsive, demonstrates a high standard of professional conduct, views problems as opportunities, has very good security awareness, and is highly committed to achieving organizational success.

Although the remarks from her management team were frequently positive, we received or heard mixed comments from both custody and other management employees during our site visit. For example, during our interviews, employees suggested that the warden needs to correct the negative perception resulting from the show of favoritism in relationships, improve lines of communication between management and custody employees, tour the prison and be more accessible, and allow supervisors to conduct more effective training. Despite these suggestions, employees also complimented the warden by indicating that she addresses issues promptly, holds employees accountable and expects professionalism and quality work, gets along well with her management team, and is knowledgeable and “hands-on” in her role as warden.

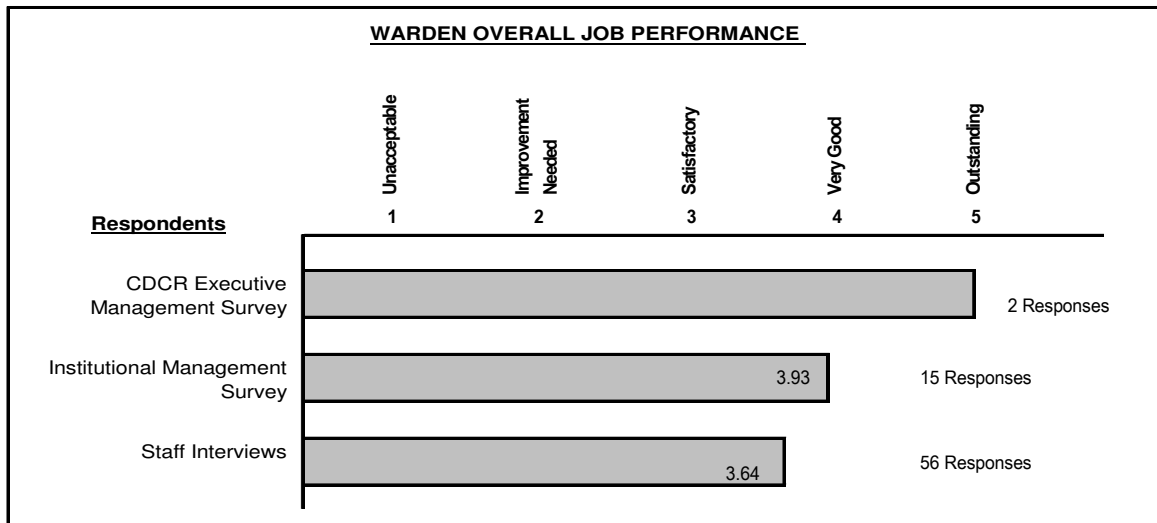
Finally, we interviewed representatives from both the women’s advisory committee and the inmate family council. Both groups supported Warden Hornbeak’s overall performance as warden.

Overall Summary

In our random survey, we asked employees to consider the warden’s performance, given all of the institutional challenges she faces, and to rate her performance from “unacceptable” to “outstanding.” Of the employees that responded, 42 percent rated the warden as either “very good” or “outstanding.” The remaining 58 percent rated the warden as either “improvement needed” or “unacceptable.” Then we visited VSPW in March 2010 to determine the specific factors that VSPW employees considered when rating the warden’s performance.

To assess the warden’s performance, we reviewed four key areas discussed in this report: safety and security, inmate programming, business operations, and employee-management relations. Our assessment also included ratings based on survey responses from CDCR officials, VSPW managers, and from interviews that we conducted with VSPW employees during our site visit. As shown in Chart 6, the respondents rated Warden Hornbeak’s overall performance between “very good” and “outstanding.”

Chart 6:



Source: OIG, Bureau of Audits and Investigations, Surveys and Staff Interviews, 2009, Valley State Prison for Women.

Two members of CDCR's executive management team responded to our survey regarding the warden’s performance. Both gave the warden high scores, indicating that they believe she is doing an outstanding job overall. In addition, the 15 surveyed prison managers who rated the warden’s overall performance gave an average score of “very good.” Similarly, the average response of the 56 interviews we conducted with prison employees rated the warden's performance as “very good.” The employees' positive average response is supported by the approximately 80 percent of interviewees who feel that Warden Hornbeak is performing at a satisfactory level or above.

In summary, according to VSPW employees and CDCR management, Warden Hornbeak is doing a very good job at managing the prison’s operations. Based on our consideration of all factors in the key areas we reviewed and their overall impact on operations, we

believe that the warden is functioning effectively. After assessing the comments from our on-site interviews, we concluded that the surveyed employees' low opinions of the warden's performance stem mainly from factors impacting low employee morale. No less important, however, is the consideration that opinions may be misguided, given that the motivation behind management decisions is not always visible to non-management employees. While we note that the warden has made strides in improving employees' perceptions of her hiring practices, Warden Hornbeak can further improve employee-management relations in general by becoming more visible within the prison and by enhancing communication between employees and management.

Post Fieldwork Update

On April 7, 2010, CDCR assigned Warden Hornbeak as the acting associate director for CDCR's Division of Adult Institutions, general population levels II and III. On May 26, 2010, Warden Hornbeak became the chief deputy warden of VSPW. On June 15, 2010, she became the associate warden of Healthcare Services at Mule Creek State Prison. In response to Hornbeak's departure from VSPW, CDCR assigned Walter Miller, effective September 7, 2010, as the acting warden of VSPW.

APPENDIX

Employee Survey Results

To prepare for the site visit, we randomly selected 236 of the prison's employees and sent them a survey. The survey requests information about the employees' perceptions of the warden's overall performance as well as her performance in the following specific operational areas at the prison: Safety and Security, Inmate Programming, Business Operations, and Employee-Management Communication. One hundred and seventeen VSPW employees responded to the survey—an almost 50 percent response rate.

To simplify the analysis of the survey results, we grouped survey respondents into three employment categories: Custody, Health Care, and Other (which includes employees in education, plant operations, administration, and clerical positions.) Then, to identify strong trends or patterns, we classified the responses to the questions as either positive or negative. For example, if the respondent "agreed" or "strongly agreed" with the question, we classified the response as positive; and if the respondent "disagreed" or "strongly disagreed" with the question, we classified it as negative. We excluded passive responses such as "neutral" or "unknown."

We report the results of the employee survey in a table on the following page.

Appendix: Compilation of Institutional Employee Survey Responses - Valley State Prison for Women

Operational Area/Question	Respondents' Employment Category						Total Responses				
	Custody		Health Care		Other		Pos	(%)	Neg	(%)	
	<i>Pos</i>	<i>Neg</i>	<i>Pos</i>	<i>Neg</i>	<i>Pos</i>	<i>Neg</i>					
<u>Safety and Security</u>											
1	The institution is meeting its safety and security mission.	30	13	21	4	28	3	79	80%	20	20%
2	Employees effectively respond to emergencies.	41	2	25	0	27	2	93	96%	4	4%
3	You are issued or have access to all safety equipment you need.	42	1	23	2	29	4	94	93%	7	7%
4	You receive all required safety training.	37	5	22	2	30	3	89	90%	10	10%
5	The CDC-115 inmate disciplinary process modifies inmate misbehavior.	11	32	7	14	14	11	32	36%	57	64%
6	The CDC-602 inmate appeal process provides inmates an effective method for airing their grievances.	31	9	20	3	21	7	72	79%	19	21%
7	Safety and Security has improved since the warden's appointment.	13	25	6	4	9	11	28	41%	40	59%
	Totals	205	87	124	29	158	41	487		157	
	<i>Percent of Responses by Category</i>	<i>70%</i>	<i>30%</i>	<i>81%</i>	<i>19%</i>	<i>79%</i>	<i>21%</i>	<i>76%</i>		<i>24%</i>	
<u>Inmate Programming</u>											
8	The institution is meeting its inmate programming mission.	29	8	11	4	14	7	54	74%	19	26%
9	The inmate assignment process places the right inmate into the right rehabilitative program.	18	20	9	6	9	12	36	49%	38	51%
10	Inmate programming is adequate for the number of inmates at the institution who would benefit from the education or work experience.	17	20	5	9	9	12	31	43%	41	57%
11	Inmate programming has improved since the warden's appointment.	13	20	2	6	4	14	19	32%	40	68%
	Totals	77	68	27	25	36	45	140		138	
	<i>Percent of Responses by Category</i>	<i>53%</i>	<i>47%</i>	<i>52%</i>	<i>48%</i>	<i>44%</i>	<i>56%</i>	<i>50%</i>		<i>50%</i>	
<u>Business Operations</u>											
12	Plant operations employees are able to meet maintenance and repair needs in your assigned area.	34	8	18	6	25	8	77	78%	22	22%
13	Your assigned area has enough employees to get all of the required work done.	25	18	10	15	14	19	49	49%	52	51%
14	Your work area operates without waste of resources.	22	16	16	9	20	12	58	61%	37	39%
15	Business operations have improved since the warden's appointment.	13	20	6	2	8	12	27	44%	34	56%
	Totals	94	62	50	32	67	51	211		145	
	<i>Percent of Responses by Category</i>	<i>60%</i>	<i>40%</i>	<i>61%</i>	<i>39%</i>	<i>57%</i>	<i>43%</i>	<i>59%</i>		<i>41%</i>	
<u>Employee-Management Relations</u>											
16	The warden is knowledgeable about the day to day operations in your work area.	15	23	4	7	8	16	27	37%	46	63%
17	The warden welcomes feedback, including criticism from employees.	11	28	8	1	8	15	27	38%	44	62%
18	The warden does not abuse his or her power or authority.	13	24	12	1	10	17	35	45%	42	55%
19	The warden works effectively with the local bargaining unit representatives.	12	23	5	1	9	8	26	45%	32	55%
20	The warden is ethical, professional, and motivated.	15	23	8	2	13	11	36	50%	36	50%
21	The warden is in control of the institution.	21	17	11	3	15	9	47	62%	29	38%
22	The management team keeps employees informed about relevant issues.	18	24	11	11	17	14	46	48%	49	52%
23	The employee investigation/disciplinary process is fair, effective, and timely.	12	27	10	3	12	14	34	44%	44	56%
24	The employee grievance process is responsive to employee complaints, is fair in its application, and does not result in retaliation.	11	24	10	7	13	12	34	44%	43	56%
25	Employee-management relations have improved since the warden's appointment.	11	23	3	6	9	14	23	35%	43	65%
	Totals	139	236	82	42	114	130	335		408	
	<i>Percent of Responses by Category</i>	<i>37%</i>	<i>63%</i>	<i>66%</i>	<i>34%</i>	<i>47%</i>	<i>53%</i>	<i>45%</i>		<i>55%</i>	
<u>Overall Warden Rating</u>											
26	Considering all institutional challenges, how would you rate the warden's performance?	13	26	10	3	10	16	33	42%	45	58%
	<i>Percent of Responses by Category</i>	<i>33%</i>	<i>67%</i>	<i>77%</i>	<i>23%</i>	<i>38%</i>	<i>62%</i>	<i>42%</i>		<i>58%</i>	

Source: OIG, institutional employee survey results for Valley State Prison for Women

California Department of Corrections and Rehabilitation's Response

OFFICE OF THE SECRETARY

P.O. Box 942883
Sacramento, CA 94283-0001



September 14, 2010

Mr. David Shaw
Inspector General
Office of the Inspector General
P.O. Box 348780
Sacramento, CA 95834-8780

Dear Mr. Shaw:

We are pleased to submit this response to your draft report entitled *Valley State Prison for Women (VSPW) Warden Tina Hornbeak One Year Audit*. We appreciate your acknowledgement of Warden Hornbeak's leadership skills and the cohesiveness of the VSPW executive management team, and concur with the overall assessment of her performance.

We would like to thank the Office of the Inspector General for the opportunity to provide comment on this report. If you should have any questions or concerns, please call my office at (916) 323-6001.

Sincerely,

A handwritten signature in black ink, appearing to read "S. Kernan". The signature is stylized with a large, sweeping initial "S" and a long horizontal stroke extending to the right.

SCOTT KERNAN
Undersecretary, Operations

cc: Tina Hornbeak