

Approved 2/13/84
Date

MINUTES OF THE SENATE COMMITTEE ON FEDERAL AND STATE AFFAIRS

The meeting was called to order by Edward F. Reilly, Jr. at
Chairperson

11:00 a.m./~~p.m.~~ on February 8, 1984 in room 254-E of the Capitol.

All members were present except: Senators Daniels and Francisco, who were excused.

Committee staff present: Russell Mills, Legislative Research
Fred Carman, Assistant Revisor of Statutes
June Windscheffel, Secretary to the Committee

Conferees appearing before the committee:

Stan Stennerson, Director, Performance Audit Staff,
Post Audit Division
Michael Barbara, Secretary, Department of Corrections
Richard Shultz, Deputy Director, Department of Corrections

SB535 - Concerning sunset law and continuing the office of secretary
of corrections and the department of corrections.

The Chairman introduced Stan Stennerson, who summarized the contents of three performance audit reports. Mr. Stennerson also provided copies of these reports to Committee members and provided a copy of the survey done to examine inmate recidivism in our Kansas prisons. These reports and survey are a part of these Minutes and are attached as Attachments #1, #2, #3 and #4. and are entitled: Audit of Selected Funds at Kansas State Penitentiary, Audit of Correctional Industries and Inmate Rehabilitation, Audit of Classification of Inmates in Kansas Prisons, and Legislative Post Audit Survey Results--Inmate Rehabilitation and Recidivism.

Secretary Michael Barbara was introduced and he handed out A Brief Outline of Department of Corrections, which is a part of these Minutes as Attachment #5. Secretary Barbara answered questions from the Committee members. Mr. Shultz assisted in answering questions from the Committee. One of the questions asked concerned the farm operation, and Secretary Barbara said that he would furnish information for the Committee concerning the farm. The dialogue between Committee and Secretary concerned prison industries, recidivism, inmate labor and classifications of prisoners.

The Chairman announced that SB599 and Substitute for HB2616 would be heard and discussed by the Committee tomorrow.

Senator Pomeroy moved that the Minutes of the Meeting of February 7, 1984, be approved. 2d by Senator Meyers. Motion carried.

The meeting was adjourned at noon.

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Attachment #1
2/8/84

PERFORMANCE AUDIT REPORT

Audit of Selected Funds at Kansas State Penitentiary

OBTAINING AUDIT INFORMATION

This audit was conducted by two members of the Division's staff: Leo Hafner, senior auditor and Tom Vittitow, auditor. Mr. Hafner was the project leader. If you need any additional information about the audit findings, please contact Mr. Hafner at the Division's offices.

**AUDIT OF SELECTED FUNDS
AT KANSAS STATE PENITENTIARY
SUMMARY OF LEGISLATIVE POST AUDIT'S FINDINGS**

1. Was It Proper To Use Inmate Benefit Fund Moneys As Matching Funds for Obtaining the Cable Television Donation from Faith Ministries? The use of the Inmate Benefit Fund to purchase all or part of a cable television system appears to be an acceptable use of moneys from the Fund as outlined both in Kansas statutes and Department of Corrections internal management policies.

2. What Is the Status of Construction of Cable Television at Kansas State Penitentiary, and What Additional Costs Will Be Incurred in the Future? To date, a satellite receiving dish has been installed as well as the connecting cable to the cellhouses. Work remaining to complete the system involves the installation of cable and receiver boxes inside the individual cellhouses and cells. A total of \$12,000 has been encumbered from the Inmate Benefit Fund for the project, of which \$8,833 has been spent. Prison officials indicate that no more than \$12,000 will be spent except for future maintenance costs. Although it is impossible to determine future maintenance costs with accuracy, a contact with an Oklahoma prison that received a similar system revealed that maintenance costs were minimal. Projected completion of the system is now mid to late summer of 1983.

3. Were Problems Noted Regarding Control and Use of Special Funds? No significant problems were noted regarding control or use of the General Fees Fund, the Farm Account of the Industries Fund, the Inmate Canteen Fund or the All Faith's Chapel Fund. However, the following four problems were noted concerning the Inmate Benefit Fund:

- Inappropriate use of Fund moneys to purchase two computer terminals costing \$14,809.
- Duplicate charges to prisoner accounts when transferring prisoner fines to the Inmate Benefit Fund.
- Improper depositing of restitution moneys in the Inmate Benefit Fund instead of the General Fund as required by administrative regulations.
- Lack of evidence that the Inmate Benefit Fund Committee approves all purchases from the Fund as required by Penitentiary orders.

4. Did the Auditors Find Evidence of Wrongdoing During Their Investigations of Specific Allegations Related to Certain Special Funds? The auditors investigated the allegations as thoroughly as possible, but found no instances of significant wrongdoing. However, the auditors did note that improvements could be made in two areas. First, in reviewing allegations concerning possible misuse of paint, the auditors determined that inventory records need to be improved. Second, in reviewing an allegation that employees were eating meals at the prison without paying for them, the auditors found that a number of employees are authorized free meals under a State regulation because of their job assignments. The auditors did find evidence that some employees were receiving free meals without this authority, but that the number of such free meals appeared to be declining. Nonetheless, the auditors determined that the Penitentiary needs to continue its efforts to monitor this situation.

AUDIT OF SELECTED FUNDS AT KANSAS STATE PENITENTIARY

At its April 21, 1983 meeting, the Legislative Post Audit Committee directed the Legislative Division of Post Audit to conduct a limited scope audit at the Kansas State Penitentiary at Lansing. The purpose of the audit was to answer several legislative questions regarding the use of Inmate Benefit Funds to provide matching moneys in obtaining an outside grant for constructing a cable television system at the prison, the need for additional moneys to complete the project, and the status of construction work on the project. In addition, the General Fees Fund, the Correctional Industries Fund with emphasis on the Farm Account, the All Faith's Chapel Fund, the Inmate Canteen Fund, and the Inmate Benefit Fund were selected for audit to ensure that accounting controls were adequate, that purchases appeared proper for the funds and that State property purchased with moneys from those funds was adequately controlled. Finally, testwork was done to investigate allegations by confidential sources that State property or funds may be missing at the Prison. The findings of the audit in each of these areas are discussed below.

The Installation of Cable at Kansas State Penitentiary

In the Spring of 1982, the Director of the Kansas State Penitentiary at Lansing was contacted by the President of Faith Ministries in Tulsa, Oklahoma. The organization offered to install a satellite receiving dish to allow the inmates to receive religious programs. Since that time, an agreement has been executed between Faith Ministries and the State of Kansas on behalf of the prison to install a complete cable television system at Kansas State Penitentiary. This agreement has raised questions regarding the propriety of using Inmate Benefit Fund moneys to purchase part of the system, and the need to commit additional moneys beyond what has already been spent to complete and operate the system. These questions are addressed below.

Was it Proper to Use Inmate Benefit Fund Moneys As Matching Funds for Obtaining the Cable-Television Donation from Faith Ministries?

Statutory restrictions on the use of benefit fund moneys can be found in K.S.A. 75-3728e, which defines benefit funds as "... moneys and other assets available to provide property, services or entertainment for persons in a State institution." In addition, the Secretary of Corrections has adopted an internal management policy, dated August 15, 1982, which states: "Expenditures from inmate benefit funds shall be made only for services and/or articles of merchandise that are accessible to and of benefit to, the general inmate population."

The purchase of all or part of a cable television system using Inmate Benefit Fund moneys appears to fall within the restrictions set out both by statute and by Department of Corrections' internal management policy. The purchase definitely falls within the category of "entertainment," which is one

use specifically mentioned in the law. Likewise, it appears that the system will benefit not only those inmates with televisions in their cells, but will also benefit the general inmate population who may watch the programming in community viewing areas. As a result, the purchase appears to meet the criteria set forth in the Department of Corrections' internal management policy as well.

What is the Status of Construction of Cable Television at Kansas State Penitentiary, and What Additional Costs Will Be Incurred in the Future?

The contract with Faith Ministries was signed on September 23, 1982, and called for Faith Ministries to donate to Kansas State Penitentiary a complete cable television system. Faith Ministries agreed to raise a projected total of \$54,500 for the system, Kansas State Penitentiary agreed to be responsible for the maintenance of the system once installed and further agreed to acquire and install a character generator system with Inmate Benefit Fund moneys at a total cost of \$12,000 or less. A total of \$12,000 has been encumbered from the Fund for this system.

Actual construction of the system at the prison began in October of 1982. To date, a satellite receiving dish has been installed and all the cable has been laid between the cell houses and the satellite dish. In addition, cable has been installed up to the Kansas Correctional Institution for Women. However, no current plans exist to expand the system to provide service to the women's prison. The total amount raised by Faith Ministries to date has been about \$35,000. The remainder of their contractual obligation will need to be raised before the system can be completed.

So far, \$8,833 of the \$12,000 encumbered from the Inmate Benefit Fund has been spent to purchase a character generator, lights, cable, a switching block, and other miscellaneous equipment to be used to operate a prison channel from a small room in the prison training center. The primary work remaining to be done on the system is the installation of cable and receiver boxes in the individual cellhouses and cells. Completion of the work is dependent upon the rate at which Faith Ministries is able to generate donations for the project. Currently, prison officials are projecting completion by mid to late summer 1983.

Prison officials also indicated that no additional costs above the original \$12,000 amount from the Inmate Benefit Fund will be applied to the system except for the ongoing maintenance costs of the system once it is installed. To determine what the ongoing maintenance costs might be, the auditors contacted McAlester State Prison in Oklahoma. The McAlester prison received a similar system donated by Faith Ministries, which has been operational approximately one year. Oklahoma prison officials indicated that to date, their maintenance costs had been minimal. The only expenses in Oklahoma had been small replacement parts such as television connectors broken by inmates.

Review of Specific Funds

The second major component of this audit was a review of five specific funds: the General Fees Fund, the Correctional Industries Fund-Farm Account,

the All Faiths Chapel Fund, the Inmate Canteen Fund, and the Inmate Benefit Fund. These funds were examined to ensure that receipts and expenditures were properly controlled, that purchases were authorized and appeared appropriate for the funds, and that State property purchased with fund moneys was properly inventoried and controlled. The results of the audit of these funds appear below.

General Fees Fund

The General Fees Fund receives revenues from five sources: the sale of scrap materials, the sale of meal tickets, vending machine sales, rental of State-owned buildings such as the Prison Director's house, and the recovery of overpayments. The primary uses of general fees are food purchases and miscellaneous refunds.

During fiscal year 1982 the Fund had receipts totaling \$31,973 and total expenditures of \$31,688. Receipts for fiscal year 1983 through the date of the audit were \$17,690. Actual expenditures to date were \$88, with \$16,959 encumbered for food purchases.

The auditors reviewed the receipt and expenditure procedures for the Fund to ensure that adequate accounting controls had been implemented. Receipts were traced from the accounting records to deposits in the bank account and subsequently to deposit in the State Treasury. All expenditures for fiscal year 1982 and fiscal year 1983 to date were reviewed to determine that they were properly approved and recorded, that they were supported by invoices, that receipt of the goods was documented, and that purchases appeared proper for the Fund. The auditors concluded that all receipts and expenditures for the Fund appeared to be properly controlled and recorded.

Correctional Industries Fund

Correctional Industries were established by the Prison-Made Goods Act of Kansas, which provided for the purchases of raw materials and equipment and allowed for the use of inmate labor for the production of goods and services to be sold to State, federal, and local agencies. The Kansas State Penitentiary operates soap, paint, sign, upholstery, and furniture refinishing units, and maintains a farm operation, which was authorized by the 1982 Legislature. The auditors' review of Correctional Industries focused on the Farm Account as specified in the audit request.

The only current source of revenue for the farm operation is revenue from the lease of farmland owned by the prison, which is deposited in the farm account. This lease provided \$105,583 in revenue during fiscal year 1982. The Legislature authorized \$90,000 of this money to be spent on the farm operation during fiscal year 1983. The auditors reviewed the lease agreements for fiscal years 1982 and 1983 to determine that the lease amounts corresponded with amounts deposited in the State Treasury. All expenditures from the farm account from the beginning of fiscal year 1983 to the date of the audit were reviewed to determine that they were properly authorized, that the purchases were supported by invoices, that the goods were received, and that the purchases appeared proper for the Fund. Those expenditures totaled \$86,892 as

of the date of the audit. The majority of the purchases were for fencing materials and hardware, lumber for constructing a horse barn, livestock, livestock feed, fertilizer, and miscellaneous supplies. Most purchases of significance were supported by a record of price quotations from various vendors. All livestock purchases went through the State Division of Purchases.

The auditors verified livestock inventory records by a physical count of 146 head of cattle and two horses. All livestock were accounted for. The auditors also found no instances of improper purchases or inadequate internal controls.

All Faiths Chapel Fund

The All Faiths Chapel Fund was established on July 7, 1970 by authority of the Director of Penal Institutions. Funds were obtained by the sale of recordings of the Kansas State Penitentiary Choir and from donations from benefactors who were interested in construction of a place of worship within the institution to be used by persons of all faiths. Records on file at the Penitentiary list donations totaling \$35,653. The last recorded donation to the Fund was in March of 1975. The moneys were not invested until fiscal year 1976, at which time the Fund had a balance of \$42,708. There were no records of funds received from the sale of recordings by the Kansas State Penitentiary Choir. The difference between the recorded donations and the balance when the Fund was first invested is generally thought to be proceeds from record sales or unrecorded donations.

After determining the amount of recorded donations to ensure that at a minimum, those moneys were intact in the Fund, the auditors reviewed the documentation of investments from fiscal year 1976 to the present time to ensure that all interest was received and properly credited to the Fund, and that no moneys were expended from the Fund. As of May 1, 1983 the Fund had an unexpended cash balance of \$79,837. The first expenditures from the Fund occurred in fiscal year 1983 for construction of a chapel above the prison dining hall. Fiscal year 1983 expenditures at the time of the audit were just over \$1,386, and an additional \$23,391 was encumbered for building materials and heating equipment. The auditors reviewed these expenditures and determined that they were properly approved, supported, accurately recorded, and appeared to be appropriate uses of money from the Fund.

Inmate Canteen Fund

The Inmate Canteen Fund is funded from inmate purchases of store items such as snack foods, postage, tobacco products, and toiletries. The money generated from product sales is used to replenish inventories and to defray the cost of operation. Profits from the Canteen operation are deposited in the Inmate Benefit Fund. Sales from the Canteen operation from July 1, 1982 through March 31, 1983 were \$344,123. Profits transferred to the Inmate Benefit Fund during that time period were \$56,390.

The auditors examined the receipts and expenditure procedures for the Canteen operation to determine that adequate controls were present. Monthly balance sheets and income statements were also reviewed, and cash balances

were traced to bank statements. Purchases were reviewed to determine that they were supported by invoices and that all items purchased appeared proper for the Fund. In addition, the records of the physical inventory of store goods were reviewed and tested for accuracy for three months during fiscal year 1983. Finally, equipment items purchased for store use were observed to determine that they were on hand.

The auditors found that current receipts procedures did not provide a specific record of individual items sold to inmates. As a result, it is impossible to determine shortages of individual inventory items. However, the auditors were able to compare monthly profit figures with the cost of items sold from the Canteen. These figures appeared to be within a reasonable range for the mark-up on the items sold. Therefore, it appears that there are no major problems with inventory shortages. The only method available to determine item shortages is a perpetual inventory system, which is not currently used by the Canteen. Such a system would require more detailed records of sales and purchases than are currently kept, and may not be cost-effective for an operation of this size.

Inmate Benefit Fund

The Inmate Benefit Fund is used to purchase items that benefit the general inmate population, such as movies, games, and athletic equipment. Primary sources of revenue for the Fund include profits from the Canteen Fund, inmate fines for infractions of prison rules, contraband (cash) taken from inmates, and interest earned on investment of money in the Fund. Between July 1, 1982 and April 30, 1983, the Inmate Benefit Fund had total receipts of \$65,263, with 85.9 percent of this amount coming from the profits of the Canteen Fund. An additional 10.6 percent was obtained through inmate fines, and the remaining 3.5 percent was received from contraband (cash) and interest on investments. During the same period, the Fund's expenditures were \$41,080. Of this amount 18.7 percent was for movies, 48.7 percent was for athletics, 21.5 percent was to install cable television equipment and 11.1 percent was for other expenditures such as Christmas decorations and miscellaneous equipment.

The auditors reviewed and evaluated the receipt and expenditure procedures for the Fund to ensure that adequate accounting controls had been implemented. Receipts were traced through the accounting records to deposits in the bank account. A sample of 22 expenditures from the Benefit Fund was examined to determine that they were approved, supported by invoices, and accurately recorded. In addition, all expenditures for fiscal year 1983 were reviewed to determine that they appeared to be appropriate uses of money from the Fund.

The auditors' review of the receipts and expenditures of the Inmate Benefit Fund revealed four areas where compliance or control problems were noted, which are described below.

The purchase of computer equipment with Inmate Benefit Fund moneys appears to be improper use of such funds. During their review of purchases from the Inmate Benefit Fund for fiscal year 1983, the auditors noted payment for transportation charges on computer equipment. In questioning why such

charges would be paid from the Inmate Benefit Fund, the auditors learned that two terminals had been purchased during fiscal year 1982 with Benefit Fund moneys at a total cost of \$14,809. This amount represented 28 percent of the \$56,630 total Inmate Benefit Fund expenditures for fiscal year 1982. In discussing this purchase with the Business Manager, the auditors learned that the computer equipment was an expansion of a system originally approved and funded through a federal grant. Later, the prison officials decided to expand the system but did not have the needed funds remaining in the federal grant. The Business Manager told the auditors that it was decided that because the inmate trust accounts would be serviced by the computer terminals, that this would be adequate justification to fund these terminals with money from the Inmate Benefit Fund. Because this equipment is for the Business Office's daily operations and not of direct benefit to the inmate population (as stated by the Department of Corrections' internal management policy regarding inmate benefit funds), it appears that this purchase from the Inmate Benefit Fund was inappropriate.

Some inmates were charged twice for the same fine. One of the sources of receipts for the Inmate Benefit Fund is the transfer of moneys from inmate cash accounts for fines levied due to infractions of prison rules. In reviewing revenues from prisoner fines for the period March 15, 1983 through April 18, 1983, the auditors found that a total of 194 fines were levied. In 12 of those cases, the inmate's account was charged twice for the same fine. The total overcharges amounted to \$79. If this rate is typical, there may have been as many as 40 overcharges to inmate accounts since the beginning of fiscal year 1983. The auditors pointed out the duplicate charges to the person responsible for handling inmate accounts. Controls should be strengthened to prevent similar duplicate charges in the future.

Restitution moneys were not deposited in the proper fund. In their review of receipts to the Inmate Benefit Fund, the auditors noted that in six separate instances, when inmate disciplinary actions required restitution to the State, restitution was charged against the inmate account and paid to the Inmate Benefit Fund. These restitutions should have been placed into the State General Fund in accordance with K.A.R. 1982 Supp. 44-12-1306(b). The total amount of these improper deposits amounted to \$122. Controls should be established to ensure that restitution moneys are properly deposited in the State General Fund in the future.

Inmate Benefit Fund purchases were not approved by the Benefit Fund Committee. Kansas State Penitentiary order number 2101, effective October 8, 1982, requires that all expenditures from the Inmate Benefit Fund be approved by a majority vote of the Benefit Fund Committee. The process of approval by this Committee, which is composed of the Deputy Director of Programs, the Recreational Director, and one inmate from each living unit, ensures that inmates have input into the use of Fund moneys. In reviewing Committee minutes and requisitions for Inmate Benefit Fund purchases for evidence of Committee approval, the auditors could not find such evidence. The auditors then questioned Business Office officials, who indicated that the policy was not intended to require approval of all purchases, only concurrence in the purchase of unusual items, and that final approval was reserved for the administration. This approach would seem reasonable given the number of repetitive purchases

each month, such as movies and payments to referees at athletic events. However, it appears that prison order 2101 should be redrafted to reflect the actual practice at the prison, and that Benefit Fund Committee minutes should be more explicit so that when extraordinary purchases are discussed, approval by the Committee can be documented.

Confidential Allegations

In addition to conducting the general audit testwork on the five specific funds, the auditors received information from confidential sources regarding possible missing State property or funds at the Kansas State Penitentiary. The auditors investigated major allegations relating to the funds included within the scope of this audit. These allegations and the auditors' findings on each are summarized below.

Allegation: Cattle Missing

It was alleged that 15 or more head of cattle may be missing from the Prison Farm Operations.

Auditors' findings. A physical count of all cattle owned by the prison farm operation revealed no missing cattle.

Allegation: Too Much Spent on Horse Accessories

It was alleged that excessive amounts have been spent on saddles and other accessories for the two horses used in the farm operation.

Auditors' findings. The auditors reviewed all purchases from the Farm Account for fiscal year 1983, including several purchases for horse saddles and accessories such as horseshoes, spur straps, and bridles. The purchases, which totaled \$1,532, did not appear to be extraordinary.

Allegation: Purchases Made Without Bids

It was alleged that certain livestock had been purchased within the state of Missouri without bids.

Auditors' findings. All livestock purchases were reviewed. Although some livestock had been purchased in Missouri, all such purchases went through the State Division of Purchases. Further, it appears to be a general practice to obtain several quotes on farm purchases of any significance. The auditors noted that a significant number of purchases were supported by quotation sheets listing three or four different vendors and the price charged by each vendor for the goods requested.

Allegation: Employees Not Paying for Meals

It was alleged that as many as 50 employees per day may be eating meals at the prison without paying for meal tickets.

Auditors' findings. During the audit testwork the auditors found that as many as 50 employees per day receive their meals without charge as part of their work assignment, as permitted under K.A.R. 1-19-4A(4). However, it does appear that there has been some problem with unauthorized employees eating meals at the Penitentiary without paying for them. This is evidenced by a memo dated June 22, 1982, from the Prison Director to all employees, which indicates that at least \$7,500 in revenue was foregone in the previous year because employees had not paid for meals and that as many as 150 meals a weekday were not being paid for.

The auditors did a reasonableness test on meal ticket sales to determine if improvements had occurred. The auditors found that 27 percent more meal tickets were sold during the first nine months of fiscal year 1983 than for the same period the preceeding year. However, this level of increase only accounts for approximately six more meal tickets a weekday--a slight improvement over the Director's 1982 estimate that 150 meals per weekday were not being paid for. Thus, it appears that some additional improvements need to be made in the system.

Allegations: Paint Missing

Several allegations were made concerning the possibility that paint was missing from the Penitentiary:

- As many as 12,000 to 16,000 gallons of French Vanilla paint were purchased by the administration and never used at the prison.
- A truckload of paint was shipped from the paint factory warehouse during the summer months of 1982 without being paid for.
- As many as 30 to 40 gallons of paint are removed from the warehouse each weekend without being paid for.

Auditors' findings. The auditors reviewed all invoices in the paint factory for paint requisitions made by the Kansas State Penitentiary since February 1982. Whenever invoices were encountered for French Vanilla paint, the auditors noted the number of gallons ordered. They were unable to find enough orders of that color of paint to total 12,000 to 16,000 gallons. Discussions with the manager of the Correctional Industries paint factory revealed that the Penitentiary had ordered in excess of \$100,000 worth of paint over the past year to year and a half. This amount of paint would approach 12,000 gallons. However, several colors were involved, such as French Vanilla, Chocolate Brown, and Grey Floor Paint. The auditors contacted the Chief Engineer of the Penitentiary to determine if records were available to indicate the total area in square footage of buildings to be painted, but no such records were available. Therefore, it could not be determined with certainty that the amount of paint purchased was reasonable in relation to the areas to be painted. The auditors did note, however, that extensive painting has recently been done at the Penitentiary including several large dormitories and warehouse-type buildings.

Regarding claims that paint was shipped from the factory during the summer of 1982 without being paid for, the auditors reviewed the controls over paint orders and shipments. Every paint factory order shipped during the months of June, July, and August of 1982 was examined to ensure that it was

billed and that the receipts were deposited in the Correctional Industries Fund. No exceptions were noted.

Finally, to determine if paint was being removed from the warehouse without being purchased, the auditors reviewed the control over paint inventories in the warehouse. Job orders were traced to inventory records to determine that the records accurately reflected the amount of paint being shipped. In addition, a sample of 20 inventory items was counted to determine that the quantity on hand was the same as the quantity shown on the inventory cards.

This review indicated that the warehouse inventory records need to be improved. The auditors examined 39 inventory cards and found that 28 cards, or 72 percent of those sampled, had clerical errors thereby showing inaccurate balances on the cards. The physical count of 20 inventory items showed that the cards were in agreement with the number of gallons on hand in only four instances. In several cases where there were substantial differences between the inventory cards and the amount of paint in the warehouse, warehouse employees searched job orders and were able to find job orders that were shipped but had not been recorded on the inventory cards. Therefore, it appears that greater care needs to be exercised to ensure that all paint received from the factory and shipped to customers is accurately recorded on the inventory records.

Allegation: Canteen Fund Used Improperly

It was alleged that a sprinkler system costing \$1,500 to \$1,700 was purchased with money from the Inmate Canteen Fund, and that items were being removed from the Canteen without being purchased.

Auditors' findings. A review of all expenditures from the Canteen Fund for fiscal year 1983 revealed no purchases other than normal Canteen items.

A review of inventory control over the Canteen showed that no perpetual inventory (an ongoing up-to-date record of all inventory items) is kept. Such a system would be necessary to detect and explain shortages of inventory items. Instead, a monthly physical count of the goods on hand is made to determine the value of inventory on hand at the end of the month. Comparing the Canteen's gross profit on sales to the cost of items sold during the month, the auditors found that the profit amount appeared to be within a reasonable range given the stated mark-up on goods sold. This tends to indicate that if goods are disappearing, the amounts are not substantial. The auditors also note that it may not be cost-effective for an operation as small as the Canteen to keep a detailed perpetual inventory system.

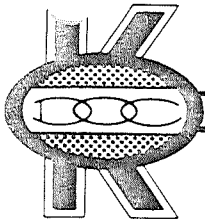
Allegation: Prisoners Fined Excessively

It was alleged that prison officials have been levying excessive fines against prisoners.

Auditors' findings. The auditors reviewed the January through April periods of fiscal years 1982 and 1983 to determine if the frequency of fines or the amounts paid had changed significantly. The auditors also examined

documentation of disciplinary records to determine if the fines levied exceeded the maximum fine for specific classes of offenses described in the Prisoner's Handbook.

The auditors found that the number of fines during January through April 1983 was 437, a 117 percent increase over the 201 fines imposed during the same period of fiscal year 1982. The amounts of these fines increased 134 percent from \$1,823 in 1982 to \$4,273 in 1983. The Disciplinary Coordinator for the prison told the auditors that the increase occurred for several reasons. First, the inmate population increased by 12.2 percent during the period reviewed. Second, an August 1982 change to the administrative regulations authorized larger fines. Finally, the prison administration's philosophy has changed to include the idea that fines get the attention of offenders, thereby resulting in fewer violations. No fines were noted that exceeded the penalties prescribed in the Prisoner's Handbook in effect during the period examined.



KANSAS DEPARTMENT OF CORRECTIONS

JOHN CARLIN — GOVERNOR

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June 2, 1983

Mr. Meridith Williams
Deputy Legislative Post Auditor
Legislative Division of Post Audit
Mills Building
Topeka, Kansas 66612

Dear Mr. Williams:

I am submitting this letter in response to your audit of selected funds at the Kansas State Penitentiary (KSP), which I received May 27, 1983. It discusses each of the six problem areas identified by the audit staff.

While I am unable to attend the June 2 meeting, I have asked that Gary Rayl, Director of Kansas State Penitentiary, and Lenny Ewell, Director of Kansas Correctional Industries, be present at the meeting to answer any questions that the members or your staff might ask.

Use of Inmate Benefit Fund Monies to Purchase a Computer Terminal and Printer Costing \$14,809. (See Audit Report, page 5)

In FY 1981, two computer terminals and a low speed printer were installed at KSP using institutional operating funds. One terminal was for the Records and Classification Office for use with the Offender-Based Computerized Information System (the Department's inmate tracking and data system); the other terminal was for use in the Inmate Accounts Office with which to computerize the entire trust fund (inmate personal accounts). Soon thereafter, Kansas Correctional Institution at Lansing (KCIL) was added to the KSP system and its trust fund automated. As the population increased, more options became available and a general accounting program for state funds was implemented. The workload grew until it became too large for the limited computer hardware. At the same time, as more Department of Corrections (DOC) agencies gained equipment and access to the computer system, the time necessary for printouts became measurably longer. The only solution lay in purchasing adequate numbers of terminals at each institution. To that end, a federal grant was obtained by DOC to

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expand the system. Unfortunately, available funds fell short by the amount necessary for one terminal and a high speed printer for KSP.

To meet this need the former Deputy Secretary of Corrections for Management Services recommended the purchase of the necessary terminal and printer using the KSP Inmate Benefit Fund to the former Secretary of Corrections. The Secretary approved their purchase. (The reference in the Audit Report to the purchase of two terminals is in error. Only one terminal and one printer were purchased.) At that time, the preponderance of work done on both the terminal and printer were for the benefit of inmates derived from the administering and maintaining their personal accounts in the trust fund. Given that this purchase significantly upgraded the ability of the institution to handle inmate accounts, it is the Department's position that it was of benefit to the inmates and therefore an appropriate expenditure from the fund. In the future, the Department will review each major purchase to ensure that benefit funds are spent appropriately.

Duplicate Charges for Prisoner Fines. (See Audit Report, Page 6)

The 12 duplicate charges found by the auditors occurred in March, 1983, during a time when the institution disciplinary coordinator was on vacation and are not typical. Just prior to her departure, the coordinator took copies of all fines to be posted in her absence to the Inmate Accounts Office. Several days later, another clerk in the Records and Classification Office (where the disciplinary coordinator is located) was told to make copies of the same fines and also deliver them to the Inmate Accounts Office, which he did, not knowing they had already been posted. Upon receipt of the duplicated fines for posting, the Inmate Accounts Clerk posted them as though they were new fines.

While it is true that a number is assigned to each fine assessed, checking every fine sheet before posting would so slow the process that it would be unmanageable. Further, the same inmates are often repeatedly fined, in similar amounts, for different offenses. Typically, fines to be posted are retained in batches of 20-50 and then are delivered to the Accounting Office for posting and have averaged nearly 200 fines per month.

To ascertain the extent of this type problem, Mr. Rayl directed that a detailed inspection of fine postings for the months of June through August, 1982, and November, 1982, through January, 1983, be made. Only two such errors were found in the months examined. Both were duplicate \$5.00 charges, one occurring on July 20, 1982, the other on September 14, 1982. Each case revealed that a duplicate fine sheet was forwarded to the Inmate

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Accounts Office nearly one month after the original posting and with such time separation, there was no reason for the clerk who posted it on the computer to believe there was any problem, since the two duplicates were simply two more within a large batch of fine sheets to be posted.

In all cases, including the 12 accounts referenced in the audit report, the individual accounts have been corrected. Steps are now being taken to prevent any reoccurrences of this type.

Depositing of Restitution Monies in the Inmate Benefit Fund.
(See Audit Report, Page 6)

This problem developed in the transition of duties from one account clerk position to another within the Inmate Accounts Office. The person gaining the duties of such postings was either not properly instructed or misunderstood that monies collected from inmates for restitution were to go into the State General Fund, unlike fines assessed against inmates which go into the Inmate Benefit Fund. (In this case, restitution refers to payment for lost or damaged state property for which inmates were responsible.)

These instructions have been reviewed and reiterated to all personnel concerned. A check list has been prominently posted in the Accounting Office which clearly details the funds into which all receipts are to be deposited. The \$122 identified by the auditors will be transferred to the State General Fund.

Lack of Evidence that the Inmate Benefit Fund Council Approves all Purchases from the Fund. (See Audit report, Pages 6-7)

It does appear that this is a problem area that needs to be rectified. However, it appears to be more a problem of form than procedure.

As required by paragraph one of DOC Internal Management Policy and Procedure (IMPP) 4-104, a proposed budget outline was presented for the fiscal year to the Benefit Fund Council. This covered high cost, single item purchases as well as the approximate amount needed for general categories such as movies, athletics, etc. It was intended that once this budget was approved by the Secretary of Corrections, expenditures would be presented to the Council for review. Any proposed expenditures arising which are not listed in the budget document must be approved by the Council and the Director and/or Secretary in turn. Routine expenditures such as movies and athletic fees need not be approved each month.

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In view of the above, it appears that in addition to the instructions contained in DOC IMPP 4-104 and KSP General Order 2,101, better minutes of committee meetings together with an attached monthly Inmate Benefit Fund financial statement are needed. (Such financial statements have routinely been delivered to Unit Teams for posting on cellhouse bulletin boards but have not, as a matter of form, been a part of the minutes.) In the future, committee meeting minutes will be presented in a commonly accepted format for review and approval by all concerned. The General Order will also be rewritten to clarify the Council's expenditure approval procedure.

Payment for Employee Meals. (See Audit Report, pages 7-8)

Director Rayl, as evidenced by his 1982 memo, has been concerned about this area for some time. He recently issued written instructions re-emphasizing the need for compliance with the policies and orders already in effect. The statement said that only correctional and maintenance supervisors actually supervising inmates working outside and who are not returned to their domiciles at noon, will be served meals without charge. All other employees are to purchase meal tickets and pay for their meals.

Kansas Correctional Industries: Paint Inventory. (See Audit Report Pages 8-9)

The auditors identified paint inventory as a problem area and concluded that "warehouse inventory records need to be improved." This conclusion was reached after examining 39 inventory cards and finding that 28 cards (over 72% of those sampled) had clerical errors, thereby showing inaccurate balances on the cards.

For some time, the management of Correctional Industries has been concerned about its manual system of inventory control. In October, 1982, a design for a new automated accounting system was submitted to the Department of Corrections, Division of Management Services. The new system was strongly requested because the accounting and inventory control demands had outgrown the manual operational system.

The Department of Corrections then submitted a formal request to purchase an automated system to the Division of Information Services and Computers (DISC) in January, 1983. Since January, KCI has worked with DISC to identify a system appropriate for handling the prison industry accounting system and inventory control. As early as mid-April, Mr. Ewell, the Director, and his accountant, Leland Breedlove, began training in the use of such automated systems. With delivery of the new system, and the

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retraining of supervisory employees, an improved inventory system will be established. In the meantime, steps will be taken to analyze the manual system in order to provide more accurate inventory control between the paint factory and the warehouse.

I trust that this responds sufficiently to the problem areas identified by the auditors. If you have any additional questions, I would be happy to respond to them.

Sincerely,

A handwritten signature in cursive script, reading "Michael A. Barbara". The signature is fluid and extends across the width of the typed name below it.

MICHAEL A. BARBARA
Secretary of Corrections

MAB:dja

February 8, 1984
Concerns Attachment #1.

EXAMINING SELECTED FUNDS AT THE KANSAS STATE PENITENTIARY

The concerns:

1. Is it proper to use money from the Inmate Benefit Fund as matching money for a cable television system?
2. Will the cable television system cost the State a lot of money to maintain?
3. Is there any truth to allegations made about misuse of certain funds at the Penitentiary?

Our findings:

1. Using the Inmate Benefit Fund for the cable television system appears to be in line with State law and Department of Corrections policies.
2. The cable television system's maintenance costs should be small.
3. Allegations were checked carefully and were not found to be substantiated. Some improvements in controls, however, could be made.

CORRECTIONAL INDUSTRIES AND INMATE REHABILITATION

The concerns:

1. Do Correctional Industries make enough money to be self-sufficient?
2. Do Correctional Industries and other work programs help to rehabilitate inmates?

Our findings:

1. Correctional Industries operate at slightly less than a break-even point.
2. Less than half of the inmates at the Pententiary have any kind of work or education assignment.
3. For inmates who do have a job, there appears to be little relationship between work experience and success on parole. This relationship might be strengthened if inmate work programs could be improved along the following lines:
 - Jobs need to be made more systematic and structured.
 - More jobs need to be created.

February 8, 1984
Concerns Attachment #3

CLASSIFICATION OF INMATES IN KANSAS PRISONS

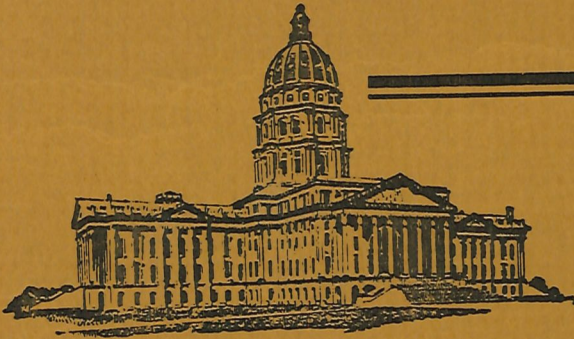
The concerns:

1. Are inmates properly classified?
2. What effect does classification have on inmate's placement?
3. What minimum-security housing alternatives are available?

Our findings:

1. Most classifications appear proper, but we will want to review the Department of Corrections' self-study (scheduled for completion soon) before drawing final conclusions.
2. Classification has little effect on most inmates' first placement. Most inmates, regardless of security status, start their sentences in medium-security or maximum-security space. Mixing of "hard core" and "lesser" offenders in the same cell occurs sometimes, but not often.
3. Not all minimum-security inmates can be moved into minimum-security settings. The Legislature may need more information in this area as it makes decisions about facilities.

*Attachment #2
2/8/84*



PERFORMANCE AUDIT REPORT

Correctional Industries and Inmate Rehabilitation

**A Report to the Legislative Post Audit Committee
By the Legislative Division of Post Audit
State of Kansas
September 1983**

Legislative Post Audit Committee

Legislative Division of Post Audit

THE LEGISLATIVE POST Audit Committee and its audit agency, the Legislative Division of Post Audit, are the audit arm of Kansas government. The programs and activities of State government now cost about \$3 billion a year. As legislators and administrators try increasingly to allocate tax dollars effectively and make government work more efficiently, they need information to evaluate the work of governmental agencies. The audit work performed by Legislative Post Audit helps provide that information.

As a guide to all their work, the auditors use the audit standards set forth by the U.S. General Accounting Office and endorsed by the American Institute of Certified Public Accountants. These standards were also adopted by the Legislative Post Audit Committee.

The Legislative Post Audit Committee is a bipartisan committee comprising five senators and five representatives. Of the Senate members, three are appointed by the Senate President and two are appointed by the Minority Leader. Of the Representatives, three are appointed by the Speaker of the House and two are appointed by the Minority Leader.

Audits are performed at the direction of the Legislative Post Audit Committee.

Legislators or committees should make their requests for performance audits through the Chairman or any other member of the Committee.

LEGISLATIVE POST AUDIT COMMITTEE

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LEGISLATIVE DIVISION OF POST AUDIT

Suite 301, Mills Building
Topeka, Kansas 66612
(913) 296-3792

PERFORMANCE AUDIT REPORT

Correctional Industries and Inmate Rehabilitation:

Do Work Programs for Inmates at the State Penitentiary Help Rehabilitate Them?

OBTAINING AUDIT INFORMATION

This audit was conducted by two members of the Division's staff: Robin Hunn, senior auditor, and Ellyn Rullestad, auditor. If you need any additional information about the audit findings, please contact Ms. Hunn at the Division's offices.

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AGENCY RESPONSE: Department of Corrections

CORRECTIONAL INDUSTRIES AND INMATE REHABILITATION

SUMMARY OF LEGISLATIVE POST AUDIT'S FINDINGS

The Legislative Post Audit Committee authorized this audit to analyze Kansas Correctional Industries and the rehabilitative aspects of inmate work programs. This audit focused on inmate work programs at the Kansas State Penitentiary. Outlined below are the major questions addressed and the auditors' findings.

What are the inmate work programs at the Penitentiary and what part do Correctional Industries play within the overall work program?

There are several types of work or educational assignments available to inmates at the Penitentiary. These assignments involve about 45 percent of the inmates; the remaining 55 percent have no job. Correctional Industries programs operate four factories, including paint, signs, furniture re-finishing, and re-upholstery. About 115 inmates, or seven percent of the Penitentiary's population, work in these factories. In addition to the Correctional Industries, a number of other jobs are available to inmates in the institution. About thirteen percent of the inmates have institutional support jobs, such as food service, orderlies, and laundry. About ten percent of the inmates do maintenance work at the institution, such as plumbing, painting, electrical work, and construction. Approximately eight percent of the inmates are assigned to grounds-keeping jobs, such as lawn-mowing, snow removal, and road repair. The Penitentiary also operates vocational training and academic education programs. About seven percent of the inmates are assigned to an educational program.

Are the Correctional Industries profitable and productive?

The auditors reviewed what types of products Correctional Industries produce, who the products are sold to, and whether the program is able to make a profit. Most Correctional Industries products are purchased by State agencies, and paint accounts for over 60 percent of sales. The auditors found that although the Industries are nearly self-sufficient, they have not shown a profit in five of the last six years, if all costs are included. These industries are not required by law to be profitable. The auditors found that Correctional Industries in other states are unprofitable as well, and that there may be factors inherent in a prison environment which may limit profitability. Additional long-range planning, marketing studies, and more comprehensive financial analyses may help improve the profitability of Correctional Industries.

Do Correctional Industries and other inmate work programs at the Penitentiary help to rehabilitate inmates, and can these programs be improved?

The auditors found that, in general, there appears to be little relationship between work experience in the Penitentiary and parole success or failure. Major problems were found in the work programs, which may help explain the

absence of a relationship between prison work and parole success. Excessive idleness among inmates, high turnover in available jobs, failure of the Penitentiary to follow its own procedures for reinstating inmates who are fired, and the lack of a structured work system limit the ability of work programs to further inmate rehabilitation. A new work system has been proposed by Correctional Industries officials which addresses certain of these problems. The auditors' report also outlines various steps that could be taken to better meet the rehabilitation goals of the Penal Reform Act by improving inmate work programs.

CORRECTIONAL INDUSTRIES AND INMATE REHABILITATION

At its meeting on June 2, 1983, the Legislative Post Audit Committee directed the Legislative Division of Post Audit to conduct a performance audit of Kansas Correctional Industries. Kansas Correctional Industries is one part of the work and training programs in the State's correctional institutions. The Committee was especially concerned about the rehabilitation aspects of the Correctional Industries program and other inmate work programs.

Correctional Industries programs are located at several correctional facilities. However, most of the program is located at the Kansas State Penitentiary. For this reason, the auditors focused their audit work on the programs at the Penitentiary and did not investigate the programs at the other facilities.

The audit addresses three main questions about Correctional Industries and rehabilitation of inmates at the Penitentiary:

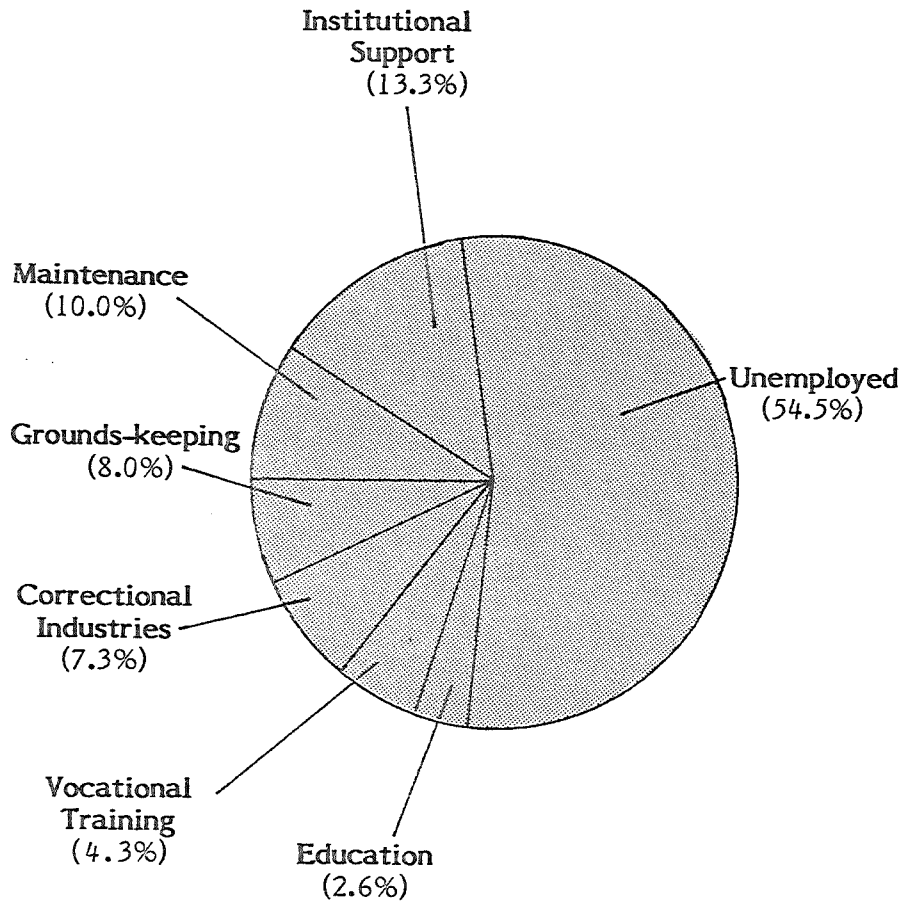
- What are the inmate work programs at the Penitentiary and what part do Correctional Industries play within the overall work program?
- Are the Correctional Industries profitable and productive?
- Do Correctional Industries and other inmate work programs at the Penitentiary help to rehabilitate inmates, and can these programs be improved?

At the end of fiscal year 1983, there were about 1,600 inmates at the Penitentiary. About 46 percent of the inmates are given some type of work or educational assignment. There are several types of work or educational assignments that are available to inmates at the Penitentiary. Each is shown on the accompanying chart and is briefly described below.

Correctional Industries

The Penitentiary operates four factories which employ inmates. These factories are basically self-supporting and include furniture re-finishing and re-upholstering, paint, and sign factories. A few inmates also work in the Industries' warehouse or office. Civilian employees supervise the inmates in each of these factories. These factories are all located inside the main walls of the Penitentiary. Most of the work is unskilled or semi-skilled. Correctional Industries employ approximately 115 inmates, or about seven percent of the Penitentiary's inmates, in these factories. In addition, in fiscal year 1983 a farming operation was started again as part of the Correctional Industries program. This operation employs only a few inmates. Also, during 1983, a private firm--Zephyr Industries--employed a few inmates operating a paint line in the sign factory. Zephyr also employs some inmates from the Kansas Correctional Institution in Lansing in a private venture program outside the institution.

Penitentiary Inmates in Work and Educational Programs



Other Work or Educational Programs

Institutional Support. The Penitentiary also has inmate work assignments which help keep the institution functioning and make it more self-sufficient. Inmates work in areas such as food service, cellhouse and office orderlies, and laundry. These jobs are primarily unskilled. Institutional support assignments employ approximately 210 inmates, or about 13 percent of the Penitentiary's population.

Maintenance. The Penitentiary also assigns inmates to do maintenance work for the institution. These assignments include painting, plumbing, electrical work, refrigeration work, garage work, and construction. These jobs generally require higher skill levels than the institutional support jobs. These maintenance assignments are supervised by civilian employees. About 160 inmates work in maintenance assignments, depending on the amount of construction work being conducted at the time. This is about 10 percent of the population.

Grounds-keeping. The Penitentiary also has a number of inmates who are housed in dormitories outside the main walls of the prison. These inmates are generally assigned to grounds-keeping jobs such as road repair, lawn-mowing, snow removal, and landscaping. Most of these jobs are unskilled or semi-skilled, and are only available to certain inmates who are within two years of their parole. These assignments employ about 130 inmates, or about eight percent of the total population.

Vocational Education. The Penitentiary also has several vocational education programs. These include courses in building maintenance, construction, machinery, refrigeration, sales, and welding. (In addition, some inmates participate in a drafting course given by Platt College.) The vocational education courses range in length from about two to nine months. About 70 inmates are involved in these programs, or about four percent of the total population.

Academic Education. A total of about 40 inmates, or three percent of the population, are involved in the education program at the Penitentiary, either as students working towards their high school diplomas or as tutors or clerks for the program. In addition, approximately 100 inmates are involved in some college course work, although this is not considered a full-time regular work assignment.

Is the Correctional Industries Program Profitable and Productive?

The Legislative Post Audit Committee directed the Division to analyze the Correctional Industries program, which is one of the work programs available to inmates. In doing this, the auditors reviewed what types of products the program produces, who the products are sold to, and whether the program is able to make a profit. They found that most Correctional Industries' products are purchased by State agencies and that paint accounts for over 60 percent of sales. They also found that although the Industries are nearly self-sufficient, the Industries have not shown a profit in five of the last six years if all costs are included. This section describes several possible explanations for the lack of profits, and provides several options that may increase efficiency in the future.

Correctional Industries Provide Goods and Services to Various Agencies

Kansas law allows Correctional Industries programs to be established to utilize the services of inmates to manufacture or produce goods to be purchased by State or local agencies and governments, or non-profit organizations. Discretion is given to the Secretary of Corrections in determining what types of industries to establish.

The Kansas Prison-Made Goods Act requires that State agencies purchase from the Correctional Industries program any items they require that are produced by the Industries. Local governments and agencies and non-profit organizations have the option of purchasing items from the Correctional Industries program.

Fiscal Year 1982 Sales By Type of Agency

	Amount	Percentage of Sales
State agencies	\$2,560,222	84%
Local governments	396,864	13%
School districts	63,900	2%
Other	15,568	1%
	\$3,036,554	100%

The Industries' sales totaled about \$3 million in fiscal year 1982. Major products produced include traffic line paint, architectural paint, traffic signs, soaps, waxes, other cleaning products, mattresses, clothing, and furniture re-upholstering and re-finishing services.

Fiscal Year 1982 Sales By Product

Industry	\$	Percentage of Sales
Paint	\$1,844,720	61%
Signs	514,382	17%
Soap	243,419	8%
Clothing	180,507	6%
Re-Upholstery	151,541	5%
Furniture Re-Finishing	101,985	3%
	\$3,036,554	100%

Profitability Has Been A Goal of the Industries' Management, Although the Industries Are Not Required by Law To Be Profitable

The Correctional Industries are not required by law to be profitable, or even self-supporting. However, it appears profitability has been a primary consideration in the management of Correctional Industries. Correctional Industries officials told the auditors their primary goal was profitability. The Director of Correctional Industries said that when he was hired in fiscal year 1978, he was told that keeping the Industries financially viable should be his chief concern. Correctional Industries' calculations indicate the program has been profitable and self-supporting four of the past six years.

Profitability As Calculated By Correctional Industries

	1978	1979	1980	1981	1982	1983
Total Sales and Income	\$2,091,923	\$2,434,287	\$2,704,147	\$3,145,586	\$3,074,687	\$2,974,540
Total Costs and Expenses	2,085,577	2,514,352	2,737,469	3,110,768	2,900,575	2,923,730
Profit (or Loss)	6,346	(80,065)	(33,322)	34,818	174,112	50,810
Profit Margin	0.3%	(3.0)%	(1.2)%	1.1%	5.7%	1.7%

Correctional Industries' records show a profit in four years, ranging from about one to almost six percent of sales in fiscal year 1982.

The Industries Show A Small Loss In Five of the Last Six Years When All Costs Are Considered

In reviewing these figures, the auditors found the Industries' cost figures do not reflect normal depreciation costs, do not include income from the sale of scrap, and do not include the wages paid to inmates as costs in more recent years. When the Industries assess their profitability, they include the cost of equipment purchased as an expense in that same year. Using standard accounting techniques, depreciation expense is amortized over a number of years, rather than including actual equipment costs as an expense in the year the equipment is purchased. The Industries do not now maintain records on depreciation costs, but estimated it would probably approximate the amount transferred annually to the Equipment Replacement Fund, which is five percent of sales. The auditors used this five percent figure to calculate a depreciation figure to use in analyzing profits. The auditors also included income from the sale of scrap in their calculations.

A cost that was not considered by the Industries was inmate wages. Prior to fiscal year 1981, inmate wages were paid from the Correctional Industries program budget. The program began experiencing cash flow problems that year, however, and the cost of inmate wages was transferred to the Penitentiary's budget instead, to relieve financial pressure on the program. Thus, inmate wage costs are not reflected in the Industries' fiscal years 1981 through 1983 profitability figures. If the Industries were to be self-sufficient, however, this would also be a cost of operations in these years.

When these inmate wage costs are included, income from scrap is deducted, and equipment depreciation expense is included rather than equipment sales, the program appears to consistently have a small net loss. It should be noted that the Correctional Industries program received a State General appropriation of \$120,000 in fiscal year 1981, yet was still unprofitable year. This appropriation may, however, have helped to strengthen the Industries' financial position in fiscal year 1982, and may help explain why a profit was shown in that year.

Profitability As Calculated By the Auditors

	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>
Profit (as calculated by Industries Officials)	\$ 6,346	\$ (80,065)	\$ (33,222)	\$ 34,818	\$174,112	\$ 50,810
Profit (as calculated by the auditors)	(40,726)	(75,611)	(88,625)	(89,202)	67,739	(37,688)
Profit Margin (as calculated by the auditors)	(1.9)%	(3.1)%	(3.3)%	(2.8)%	2.2%	(1.3)%

Correctional Industries in other states are also unprofitable. The auditors surveyed correctional industries in other states to determine if they were profitable. The survey results showed that most other states' industries are also unprofitable, although the comparative profitability of the industries was difficult to determine because of inconsistent accounting procedures. A total of ten states were surveyed, and only two states showed any profit for fiscal year 1982--Missouri and Illinois. Several of the industries in other states in the survey were unprofitable in fiscal year 1982 even though they received supplemental appropriations to help fund the industries' operations.

Key Events and Other Factors Have Weakened the Financial Stability of Correctional Industries

The auditors attempted to determine why Correctional Industries have not been profitable. They found that several key events over the past few years have decreased the financial stability of the program, and help explain the current financial situation. These key events include:

- closure of the license tag factory
- the opening and closing of several factories
- use of profits for non-Industries purposes in the past.

In addition to these events, several factors inherent in running a prison industry may limit its profitability. Each of these events and factors is discussed below.

A profitable license tag factory was closed. Prior to 1975, the State Penitentiary operated a license tag factory. This industry was apparently profitable and employed a substantial number of inmates. During the mid-seventies, when the penitentiary inmate population decreased dramatically, there were not enough inmates to adequately staff this factory, and it was closed. The loss of this profitable factory apparently contributed to the weakening of the overall financial situation of Correctional Industries.

The opening and closing of several factories in a short period of time also strained the financial situation. In fiscal year 1978, two factories were opened--a wood products factory, and a metal fabrication factory. It appears that these factories were opened with little market research analysis to determine whether there was adequate demand for the products. Opening these factories involved a substantial capital outlay--the cost for the metal fabrication building, for example, was \$440,000. These factories' sales apparently grew slowly, and were only beginning to become profitable in 1980. By that time, the Correctional Industries financial situation had weakened, partially because of the loss of the profitable tag factory, and because of the drain on capital outlay funds for these new factories. Correctional Industries were beginning to have cash flow problems, so the Department of Corrections in fiscal year 1980 made a decision to close the two factories.

Frequent opening and closing of factories is an expensive activity. Start-up costs include factory construction, purchase of equipment, training of civilians and inmates, purchase of raw materials, and marketing of new

products. It appears that these two factories had not been in operation long enough to judge their profitability potential, or to recover all of their start-up costs.

Additional long range planning might help ensure that this type of opening and closing of factories would not occur. Other factories, still in operation, are more unprofitable than the two factories that were closed, and the two factories that were closed had the added value of providing relatively more skilled work for inmates. The metal fabrication factory, which cost \$440,000 to construct, has remained empty since the factory was closed in 1980. For these reasons, and because the costs of buildings, equipment, and training are high for new plants, careful planning should be undertaken to prevent future closings of recently-built plants.

The Industries' profits have sometimes been used for other purposes. Another factor contributing to the weakened financial situation of the Industries is that in the past, profits have been used for expenditures unrelated to the Correctional Industries program. Since the program does not generally receive State General Fund appropriations, it must rely on its own profitability to accumulate funds to use in developing new industries, or expanding or upgrading operations. In the past, a substantial amount of profits had accumulated in the Correctional Industries fund. In 1970, \$650,000 of this amount was transferred by the Legislature to help finance the construction of the Kansas Correctional Vocational Training Center in Topeka. This transfer of funds, which could have been used to expand industries, develop more profitable industries, or improve market research, may have contributed to the Industries' weakened financial situation over time.

Factors inherent in running an industry in a prison may also limit profitability. In addition to these events, there are limitations inherent in correctional environments. They include:

--**Short work days.** The Industries have relatively lower productivity than private companies because of short work days (5½-6 hours). This has the effect of increasing overhead costs relative to other costs because the work takes longer to complete.

--**The lack of economies of scale.** Economies of scale may not be realized in some of the factories because of the low volume of products produced. Comments from Division of Purchasing officials indicate that, in certain cases, a perceived low quality of products by state agencies may lower the demand for Industries products and thus the volume produced is lowered.

--**Labor intensive factories.** Some of the Industries' factories may be too labor intensive to be profitable, such as the furniture re-finishing and re-upholstery factories. Correctional Industries appears to have been more profitable in the past when they had a less labor intensive factory, such as the license tag factory.

Because of the above factors, as well as the events described earlier, the administrative goal of profitability has been hard to meet.

Raising prices is not an option for improving profitability. The auditors examined prices for Correctional Industries products to determine how they compared to private vendor prices, and to see whether raising prices would be a feasible solution to the profitability problem. State law requires that prices for goods made by Correctional Industries not exceed the market price.

The accompanying table compares prices for a number of goods produced by Correctional Industries and similar products available from private vendors. The auditors found that Correctional Industries' prices were generally not substantially lower than private vendor prices, and that in cases where prices were lower, there was usually a specific reason. The table indicates that most current prices cannot be raised substantially without exceeding the market price. For this reason, raising prices is not a viable option for increasing the Industries' profitability.

Comparisons of Prices for Correctional Industries and Private Vendors

Product	Correctional Industries Price	Average Vendor Price	Additional Information
Traffic-Line Paint	\$ 4.20	\$ 4.20	Kansas paint may be slightly higher quality according to Division of Purchasing officials.
Architectural Paint	\$ 5.95	\$ 5.00	
Bar Soap	\$17.25	\$17.25	Correctional Industries soap products may be of lower quality, and may not use the same raw materials according to Division of Purchasing officials.
Floor Cleaner	\$13.50	\$12.65	
Disinfectant	\$19.50	\$21.60	
Laundry Soap	\$47.00	\$59.00	
Floor Wax	\$23.75	\$37.49	
Mattresses	\$58.15	\$75.50	Mattresses are for use in correctional institutions.
Stop Sign	\$18.75	\$15.00	

The Industries' do not conduct price comparisons necessary to comply with State law. The auditors noted during the analysis of this issue that Correctional Industries officials currently perform no formal pricing comparisons on their products. Such price comparisons are necessary to ensure compliance with State law prohibiting prices that exceed market levels.

There Are Steps That Could Improve the Industries' Profitability and Efficiency

It appears that unless steps are taken to improve their operations, Correctional Industries programs will remain marginally unprofitable, and may need additional state funding in the future. It should be remembered that this program is not required by law to be self-supporting and that other states also have a difficult time keeping their Correctional Industries programs profitable. The Kansas program is only marginally unprofitable (1.3% net loss in 1983), and if the Legislature or the Department wished to make it profitable, such steps as the following could help:

- More long-range planning could be conducted before developing industries.** Increased planning could help ensure that factories are not constructed and then closed before their start-up costs are recovered. Industries' expansion could be better coordinated with projected inmate population needs to help minimize incidents like the closing of the tag factory.
- More extensive research could be conducted on proposed products to determine the level of demand.** This could include price comparisons, product surveys, and other marketing work. Correctional Industries officials could work more closely with officials from the Division of Purchasing to conduct this additional market research. This analysis could point to products which would increase sales capacity and result in greater economies of scale.
- Inmates could work longer days.** Increased productivity levels would have the effect of reducing the overhead costs relative to other costs.
- More extensive financial analysis could be conducted to determine which products or factories are least profitable.** These products or factories could be phased out to strengthen the overall financial position.

Some of these options would require increased management support for the Industries. One of the states in the auditors' survey has already conducted extensive market studies and program evaluation to re-organize their correctional industries program. The state of Washington conducted marketing surveys, product surveys, productivity studies, equipment surveys, product surveys, and resource management studies over a one-year period to determine how its correctional industries program could work most efficiently. Studies of this type may also be necessary in Kansas if the system is to be made more efficient.

Are Correctional Industries and Other Inmate Work Programs Rehabilitative?

One of the main concerns of the Committee in authorizing this audit was whether Correctional Industries are rehabilitative--that is, whether inmates who participate in Correctional Industries have a better chance of success on parole.

The Penal Reform Act Makes Rehabilitation the Main Goal of the Correctional System

The 1974 Penal Reform Act, K.S.A. 75-5201 et seq., states the primary goal of the correctional system to be rehabilitation. The Act mandates that rehabilitation, training, treatment, education, and work habits be given primary emphasis. The Act requires that working conditions approximate normal conditions of employment to the extent possible, including a 40-hour work week "for every inmate who is available, willing and able to participate."

This Act stresses the role of the Department of Corrections in fostering the employment success of inmates upon release. The goal is that inmates be better-equipped to become useful and self-reliant citizens when they leave an institution than when they go in. In 1974, after the passage of this Act, the Penitentiary began recording work histories, aptitudes, and the educational

achievements of all inmates. In addition, some vocational training and educational programs were developed in response to the new law. Programs also have been expanded to include counseling, medical, athletic, and religious programs, in addition to the work programs described earlier. Most of the work programs were already in place in some form when the Act was passed in 1974.

To answer the question of whether the work programs are rehabilitative, the auditors conducted a survey of all inmates paroled from the Penitentiary between January and June 1982. This allowed an examination at least 12 months of parole experience for each inmate. The initial plan was to compare the parole success of inmates who had been in Correctional Industries with those who had not, to see if the experience with Correctional Industries affected parole success. The measures of parole success the auditors planned to use were 1) recidivism-- did the inmate return to prison?--and 2) if he did not return, was he employed?

The auditors found, however, that they could not do this analysis as planned for inmates who worked in Correctional Industries. The reason for this was that the paroled inmates in the survey had not generally worked in the Correctional Industries, and those who did usually did not participate long enough to be able to attribute any parole success to that work program. Out of 147 inmates in the survey, 109 never worked in Correctional Industries, and only 11 inmates spent six months or more in Correctional Industries.

Given this lack of participation in Correctional Industries, there were not enough inmates in the survey to draw any conclusions about those particular inmates' parole success. As a result, the auditors expanded their analysis to include the work experiences of all inmates who were paroled, regardless of the particular program they worked in. In general, the survey showed that participation in the work programs appear to have little effect on recidivism. In studying the Penitentiary's work programs, the auditors noted several problems that may contribute to the work programs' lack of clear impact on recidivism.

Currently, several problems exist at the state penitentiary that limit the rehabilitative value of the inmate work programs. These problems include:

- There is excessive idleness at the State Penitentiary.
- There is high turnover in the inmate work programs--inmates move from job to job.
- Internal policies regarding the work programs are frequently not followed.

The following sections describe each of these problems in more detail.

There Is Excessive Idleness Among Inmates

At the end of fiscal year 1983, only about 46 percent of all inmates at the State Penitentiary were involved in an inmate work program. The number of inmates on idle status at the Penitentiary has increased dramatically over the last year, as the population has risen overall. These inmates on idle status must stay in their cells, only leaving for meals, showers, and brief exercise periods. A review of the Penitentiary's inmate complaint files showed that inmates have

complained about a lack of jobs. The following chart shows the breakdown of the 54 percent of inmates who do not work.

Reasons for Inmates' Not Working

	Number of Inmates	Percentage of Total Inmate Population
Idle Status, No pay	515	32.7%
Idle Status, With Pay	104	6.6%
Protective Custody or Disciplinary Segregation	81	5.1%
Orientation, Holdover, Medical, etc.	155	9.8%

As the table shows, 619 inmates were on idle status at the end of fiscal year 1983. This was about 39 percent of the inmates at the Penitentiary. Some of these inmates were disabled or did not wish to work. There were also 236 inmates, or about 15 percent of the population, who did not work because they were in protective custody, disciplinary segregation, medical status, or other similar reasons.

Idleness has not always been so prevalent at the Penitentiary. When the license tag factory was located at the Penitentiary, and the farm was in operation (up until 1975), it appears that all inmates who wanted a job could have one. In fact, the tag factory was closed because there were not enough inmates to operate the factory. Other factories which provided a number of inmate jobs have also been closed in recent years, as described earlier in this report. This has also had the effect of increasing idleness among inmates now that the population has gone up.

The dramatically increased prison population has played a major role in creating the current idleness level. In 1978, there were only about 950 inmates at the Penitentiary. At the end of fiscal year 1983 there were about 1,450 inmates, an increase of 53 percent. The following table shows the ratio of jobs authorized through legislative appropriations to the total Penitentiary population over the past six years.

Jobs and Inmate Population at the Penitentiary

	Number of Allocated Jobs	Number of Inmates	Number of Jobs Per Inmate
FY 1978	905	947	.96
FY 1979	1,010	959	1.05
FY 1980	840	930	.90
FY 1981	840	992	.85
FY 1982	1,000	1,235	.81
* FY 1983	1,000	1,443	.69

* Only 862 jobs were actually filled in fiscal year 1983--this drops the number of jobs per inmate to .60.

The prison is allocated a certain number of inmate jobs each year through its funding. In fiscal year 1982, this number was 1,000 inmate jobs. Only 862 jobs were made available to inmates, however, because of limited resources and supervisory personnel and the desire to avoid over-staffing inmate work programs.

Some of the funds for jobs were used to pay inmates who could not work because of some physical disability and to pay some inmates who desired to work but for whom no job was available. In fiscal year 1982, the amount paid to idle inmates was approximately \$27,000, or about 13.7 percent of the total inmate pay of about \$197,000.

The auditors' parolee survey further illustrates the idleness. In our parolee survey, 21 percent of the 147 surveyed inmates had been idle in their cells over 80 percent of the entire time they spent at the Penitentiary. Furthermore, nine percent of the parolees never worked at all during their stay at the Penitentiary, or attended any educational programs. The accompanying examples illustrate these statistics.

Examples of Idle Inmates

A 30-year old inmate convicted of writing an insufficient check and illegal use of a credit card entered the Penitentiary on August 21, 1981 as a recidivist. He was unassigned to a job the entire sentence of 10 months.

A 32-year old inmate convicted of burglary entered the Penitentiary on August 20, 1981. He worked a few days in the electric shop and then about two weeks in a vocational training program. He was unassigned to a job the remainder of his seven-month sentence, or about ninety percent of the time he was in the Penitentiary.

Even working inmates do not work the 40-hour work week called for in the Penal Reform Act. Inmate work days ranged from 5½-6 hours in Correctional Industries, and up to 7 hours in other jobs. Penitentiary officials are aware of this problem, and are striving to lengthen the work day to the extent possible. It appears to be difficult, however, given the institutional schedules which must be accommodated to provide a 40-hour work week.

In sum, inmate idleness is a serious problem which is frequently cited as a major cause of prison violence. The number of inmate jobs available has not kept pace with the rapidly expanding inmate population, with the result that

there are severe limits on the rehabilitative opportunities for a large percentage of the inmates.

Inmates Move From Job To Job, Limiting the Work Programs' Rehabilitative Value

The auditors found in reviewing data on work programs that most inmates move from job to job, and usually do not spend a significant length of time at any particular job. There is no requirement that an inmate spend any set amount of time at a job--he may request a different assignment after only one day on a job. There are apparently no controls to ensure that inmates spend a long enough time on a job to benefit from it.

In determining the extent of this problem, the auditors analyzed the computerized payroll records for the Penitentiary. One method to measure the rate at which inmates switch from job to job is to examine the turnover rates for various work units. The auditors calculated turnover rates for some of the larger work units, and found that turnover rates in general were very high. The following table shows these turnover rates.

Job Turnover In Fiscal Year 1982

<u>Work Assignment</u>	<u>Average No. of Inmates Assigned to Unit-FY 1982</u>	<u>Total Inmates Who Worked In Unit-FY 1982</u>	<u>Turnover Rate</u>
Food Service	77	281	265%
Laundry	23	81	252%
Construction	109	431	295%
Paint Shop-Maintenance	9	51	466%
Industries Warehouse/Admin.	8	26	225%
Paint-Industries	27	82	204%
Signs-Industries	20	68	240%
Re-Upholstery-Industries	29	76	162%
Furniture Re-Finishing-Industries	38	156	311%
Utility Work/Grounds-keeping	61	438	618%

Some of this turnover results from movement of inmates from the State Penitentiary to parole, work release, or honor camps. Also, changes in security status may create turnover. Despite these factors, this amount of turnover appears high.

Correctional Industries officials completed a study of the turnover rate in the furniture re-finishing factory and found that the most common reason for turnover was absenteeism. Typically, an inmate is fired from a job if he does not show up for work. This will allow another inmate to take this job slot. This apparently occurs quite often. An inmate may work for a short while, decide he does not like the job, and simply discontinue going to work.

As additional evidence of this problem, the auditors found that of all inmates who worked in Correctional Industries in fiscal year 1982, 40 percent worked there less than 30 days. The following table shows the length of time inmates stayed employed in Correctional Industries.

Inmates' Length of Employment At Correctional Industries

<u>0-30 days (%)</u>	<u>31-90 days (%)</u>	<u>91-239 days (%)</u>	<u>240 days + (%)</u>
40%	24%	24%	10%

The system of assigning inmates to jobs may increase turnover. The auditors found that the system of assigning inmates to jobs may foster turnover. New inmates are asked to state their preference for a particular jobs

Example of Turnover in Jobs

A 28-year old inmate convicted of theft entered the Penitentiary on November 25, 1981. He was first unassigned for about six weeks, then worked in the soap factory for one week. Then he worked in the engineering section for about two weeks. He then worked as an orderly for about two months before he was paroled.

program. A list is maintained by the Penitentiary showing these inmates' preferences. This list may also show particular skills an inmate has. However, at the time of the audit fieldwork, this list was very informal, and job preferences were listed for only a few inmates.

The Penitentiary also maintains a list of all inmates who do not have jobs. This list was maintained by the Records and Classifications office at the Penitentiary at the time of the audit fieldwork,

but this responsibility was in the process of being transferred to the unit teams (treatment teams consisting of social workers, psychologists, and others) so that the list could be managed more effectively.

According to Penitentiary procedures, when an inmate finishes his orientation period, his name is placed at the bottom of the list. This is a perpetual list, and as inmates at the top of the list are placed in jobs, inmates at the bottom of the list are moved up on the list. Vacancies occur in job slots if an inmate is paroled, or transferred, or if he is fired from or quits his job. If an inmate is fired, he is to be placed at the bottom of the list and there is a mandatory four-month lay-off period before he will be re-considered for another job.

The auditors were told by Penitentiary officials that in practice the list is not always used. Word of mouth information on job openings, the preferences of civilian supervisors, and the familiarity of inmates with this informal system all have an impact on who gets what job, according to Penitentiary officials. The informality of this system, as well as the fact that inmates are sometimes allowed to switch jobs whenever they request a change, may contribute to high turnover. A system that places inmates in jobs based on more formal procedures and discourages quitting may reduce job turnover.

Policies On The Mandatory Layoff Period After Firing An Inmate Are Not Always Followed

Penitentiary policy is to require a four-month layoff for any inmate who is fired from a job. Apparently at least part of the rule's purpose is to discourage behavior that would result in a firing, thus simulating the effect of such behavior in the real world and possibly increasing the rehabilitative aspects of the jobs program. Using computerized payroll information, the auditors reviewed the records of all inmates who were fired from a job in fiscal year 1982 to determine whether the penitentiary complied with this policy of a four-month lay-off.

The auditors found that out of 141 fired inmates whose payroll records were complete enough to analyze, only 21, or 15 percent, actually served a

four-month lay-off period. The following chart shows the breakdown of the actual amount of time spent on lay-off by these inmates.

Length of Lay-Off Period for Fired Inmates

<u>One month or less</u>	<u>One to two months</u>	<u>Two to three months</u>	<u>Four months or more</u>
65%	13%	7%	15%

This means that some inmates who are fired and are supposed to be laid-off are given another job, while other inmates who have been waiting for a job are not given this opportunity and must remain idle in their cells even though they want to work. The accompanying example illustrates this problem.

The auditors also found that some inmates who had been fired received pay while they were idle in their cells. The accompanying example shows a case where this occurred.

Overall the Job Program Appears to Lack Key Characteristics Needed To Improve Rehabilitation

A review of studies by the auditors indicates that work programs should include the following basic characteristics. To some extent the Penitentiary's programs fall short of meeting each characteristic.

Example of Inmate Who Was Not Laid Off

An inmate was fired from an assignment in the paint factory during November. He remained idle in his cell for one day, then was re-assigned to a job in the soap factory at a higher pay level than what he was receiving in the paint factory. The inmate worked in the soap factory for one month, and then returned to the paint factory.

Example of Inmate Paid While Not Working

An inmate was fired from a maintenance assignment during September. He was then placed on idle status. However, this inmate received pay the entire time he was idle in his cell. Fired inmates are supposed to receive no pay during their forced four-month idle period.

--**Structured programs, with achievable goals and objectives.** Inmates at the Penitentiary are allowed to shift from job to job, indicating there is little structure to an inmate's work program. Also, there appears to be little attempt to provide inmates with clear goals and objectives in their work program.

--**The possibility of progression to higher levels of responsibility, skill levels, and rewards.** The current system does not provide inmates clear rewards for good work, or plan advancement from lower skilled jobs to higher skilled jobs.

--**An equitable reward system.** Paying fired inmates while others who want to work are not paid is one example of inequities of the Penitentiary's system.

--**An equitable and enforced disciplinary system.** Allowing fired workers to return to work early is an example of an unenforced disciplinary rule at the Penitentiary.

--**Clearly explained rules and procedures which are consistently followed and applied.** The informal job placement system is an example of a procedure that is not consistently followed at the Penitentiary.

The Auditors' Survey Shows the Current Job Programs Have Little Demonstrable Relationship To Parolee Success

The following table summarizes the information on work experiences at the penitentiary for the 147 parolees in the survey.

Parolees' Work Experience at the Penitentiary

Average sentence length	15½ months
Average number of jobs held at the Penitentiary	2.5 jobs
Average length of longest held job at the Penitentiary	5.3 months
Average percentage of time employed at the Penitentiary	57%
Average percentage of time idle at the Penitentiary	43%

There appears to be little relationship between work experience and parole success. The auditors found that overall, 38 percent of these inmates recidified--returned to prison--and 62 percent were still successfully on parole at the time of the survey, at least 12 months after their release. Some of the inmates who returned to prison were returned for violations of parole conditions, such as failure to report to a parole officer, rather than committing a new crime. The percentage of recidivists would be lower if these inmates were excluded. The auditors attempted to put the recidivism rate of 38 percent at the Penitentiary in perspective. The overall recidivism rate for Kansas correctional institutions for a similar period was 32 percent. The Penitentiary's rate is slightly higher, but this may in part, be due to the fact that the more serious criminals are generally placed at the Penitentiary.

The auditors attempted to determine whether those inmates who failed in their parole had any different prison work experience than those who have been successful on their parole. This was done in part to determine if inmates who switched around from job to job, or who sat idle in their cells most of their sentence, were more likely to return to prison. By performing a variety of statistical tests, the auditors determined that only one variable analyzed appeared to have some relationship to recidivism--the amount of time spent idle in the prison. The inmates who returned to prison had spent on average a greater percent of their time idle while they were at the Penitentiary than did inmates who did not return to prison. This difference was not dramatic, however. Of those inmates who were idle more than 50 percent of the time, their recidivism rate was 44 percent. For those inmates who were worked more than 50 percent of the time, their recidivism rate was 33 percent.

Other comparisons, such as the number of jobs, the length of jobs, or length of sentence, showed no significant differences between those who recidified and those who did not. Overall, the auditors found that very little

about parole success or failure could be explained by analyzing an inmate's work experience in the prison. One reason for this may be that many factors may enter into parole success or failure, and it is difficult to attribute parole success or failure to any particular variable.

The auditors also found that inmates rarely obtained a job on parole that was related to the type of job they had at the Penitentiary. Only 11 percent of the parolees had a job on parole that was similar to a job they had at the Penitentiary. The auditors did find, however, that most inmates who were on parole were working. Out of 92 inmates still on parole, 69 percent had jobs.

In summary, it appears that there is little relationship between the inmate's work experience at the penitentiary and his success or failure on parole. Again, one reason for the lack of a relationship between prison work and parole success may be that there are other barriers to rehabilitation which outweigh any work-related variables. One of the questions on the survey that was sent to the supervising parole officer was, "What factors do you believe may limit this parolee's chances for a successful completion of his parole?" Outlined below are the answers that were given to that question. As the table shows, by far the most common barrier to parole success was alcoholism.

Factors Cited as Affecting Parolees' Success

Alcohol- or drug-related problems	61%
Career criminal	10%
Employment limitations	9%
No desire to work	6%
Emotional problems	9%
Disabled/handicapped	5%

The table shows that several factors not directly related to work programs in the Penitentiary effect recidivism. This makes it difficult to determine the true impact of jobs programs.

Correctional Industries Officials Have Proposed a New Work System

Correctional Industries officials have begun to develop a proposal for a new work system. This proposal was submitted to the Secretary of Corrections in the first part of 1983. This system includes many of the characteristics outlined above as needed for an effective work program. This system would have several "grades" of inmate work programs, and would encourage good attitudes and work performance through progressively higher pay and more desirable jobs. The plan includes development of individual inmate employment plans and goal setting. Inmates would be required to spend a certain minimum amount of time at one grade level with satisfactory performance evaluations, before advancing to the next grade. An internal document describing this proposed new work system states,

"There is a need in the Kansas Department of Corrections for a systematic structured work program for inmates which clearly outlines the progression of job advancement from entry into an institution through

release There is a need to integrate all types of work programs into one system which is consistent with the Department's philosophy toward work programs for inmates. It must provide all inmates with the opportunity to improve their ability to obtain gainful employment after release through the development of skills and work ethics"

There Are Steps That Could Improve the Rehabilitative Aspects of Inmate Work Programs

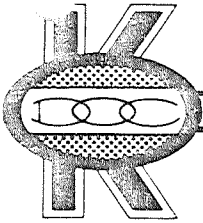
The Department could make its job program more systematic and structured. As this part of the report has discussed, the work programs at the State Penitentiary have a variety of problems that have limited their effectiveness as rehabilitative programs. The programs are hindered by the absence of procedures that provide clear rewards for inmates who follow rules and perform well on their jobs, and ensure equitable punishment for inmates who perform poorly. The Department can improve the effectiveness of its work programs by proceeding with its plans for a more systematic and structured jobs program, or at a minimum by adhering more closely to the policies it has already established. The Legislature may want to direct the Department to proceed with improvements in these areas.

The Department could attempt to create more jobs for inmates. As the Department takes steps to re-structure its inmate work system, it will be faced with the difficult problem of addressing the high levels of inmate idleness brought on by the rising inmate population. Clearly, the current problem of 40 percent of inmates being unoccupied in their cells most of the time does not meet the rehabilitative goals of the Penal Reform Act. Although the effect of work programs on recidivism is not clear, at a minimum it is likely that high rates of idleness increase tension within the prison.

It should be noted that there currently are 1,000 jobs authorized at the Penitentiary, but only 862 jobs are available. Raising the number of actual jobs to 1,000 would significantly reduce idleness in the Penitentiary. To decrease idleness when re-structuring the inmate work system, the following options could be taken into consideration:

- Increased supervisory staff**, to allow additional assignments of inmates to existing work programs.
- Development of additional types of work programs**, such as new factories or farming. This would require increased supervisory staff.
- Improved enforcement of the four-month layoff policy.** This would allow more jobs for other idle inmates.
- Development of additional capacity in the educational program.** This would also require increased staff.

The Legislature may want to consider these and other options when evaluating the Department's re-structuring of the inmate work system at the Penitentiary.



KANSAS DEPARTMENT OF CORRECTIONS

JOHN CARLIN — GOVERNOR

MICHAEL A. BARBARA — SECRETARY

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September 2, 1983

Mr. Meredith Williams
Acting Legislative Post Auditor
Legislative Division of Post Audit
Mills Building
9th and Kansas Avenue
Topeka, Kansas 66612

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DIVISION OF POST AUDIT

Dear Mr. Williams:

I want to thank the Legislative Post Audit Committee and your staff for their work on the Correctional Industry audit. The auditors' comments are insightful and will assist the Department in improving Kansas Correctional Industries (KCI).

I would like to touch on three areas: (1) The profitability of prison industries, (2) the ability of industry programs to assist in the rehabilitation of offenders, and (3) a statutory limitation that severely constrains prison industries from attempting to reduce the growing idleness that plagues the inmate population.

Profitability of Prison Industries

The audit draws two prime conclusions regarding profitability:

1. KCI has made a net profit one year in the past six. In the remaining five years it has been nearly self sufficient.
2. There is no statutory requirement that KCI make a profit.

Using a slightly different accounting method, KCI shows a profit in four of the last six years ranging from one to almost six per cent of sales. The difference, as the audit states, is due to the inclusion by the auditors of two cost items that KCI did not include in determining profit (inmate wages totaling \$37,000 annually and normally less than \$6,000 annually in income from the sale of scrap). In addition, KCI figures depreciation as the cost of new machinery in the year that it was purchased rather than depreciating it out over a period of time.

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The Department of Corrections is committed to meeting two objectives in the operation of its prison industry programs: (1) making a profit and (2) employing an increasing number of inmates in meaningful jobs where they can learn transferable skills. Unfortunately, these goals conflict and it is critical that this be understood:

In this day and age, profitmaking in manufacturing industries is usually the result of mechanized rapid mass production. The inevitable consequence of this shift from labor intensive industries to mechanized industries is a reduction in the number of employees. For prisons, this means an increase in inmate idleness. Yet, the failure to mechanize may hold down profit and result in teaching inmates obsolete skills no longer needed in the private sector.

This dilemma has meant that KCI, like prison industries nationwide, has been forced to walk a line between two sometimes conflicting objectives. Both goals are important and must be balanced. In part, the answer lies in establishing new industries that are service oriented so that prison industries can take full advantage of the system's greatest asset--a ready supply of labor.

This is being done. KCI is about to launch the first phase of a word processing/data entry industry. The industry is designed to train inmates to use word processing and data entry equipment and then to contract with state agencies to do such work for the state. It will employ about 20 inmates initially.

For traditional prison industries, every effort will be made to ensure that the two goals--profitmaking and expanded employment--are balanced and achieved.

Regarding the specific concerns articulated in the audit, KCI has begun developing a straight line depreciation schedule. Director Ewell expects that it will be implemented by the end of 1983. Sale of scrap will be included in future computations of profit.

While it would normally seem entirely logical to include inmate wages in determining net profit, it is not necessarily logical to do so for prison industries. It is the policy of the Department that able bodied inmates who are willing to work, but for whom no job is available, be paid a prison wage even if they are idle. If the current prison industry jobs did not exist, the inmates who now hold them would still be paid so that they could afford to buy basic hygiene items from the inmate commissary.

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Consequently, the wages of inmates in prison industry jobs are unrelated in a practical sense to any profit/loss calculation for prison industries and were therefore excluded.

Prison Industries as a Rehabilitation Program

I was disappointed to learn that the sample taken by the auditors prevented a comparison of the recidivism rates of those who worked in prison industries with those who did not. Such comparison would be very helpful.

I am not surprised to learn that when inmates participating in general work programs (institutional grounds keeping, maintenance, support service, etc.) were compared to idle inmates, there appeared to be little difference in recidivism rates upon release. With some exceptions, these institutional jobs are low level and/or menial work and do little to enhance an inmate's skills, self esteem, or chance to be hired on any but the lowest pay scale when paroled.

I believe that the Department of Corrections is obligated to expand, to the extent possible, those jobs that provide an opportunity for offenders to (1) learn genuinely marketable skills that (2) will increase their income earning potential. If they then be motivated to become productive members of society, we will have fulfilled state responsibility of assisting them.

The specific problems that were noted by the auditors, for example, high job turnover, mandatory layoff following a firing, the lack of a stepped progression of increasingly higher levels of jobs, are indeed problems. I will see that they are addressed.

Statutory Constraint for Prison Industries

The increasing idleness among the inmate population is of great concern to me and the staff at each of the state's prisons. The audit correctly notes that idleness has been a prime cause of violence and rioting in prisons across the country. We are charged by statute to provide a 40-hour work week and the time has come to take another major step in this direction. Below, I have outlined a proposal that will enable the expansion of industries and the reduction of idleness.

Kansas statutes should be amended to provide a tax incentive to private sector businesses to encourage the hiring of inmates in Zephyr-type industries.

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Despite an active effort to seek out and encourage private sector companies to locate in or around state prisons for the purpose of employing inmates, the Department has been largely unsuccessful. Social conscience alone rarely provides adequate motivation for businesses. While the recession appears to have had a chilling effect on the venture, the prospect of employing and supervising inmates itself appears to have been a prime negative factor. The reality is that employing inmates carries with it certain inherent problems. A 1982 study by Arthur Young and Company of inmate workers versus private sector workers concluded that by three measures--time spent actually performing assigned tasks, efficiency and productivity--private sector workers are somewhat more effective than inmates.

Given the problems inherent in the employment of inmates, it is unreasonable to expect private sector industries to employ inmates without some compensating factor.

I therefore propose the enactment of a tax incentive to enable private businesses to economically employ inmates.

This statutory change should enable the Department to reduce idleness and come closer to carrying out the statutory mandate of a 40-hour work week.

Sincerely,



MICHAEL A. BARBARA
Secretary of Corrections

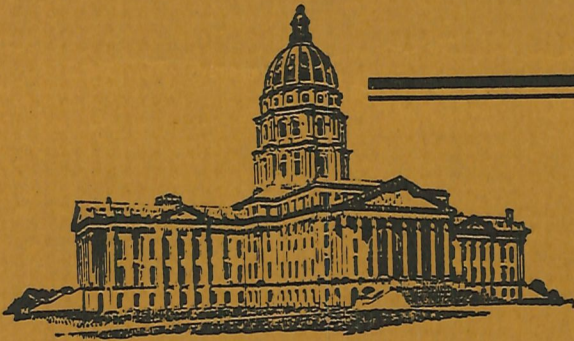
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	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>
Profit (as calculated by Industries Officials)	\$ 6,346	\$ (80,065)	\$ (33,222)	\$ 34,818	\$174,112	\$ 50,810
Profit (as calculated by the auditors)	(40,726)	(75,611)	(88,625)	(89,202)	67,739	(37,688)
Profit Margin (as calculated by the auditors)	(1.9)%	(3.1)%	(3.3)%	(2.8)%	2.2%	(1.3)%

	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>
Total Sales and Income	\$2,091,923	\$2,434,287	\$2,704,147	\$3,145,586	\$3,074,687	\$2,974,540
Total Costs and Expenses	2,085,577	2,514,352	2,737,469	3,110,768	2,900,575	2,923,730
Profit (or Loss)	6,346	(80,065)	(33,322)	34,818	174,112	50,810
Profit Margin	0.3%	(3.0)%	(1.2)%	1.1%	5.7%	1.7%

<u>Product</u>	<u>Correctional Industries Price</u>	<u>Average Vendor Price</u>	<u>Additional Information</u>
Traffic-Line Paint	\$ 4.20	\$ 4.20	Kansas paint may be slightly higher quality according to Division of Purchasing officials.
Architectural Paint	\$ 5.95	\$ 5.00	
Bar Soap	\$17.25	\$17.25	Correctional Industries soap products may be of lower quality, and may not use the same raw materials according to Division of Purchasing officials.
Floor Cleaner	\$13.50	\$12.65	
Disinfectant	\$19.50	\$21.60	
Laundry Soap	\$47.00	\$59.00	
Floor Wax	\$23.75	\$37.49	
Mattresses	\$58.15	\$75.50	Mattresses are for use in correctional institutions.
Stop Sign	\$18.75	\$15.00	

2/8/84
Attachment # 3



PERFORMANCE AUDIT REPORT

Classification of Inmates in Kansas Prisons

**A Report to the Legislative Post Audit Committee
By the Legislative Division of Post Audit
State of Kansas
November 1983**

Legislative Post Audit Committee

Legislative Division of Post Audit

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As a guide to all their work, the auditors use the audit standards set forth by the U.S. General Accounting Office and endorsed by the American Institute of Certified Public Accountants. These standards were also adopted by the Legislative Post Audit Committee.

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PERFORMANCE AUDIT REPORT

Classification of Inmates in Kansas Prisons

OBTAINING AUDIT INFORMATION

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CLASSIFICATION OF INMATES IN KANSAS PRISONS SUMMARY OF LEGISLATIVE POST AUDIT'S FINDINGS

1. How are inmates classified, and is their classification proper? Periodically, each inmate is evaluated and scored in nine areas related mostly to his or her criminal activity and prison behavior. Such classifications help determine the level of control or supervision an inmate needs while in prison. Under exceptional circumstances, inmates can also be classified "by exception." Based on their point totals or exceptions, inmates can be assigned to minimum, medium, close, or maximum custody levels. Generally, minimum custody inmates have been convicted of lesser offenses and close or maximum custody inmates have been convicted of more violent crimes. There are many exceptions, however, most of which reflect an inmate's behavior. As of September 15, 1983, 37 percent of the inmate population was classified as minimum custody, 27 percent as medium, and 36 percent as close or maximum. Legislative Post Audit did not try to assess whether inmate classifications were proper because the Department initiated its own study in this area that should be available after January 1984. This study should address potential problem areas noted by the auditors in the classification system related to documentation and timeliness.

2. What effect does classification have on inmates' placement? The initial classification an inmate receives at the Reception and Diagnostic Center has little effect on that inmate's assignment to a particular institution. More than 80 percent of the housing space available for inmates is at the State Penitentiary and the Industrial Reformatory; thus, most inmates are assigned to these two prisons. Most of those inmates are initially assigned to a maximum security cellhouse. They progress to more minimum security settings within the prisons or to honor camps or work release programs based on their behavior, work assignment, reclassification, nearness to parole, and the like.

Generally, inmates in all custody levels are housed in all types of settings within the Penitentiary and the Reformatory. Cellhouse comparisons also showed that some low-and high-custody inmates in maximum security cellhouses shared the same cell. Prison officials say that efforts are made to separate hardened criminals from lesser offenders, but that recent overcrowding and double-celling of inmates has removed much of their flexibility.

3. What minimum security alternatives are available, and should they be expanded? Based on the September 7 population figures, the Department has at least 460 more minimum custody inmates than it has minimum security bed spaces. These inmates are housed in more restrictive settings behind prison walls. Given that minimum security bed space is the only kind of space that can be added relatively quickly to help alleviate general prison overcrowding, the Legislature may want to consider adding some combination of minimum security facilities or programs. The Secretary of Corrections has submitted a proposal to build new honor camps, expand work and pre-release facilities, and expand minimum security dormitories to house a total of 651 minimum custody inmates. Adding any new space will help alleviate overcrowding only if the minimum custody inmates now in more restrictive prison settings are transferred out of them. The audit notes that not all minimum custody inmates will be

eligible or ready for placement in all types of minimum security facilities or programs, especially those in the community. In addition, prison officials at the Penitentiary estimated that the number of minimum custody inmates now in prison who could be transferred to the outside was quite small. Such findings suggest that more needs to be done to estimate the number of minimum custody inmates who could be placed in minimum security settings--both now and on an on-going basis--to help alleviate prison overcrowding.

CLASSIFICATION OF INMATES IN KANSAS PRISONS

At its meeting on June 2, 1983, the Legislative Post Audit Committee directed the Legislative Division of Post Audit to conduct a performance audit of the Department of Corrections' classification system. This system is used in determining the level of control or supervision needed over inmates while they are in correctional facilities. Inmates with low custody levels are eligible for minimum security housing and programs.

The issue of overcrowding in the State's prisons has received considerable legislative attention in recent years. The inmate population is growing at a rate of 12 to 14 percent a year. As of October 23, it stood at 3,583 and was fast approaching the maximum capacity established by the Department of 3,886. As solutions are sought to ease the overcrowding problem, the issue of housing alternatives for inmates--particularly those with low custody levels--is likely to be the subject of considerable debate and attention.

This audit addressed three main questions: How are inmates classified, and is their classification proper? Once inmates are classified, what effect does classification have on their placement? What minimum security programs and facilities are available, and should they be expanded?

How Are Inmates Classified?

The current inmate custody classification system was developed by a task force of prison officials and other corrections administrators to help standardize classification procedures and the criteria being used to make custody decisions. The system was put into effect in July 1981.

Initial classifications for all male inmates are performed by a classification committee at the State Reception and Diagnostic Center as part of the inmate evaluation process. Female inmates are evaluated and initially classified at the Kansas Correctional Institution at Lansing.

Any classification performed after the initial classification is considered to be a reclassification. Most inmates are reclassified once they complete the orientation process at the institution they are assigned to. Routine reclassifications are performed at regularly set intervals--annually for inmates serving more than a two-year sentence, and every 120 days for inmates approaching their parole dates or for inmates serving less than a two-year sentence.

Non-routine reclassifications are performed for one of two reasons. First, they are performed when any of the criteria for classifying an inmate that are "time limited"--such as institutional adjustment or behavioral problems--are due to expire. A clean record in these areas may result in a lower custody level. Second, they are performed when significant changes occur in the inmate's status, such as disciplinary problems resulting in segregation. That could result in a higher custody level.

Specific criteria have been established in nine areas to help assess the degree of supervision needed to control the inmate, and points have been assigned to the criteria in each category. The more points an inmate receives under the criteria, the higher the custody level, as follows:

Close custody	10 or more points
Medium custody	4-9 points
Minimum custody	0-3 points

The nine basic classification categories and the range of points assigned to each are listed below.

<u>Classification Category</u>	<u>Possible Points</u>
Criminal behavior involved in the offense	0-2
Length of minimum sentence	0-3
Past criminal behavior involving violence	0-2
Length of time served	0-2
Escape history	0-6
Escape characteristics	0-5
Unusual escape/assault skills	0-1
Institutional adjustment	0-10
Behavior characteristics affecting custody	0-10

The behavior involved in the criminal offense is an important consideration, especially in cases involving death, personal injury, and threat of harm. But because an inmate can accumulate more points under the criteria for behavioral problems or poor adjustment to prison life than for criminal behavior involved in the offense, these factors can play an even greater role in determining the custody level assigned to an inmate. For example, an inmate can receive up to 10 points for severe behavioral problems (homicidal or suicidal tendencies, for instance), or 10 points for severe disciplinary infractions that result in disciplinary segregation. By contrast, a maximum of two points is given for the type of crime committed, and two points for a record of past violent crimes.

Because of this distribution of points under the criteria, some inmates who have committed violent crimes but are "model" prisoners may have a lower custody level than inmates who have committed less serious crimes but are unruly or uncontrollable.

If an inmate's needs or circumstances warrant a different level of supervision than his or her point score would indicate, exceptions can be made by noting the reason on the form and assigning a custody level "by exception" rather than "by criteria." Exceptional circumstances would include stricter supervision requirements for an inmate with assaultive behavior or an inmate informer who needs protective custody, pressure situations caused by a death in the family, marital or financial problems, or parole denial, or other documented reasons.

Most inmates classified by exception are given a higher custody level than they would have received if they had been classified by criteria. There are four possible custody levels for inmates classified by exception: minimum, medium, close, and maximum. Assignment to maximum custody is always an administrative decision, then, because it is always done by exception.

A third group of inmates in the correctional system is classified outside the classification system. This group consists primarily of inmates who have not yet been evaluated or have not completed their evaluation at the Reception and Diagnostic Center and consequently have not yet received their initial classification. Inmates in this group are mostly classified in the upper custody levels.

**Most Inmates Are Minimum or Medium Custody,
But the Percentages Vary Considerably By Institution**

As of September 15, 1983, the inmate population in the State's correctional facilities was 3,426. Of that total, 1,258 or 37 percent were classified as minimum custody, 942 or 27 percent were classified as medium custody, and 1,226 or 36 percent were classified as close or maximum custody. Of the total, 66 percent were classified by criteria, 21 percent were classified by exception, and 13 percent were classified outside the custody classification system.

Classification of Inmates By Institution

<u>Institution</u>	<u>Inmate Population on September 15, 1983</u>	<u>Custody Classification</u>		
		<u>Minimum</u>	<u>Medium</u>	<u>Close/ Maximum</u>
<u>Maximum Security Institutions</u>				
State Penitentiary	1,597	34%	37%	29%
Industrial Reformatory	1,103	19	29	52
Reception and Diagnostic Ctr.	138	11	1	88
<u>Minimum Security Institutions</u>				
Vocational Training Center	179	92%	5%	3%
Correctional Institution at Lansing	168	54	12	34
<u>Honor Camps</u>				
Toronto	62	98%	0%	2%
El Dorado	56	98	2	0
<u>Work Release Centers</u>				
Topeka	28	100%	0%	0%
Wichita	54	100	0	0
Hutchinson	19	100	0	0
Contract (Fort Scott and Topeka Halfway House)	<u>22</u>	<u>95</u>	<u>0</u>	<u>5</u>
TOTAL AND AVERAGE	3,426	37%	27%	36%

As the accompanying table shows, the percentage of inmates in the different custody levels varied considerably by institution. These differences are fairly easy to explain. For example, inmates being evaluated at the Reception and Diagnostic Center are administratively assigned a high custody

level. The higher percentage of close or maximum custody inmates at the Industrial Reformatory than at the Penitentiary reflects a higher number of disciplinary and adjustment problems among younger inmates.

Male inmates transferred to the Correctional Institution at Lansing must be minimum custody, but female inmates housed there are classified at all levels. Finally, inmates in higher custody levels at the Vocational Training Center generally have been temporarily reclassified from minimum custody for disciplinary reasons. The same would be true for inmates in higher custody levels at an honor camp or work release program.

Inmates with minimum custody levels are eligible for minimum security housing and programs or outside work detail. They also are given greater unsupervised freedom of movement within an institution and more visiting and furlough privileges. Custody level can also be an important consideration in determining an inmate's eligibility for parole. Thus, besides providing prison officials with a means of measuring how closely an inmate should be supervised, the custody classification system is designed to provide inmates with the incentive to attain and keep the lowest possible custody level.

Are Inmates Properly Classified?

To answer this question, Legislative Post Audit planned to review a sample of inmates' files to determine whether they were properly classified according to the guidelines and criteria set out in the Department's custody classification manual. However, the Department of Corrections started a similar study in the summer of 1983 to answer the same question. The study is being conducted by an internal task force appointed by the previous Secretary of Corrections, and will include substantial samples of inmates from each institution. Task force members told the auditors they were paying particular attention to classifications made by exception to ensure there was adequate documentation to support the custody level given. The study is scheduled to be completed in January 1984.

Legislative Post Audit reviewed the Department's plans for the study and found them to be thorough. After discussions with members of the Legislative Post Audit Committee, it was decided that rather than duplicate this work, Legislative Post Audit would review the completed study and make sure the results are brought to the Legislature's attention.

The auditors did take several other kinds of steps to review inmate classifications. They reviewed the formal classification complaints filed by inmates at the Penitentiary and the Reformatory, and they contacted the Corrections Ombudsman Board about complaints filed there. They also reviewed the files of a sample of inmates at the Penitentiary who were classified as minimum by exception. Finally, they reviewed and analyzed the characteristics of 2,933 inmates classified under the classification system as of September 7, 1983. Because most inmates at the Reception and Diagnostic Center are classified outside the system, all inmates at this facility were excluded from the auditors' review. The results of their reviews are described briefly below.

Generally, Few Complaints Are Filed About Inmate Classification Levels

Between July 1981 and October 1982, Department records show that 12,384 separate classification actions were performed and 4,643 different inmates were subject to at least one classification decision. In comparison to these numbers, relatively few complaints are filed.

Over a one-year period, the auditors found that only seven formal complaints regarding inmate custody levels were filed at the Penitentiary and the Reformatory. The auditors reviewed six of these cases, most of which involved inmates' complaints that their unit team supervisors were denying them a minimum custody status that would allow them to live in minimum security settings or prepare for parole or release.

According to the information available in these files, no classifications were changed as a direct result of the institutional director's review of the cases. Generally, inmates were notified that their classifications were higher because of the nature of their crime, their institutional problems, or other psychological problems. Also in most cases, inmates were advised to continue working with prison officials to improve their performance and lower their custody levels.

The Corrections Ombudsman Board received 81 written or verbal complaints in fiscal year 1983 about inmates' parole eligibility or custody status. According to the acting Executive Secretary, fewer than half those complaints related to custody. Generally, in about half of the complaints about custody an error was made in determining an inmate's classification point total, which was pointed out to prison officials to correct. Complaints that are not valid are usually the result of inmates' lack of understanding of the classification scoring system, particularly as it applies to disciplinary actions.

The Auditors' Review of Inmates Classified as Minimum by Exception Showed Some Potential Problems in the System

The auditors reviewed the files of eight of the 54 inmates at the Penitentiary who were classified as minimum by exception to determine the reasons for their classification at this level. Seven of the eight had been convicted of violent crimes. If those inmates had been classified by criteria according to their point totals, seven would have been medium custody and one would have been close custody. In all cases, the auditors noted that the classification was recommended because of the inmate's good work record, institutional adjustment, or previous success living in a more open environment.

During the review of these eight cases, the auditors found two that showed potential problems. The first involved an inmate's placement in one of the outside dormitories. This decision was made over the staff's earlier recommendation that he be placed in at least a medium security setting. There was no documentation of the reason for this inmate's placement. This inmate had been convicted of aggravated kidnapping, rape, aggravated battery, and attempted rape, and had a record of convictions for previous violent crimes.

The second involved timeliness of an inmate's reclassification. One inmate scheduled for a routine reclassification in March of 1983 was not reclassified until July 9. This inmate, who lived in a maximum security cell, received a disciplinary report on March 8 for sodomy and was placed in administrative segregation for 30 days. Either action should have triggered a non-routine reclassification as well. On July 9 his classification was formally changed from minimum by exception to close by criteria.

The Department's current study of inmate classifications is addressing such issues as proper documentation for custody decisions--especially those made by exception--and timeliness of inmate reclassifications. As the task force reviews inmates' files, it is anticipated that such problems will surface and be reported and that steps will be recommended to minimize such problems. Legislative Post Audit will review the extent to which such problems were found in the Department's completed study.

Generally, Minimum Custody Inmates Have Been Convicted of Lesser Offenses And Maximum Custody Inmates Have Been Convicted of Violent Crimes, But There Are Many Exceptions

The following tables list the characteristics of inmates in the three major custody levels: minimum, medium, and close or maximum. These characteristics were taken from data on the inmates' classification records as of

**Profiles of Inmate Characteristics as Recorded
On Their Classification Forms as of September 7, 1983**

MINIMUM CUSTODY INMATES (1,229)

<p>On the average, these inmates . . .</p> <ul style="list-style-type: none"> --committed lesser offenses (Section D) --are serving 1-5 year sentences --have no record of past violent crimes --have no escape history --have not had recent institutional adjustment problems --are not considered to be violent or potentially violent 	<p>However, there are exceptions . . .</p> <ul style="list-style-type: none"> --34% committed violent crimes (Section A) --5% have records of past violent crimes --7% are serving over 15-year sentences --15% have had recent institutional adjustment problems
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MEDIUM CUSTODY INMATES (948)

<p>On the average, these inmates . . .</p> <ul style="list-style-type: none"> --committed violent crimes (Section A) --are serving longer sentences (over 5 years) --have no record of past violent crimes --have no escape history --have not had recent institutional adjustment problems --are not considered to be violent or potentially violent 	<p>However, there are exceptions . . .</p> <ul style="list-style-type: none"> --17% committed lesser offenses (Section D) --16% have records of past violent crimes --5% have histories of escapes from prison --36% have had recent institutional adjustment problems
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CLOSE/MAXIMUM CUSTODY INMATES (755)

<p>On the average, these inmates . . .</p> <ul style="list-style-type: none"> --committed violent crimes (Section A) --are serving longer sentences (over 5 years) --have no record of past violent crimes --have no escape history --have had recent institutional adjustment problems --are not considered to be violent or potentially violent 	<p>However, there are exceptions . . .</p> <ul style="list-style-type: none"> --28% committed lesser offenses (Section D) --19% have records of past violent crimes --41% are serving 1-5 year sentences --19% have histories of escapes from prison --17% have violent or potentially violent behavior characteristics
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September 7, 1983. On that form, the type of crime committed is not recorded by felony class. Instead, crimes are grouped into four sections. The Section A grouping generally includes violent crimes against persons (for example, murder, rape, kidnapping, and aggravated arson, assault, robbery, and battery). At the other end, Section D generally includes non-violent crimes against property (for example, burglary, theft, controlled substance violation, unlawful possession of firearms, and a category called other non-violent felonies. See Appendix A for complete listing.) Most inmates' crimes fall in the Section A or Section D groupings.

As the tables show, minimum custody inmates generally were convicted of lesser offenses in the Section D grouping, had shorter sentences, did not have records of past violent crimes, were not escape prone, and did not have adjustment problems or violent behavior characteristics.

On the other hand, considerably more of the inmates with medium or close/maximum custody were convicted of violent crimes in the Section A grouping, are serving longer sentences, are more escape prone, and have records of past violent crimes, violent behavior characteristics, and adjustment or disciplinary problems.

These generalizations do not always apply, however, especially at the low custody level. At maximum security institutions like the State Penitentiary and the Industrial Reformatory, for example, 34 percent of the minimum custody inmates were convicted of violent crimes against persons (Section A grouping). Eight percent of the minimum custody inmates at the Penitentiary had records of past violent crimes, and 27 percent of the minimum custody inmates at the Reformatory had disciplinary or adjustment problems within the preceding eight months. Even in minimum security facilities like honor camps and work release programs, 43 percent of the inmates had been convicted of violent crimes (Section A grouping) and 19 percent had institutional adjustment or disciplinary problems. (See Appendix B for a more complete listing.)

These exceptions do not mean the inmates' classifications are improper or do not follow the classification guidelines. They do help demonstrate, though, that an inmate's classification is not always dependent on the nature of his crime, and may be reflecting his institutional behavior or nearness to parole.

What Effect Does Classification Have On Inmates' Placement?

Inmates entering the State's correctional system go through an evaluation process at the State Reception and Diagnostic Center before a final decision is made on where to place them. The auditors found that the initial custody classification an inmate receives from the Reception and Diagnostic Center has very little effect on his initial assignment to an institution. Even after an inmate is assigned to an institution, his classification has little effect on his cellhouse assignment, and most cellhouses have inmates at all custody levels living in them.

Classification Has Little Effect on an Inmate's Initial Assignment to an Institution

Because of backlogs in evaluating inmates at the Reception and Diagnostic Center, inmates entering the correctional system are first sent to the State Penitentiary or the Industrial Reformatory for a holdover period while they are awaiting evaluation. The holdover period averages about 50 days. During that time, inmates are totally segregated from the remaining inmate populations.

While at the Reception and Diagnostic Center, inmates undergo psychological testing and evaluation for several weeks. Custody level is assigned at the end of that period on the basis of the classification criteria, testing and evaluation information, and information on previous criminal activity.

An inmate's initial custody classification makes almost no difference in his or her assignment to a particular correctional facility. A minimum custody inmate could be assigned directly to a minimum security institution, honor camp, or work release program. In practice, however, most minimum custody inmates--as well as all medium and close/maximum custody inmates--are sent back to the maximum security institutions at Lansing or Hutchinson. As a rule of thumb, inmates under the age of 25 are sent to the Reformatory, and inmates over 25 are sent to the Penitentiary. However, their placement may also depend on such other factors as family location, known conflicts with inmates at another institution, and available space.

Inmates who are initially classified as minimum custody can be assigned directly to the Correctional-Vocational Training Center in Topeka following their evaluation, provided that the evaluation has shown the inmate needs vocational training or education and can benefit from it. These inmates must also be under age 30 and have no history of violent crimes, escapes from an adult prison, or previous incarcerations. These inmates can also be sent to the Industrial Reformatory to participate in the vocational education programs there.

According to prison officials, inmates will rarely be assigned directly from the Reception and Diagnostic Center to an honor camp or work release program. Inmates in these programs are usually transferred to honor camps or work release programs from one of the maximum security institutions as they near parole. Such inmates often need a transition to a less secure setting before being released.

As of September 15, 83 percent of the inmates in the correctional system were housed at the three maximum security institutions: the Penitentiary, the Reformatory, or the Reception and Diagnostic Center. Ten percent were at the Training Center or the Correctional Institution, and seven percent were in an honor camp or work release program.

Within an Institution, Classification Has Very Little Effect on Placement, at Least at First

Once inmates are assigned from the Reception and Diagnostic Center to the Penitentiary or the Reformatory, they go back into the segregated holdover or orientation area for an orientation period before they are assigned to a cellhouse.

Cellhouses in these two institutions can be divided into five general categories. As the accompanying table shows, of the 2,405 inmates classified under the classification system as of September 7 at the Penitentiary and the Reformatory, 1,382 or 57.5 percent were housed in maximum security general population cellhouses. A total of 845 inmates, or 35.1 percent, were in dormitories or cellblocks with unbarred cells either within or outside the prison walls. The remaining 178 inmates (7.4 percent) were in administrative or disciplinary segregation cellhouses or other secured housing.

<u>Penitentiary and Reformatory</u> <u>Type of Inmate Housing</u>	<u>Inmates in Each</u> <u>Type of Cellhouse</u>	
	<u>No.</u>	<u>%</u>
Maximum security cellhouses with barred cells (general population, one- to two-person cells)	1,382	57.5%
Medium or minimum security dormitory inside prison walls	607	25.2
Minimum security dormitory outside prison walls	238	9.9
Administrative or disciplinary segregation	147	6.1
Other secured housing (hospital, orientation, kennel, etc.)	<u>31</u>	<u>1.3</u>
Total	2,405	100.0%

According to prison officials, most inmates are initially assigned to a maximum security cellhouse with barred cells. They progress to more minimum security settings within the institutions based on such factors as their behavior, custody level, work assignment, pending transfer to an honor camp or work release program, nearness to parole, and the like. Minimum custody inmates may be on work crews outside the prison, while higher custody inmates must generally work within the prison's walls.

The recent increase in the prison population has raised concern that prisoners with drastically different custody levels may be placed together in the same living setting. As the following tables show, the auditors found that, with few exceptions, there were inmates in all custody levels within each level of housing at the Penitentiary and the Reformatory.

Kansas State Penitentiary

<u>Type of Inmate Housing</u>	<u>Inmate Occupants' Custody Levels</u>					
	<u>Minimum</u>		<u>Medium</u>		<u>Maximum/Close</u>	
Max. sec. cellhouses (gen. pop.)	275	(50.3%)	454	(76.3%)	218	(78.8%)
Med. sec. inside dorm (unbarred cells)	18	(3.2%)	113	(19.0)	1	(0.4%)
Min. sec. outside dormitories	237	(43.5%)	1	(0.2%)	0	(0%)
Admin. or disciplinary segregation	10	(1.8%)	22	(4.0%)	54	(19.4%)
Other (hospital, orientation, etc.)	<u>6</u>	<u>(1.2%)</u>	<u>3</u>	<u>(0.5%)</u>	<u>4</u>	<u>(1.4%)</u>
Total	546	(100.0%)	593	(100.0%)	277	(100.0%)

Kansas State Industrial Reformatory

<u>Type of Inmate Housing</u>	<u>Inmate Occupants' Custody Levels</u>					
	<u>Minimum</u>		<u>Medium</u>		<u>Maximum/Close</u>	
Max. sec. cellhouses (gen. pop.)	51	(24.1%)	149	(45.7%)	235	(52.1%)
Med. sec. inside dorm (unbarred cells)	88	(41.6%)	165	(50.6%)	153	(33.9%)
Min. sec. inside dormitory	62	(29.0%)	7	(2.2%)	0	(0%)
Admin. or disciplinary segregation	2	(1.0%)	1	(0.3%)	58	(12.9%)
Other (hospital, orientation, etc.)	<u>9</u>	(4.5%)	<u>4</u>	(1.2%)	<u>5</u>	(1.1%)
Total	212	(100.0%)	326	(100.0%)	451	(100.0%)

These tables show that inmates with minimum custody and those with maximum/close custody are housed together. Most of this mixing occurs in maximum security cellhouses and medium security open or unbarred dormitories. Mixing of inmates in a dormitory setting does not necessarily signal placement problems; as previously noted, inmates in the more open dormitory settings generally have demonstrated to corrections officials that they are not a security risk and are not "predatory" in nature.

Housing minimum and maximum/close custody inmates in the same maximum security cellhouse may or may not pose a safety risk. The nature of the prison routine means that even if these minimum custody inmates did not share cells with inmates who had a maximum/close custody classification, they would still mix with them to a degree because inmates housed in maximum security settings often work, eat, or exercise together. Such mixing may represent a greater potential problem if minimum and maximum/close custody inmates share the same cell as well.

Some Low- and High-Custody Inmates in Maximum Security Cellhouses Share the Same Cell

To determine the extent to which minimum and maximum/close custody inmates are housed in the same cells together, the auditors ran computer tests for the seven maximum security general population cellhouses at the two institutions. Many of these buildings' cells are designed for one inmate but are now holding two. This is especially true at the Penitentiary.

These tests showed that 66 of the 275 minimum custody inmates (24 percent) housed in maximum security cellhouses at the Penitentiary shared a cell on September 7 with one or more maximum/close custody inmates. At the Industrial Reformatory, which has mostly single-person occupancy in its maximum security cellhouses, seven of 51 minimum custody inmates (13.7 percent) shared a cell with one or more maximum/close custody inmates.

Officials at both institutions told auditors that efforts are made to separate the more "hard-core" offenders from the "lesser" offenders, but that

recent overcrowding and double-celling of inmates has removed much of their flexibility in making or changing cell assignments. To determine how thoroughly corrections officials had been able to separate the two groups, the auditors compared cell assignments of inmates whose characteristics, at least as recorded on the classification form, could be considered descriptive of hard-core criminals and lesser offenders.

For this comparison, hard-core criminals were those inmates who had committed a violent crime in the Section A grouping (murder, rape, and aggravated assault or robbery, for example), had been convicted of one or more past violent crimes, and had either disciplinary problems or violent or potentially violent behavior characteristics, or both. Inmates who possessed characteristics of lesser offenders had committed non-violent crimes in the Section D grouping (burglary and theft, for example), had served at least 40 percent of their mandatory sentence (or 20 percent of their non-mandatory sentence), had no record on their classification form of a past violent crime or escape attempt, had no record of recent disciplinary problems, and were not considered to be violent or potentially violent.

Of the 2,405 inmates at the Penitentiary and the Reformatory included in the auditors' data, 111 had the characteristics of hard-core criminals and 349 had the characteristics of lesser offenders. (See Appendix C for the location and custody levels of these inmates.) When inmates in both categories at the Penitentiary's three maximum security general population cellhouses were compared, the auditors found that 10 lesser offenders shared cells with one or more hard-core offenders. (The auditors also noted that one hard-core criminal was in a minimum security dormitory outside the prison walls.) At the Reformatory's four general population maximum security cellhouses, only one lesser offender shared a cell with one hard-core criminal. The following examples help illustrate the types of inmates in each category who were sharing a cell on September 7, 1983.

**Lesser Offenders Housed in the Same Cell as Hard-Core Offenders:
Some Examples**

Kansas State Penitentiary

An inmate imprisoned for a controlled substance violation and classified as minimum by criteria was sharing a cell in A Cellhouse on September 7 with an inmate who was classified as close by criteria and had committed rape, had been convicted of a previous violent crime, and had been professionally diagnosed as homicidal.

Another inmate classified as minimum by criteria was convicted of a non-violent felony and was considered to be impulsive. He shared a cell with an inmate classified as close by criteria who had committed aggravated sodomy, had been convicted of a previous violent crime, was considered to be threatening, and had had more than one serious disciplinary report within the preceding eight months leading to disciplinary segregation or forfeiture of good time.

Kansas State Industrial Reformatory

An inmate convicted of burglary was initially classified as close by exception. Such a classification may indicate prison officials are uncertain how this inmate will behave or adjust to prison life. He was housed in B-2 Cellhouse with an inmate classified as close by criteria who had committed first degree murder, had three previous convictions for progressively serious crimes, had received a recent disciplinary report resulting in disciplinary segregation or forfeiture of good time, and had been professionally diagnosed as homicidal.

Undoubtedly, there may be legitimate reasons for some of these cell assignments that would not show up in the characteristics marked and scored as part of the classification system. For example, the Director of the State Penitentiary told the auditors that some supposedly lesser offenders may be repeat offenders who have been in and out of jail for years on non-violent felony charges and are very "con-wise." Other assignments may simply have to be made on a space-available basis. Nonetheless, these comparisons show that some mixing of hard-core criminals and lesser offenders does occur.

In sum, it is apparent from these figures that, at least in the general population cellhouses, an inmate's classification has little effect on his placement. Classification does make more of a difference, however, in inmates' moves from the general population cellhouses to the medium and minimum security dormitories and, ultimately, to honor camps and work release programs. Classification can also make a difference in an inmate's work assignment, visiting privileges, and furloughs.

What Minimum Security Alternatives Are Available, And Should They Be Expanded?

The Department's June 1983 Correctional Facility Capacity Report shows a total of 733 minimum security bed spaces currently available within the system. This number represents the Department's assessment of optimum capacity; the maximum capacity is 960 bed spaces. As of September 7, 1983, 834 inmates were housed in these minimum security settings.

Construction work in progress at three institutions will have some impact on the number of minimum security bed spaces available. Adding two dormitory units to house 96 inmates outside the prison walls at the Reformatory and renovating space at the Correctional Institution to house 46 inmates will increase the total by 142. However, the new medium security prison at Lansing will incorporate all of the minimum security Outside Dormitory No. 1 now adjacent to the prison walls. Thus, although a total of 488 medium security bed spaces will be added, the system will lose the minimum security bed spaces currently available at that dormitory.

These construction projects are scheduled for completion by the end of 1984. Altogether, they will result in a net increase of 15 optimum capacity minimum security bed spaces, but a net decrease of 113 maximum capacity minimum security bed spaces. Thus, if no additional bed space is built or renovated, by January 1985 the Department of Corrections will have a total of 748 optimum capacity minimum security bed spaces (847 maximum capacity). The distribution of the current and post-construction bed spaces among the correctional facilities is shown in the table at the top of the next page.

Using the September 7 data, the auditors identified 1,229 inmates classified as minimum custody under the classification system. (This number excludes any minimum custody inmates classified under the system at the Reception and Diagnostic Center; on September 15, Department records show there were 15 such inmates.) Of that total, 770 inmates, or 62.7 percent of the

<u>Facility</u>	<u>Current Minimum Security Bed Spaces</u>		<u>Post-Construction Minimum Security Bed Spaces</u>	
	<u>Optimum</u>	<u>Maximum</u>	<u>Optimum</u>	<u>Maximum</u>
State Penitentiary				
(outside dorm 1)	127	255	0	0
(outside dorm 2)	50	99	50	99
Industrial Reformatory				
(inside dorm)	50	57	50	57
(outside dorms)	0	0	96	96
Vocational Training Center	180	200	180	200
Correctional Institution at Lansing	100	123	146	169
Honor Camps				
Toronto	61	61	61	61
El Dorado	64	64	64	64
Work Release				
Topeka	26	26	26	26
Hutchinson	20	20	20	20
Wichita	<u>55</u>	<u>55</u>	<u>55</u>	<u>55</u>
Totals	<u>733</u>	<u>960</u>	<u>748</u>	<u>847</u>

minimum custody inmates, were housed in minimum security bed spaces. The remaining 459 minimum custody inmates were housed in medium or maximum security bed spaces at the Penitentiary or the Reformatory.

The construction now under way will do almost nothing to change this situation. Further, the Department projects that the inmate population will reach 4,041 by December 31, 1984, which is 615 more inmates than the September 15 population. Currently, 37 percent of the inmate population is minimum custody. If the same percentage were to hold true through December of 1984, as many as 1,500 minimum custody inmates might be in the system. Thus, there are currently far more minimum custody inmates than minimum security bed spaces, and this difference is likely to grow as inmate populations increase. If minimum security bed spaces were to be expanded, two questions that arise are what types of minimum security bed spaces could be made available, and how many inmates are potentially eligible for placement in those new minimum security settings.

Alternatives for Expanding Minimum Security Bed Spaces Range From Building New Institutions to Adding More Programs

The types of bed spaces now available are minimum security institutions like the Vocational Training Center in Topeka and the Correctional Institution at Lansing, minimum security dormitories either within or outside the walls of the maximum security institutions at Lansing and Hutchinson, honor camp facilities, and work release programs. As discussed briefly below, the system's minimum security bed space could be expanded by building a new minimum security institution, providing more dormitory space at the maximum security institutions, or expanding the honor camps or work release programs.

Building a new minimum security institution. This option might give prison officials more flexibility in totally separating some minimum custody inmates from a maximum security prison setting. But it is the costliest alternative and the least acceptable in terms of providing more bed space on a fairly immediate basis. According to information provided in Reducing Prison Overcrowding: An Overview of Options, one of a series of reports provided by the National Institute of Corrections on prison overcrowding, the cost of building a minimum security institution between 1976 and 1980 averaged more than \$18,000 per inmate. Besides construction costs, operating costs also need to be considered. Operating costs for Kansas' minimum security institutions are higher than the system-wide average on a per-inmate basis because those costs are spread out over fewer inmates. The Department's preliminary figures for fiscal year 1983, for example, show the Vocational Training Center's annual per-capita costs were \$15,608, compared with a system-wide average of \$11,007.

At least nine states do have major construction projects proposed or under way, however, to help alleviate overcrowding. In Pennsylvania, for example, more than \$400 million has been set aside for construction and expansion of prison facilities, and Ohio has undertaken a \$638 million construction program.

Providing more minimum security dormitory space at the maximum security institutions. Dormitory space for a number of minimum custody inmates will be lost at the Penitentiary as the new medium security institution comes on line. New dormitories could be added near the Penitentiary's Outside Dormitory No. 2 to house minimum custody inmates. These new facilities could be similar to the modular minimum security dormitory now being built across the street from the Industrial Reformatory. It will house 96 inmates at a cost of \$1.04 million, or about \$10,800 per inmate. Additional modular dormitories could be added at the Reformatory as well. This option may not provide a long-term solution because the useful lifespan of these modular facilities may be as little as 10 years. At the same time, some estimates show prison populations declining in the 1990s, which would argue for providing less expensive temporary space rather than committing large sums to new permanent structures.

Expanding honor camps and work release programs. The State's correctional system currently can house 125 minimum custody inmates in its two honor camps and has 101 slots in its work release programs at Topeka, Wichita, and Hutchinson. About 300 inmates a year are channeled through work release before being paroled, whereas about 1,000 inmates are paroled each year. Thus, most inmates do not now go through a work release program before being paroled. More of these types of facilities and programs could be made available for longer-term minimum custody inmates (honor camps) or for minimum custody inmates nearing parole (work release). Although annual operating costs for work release centers in fiscal year 1983 were higher than average (\$12,070 per inmate compared with \$11,007 system-wide), for honor camps they were lower than average--\$9,268. The El Dorado Honor Camp, completed in June 1982, cost \$1,460,406 to house 64 inmates, or \$22,819 per inmate. Building or renovating costs for work release programs can vary depending on the type of facility used to house the program.

Obviously, additional staffing and operating costs are associated with the addition of any minimum security programs or facilities. Thus, any considera

tion of the type of space to be provided would have to take these costs into account as well.

The Secretary of Corrections Has Presented A Proposal For Creating Additional Minimum Security Bed Spaces and for Addressing Overcrowding in Other Ways

The Secretary of Corrections presented a proposal to the 1983 Special Committee on Corrections and the Advisory Committee on Prison Overcrowding for creating new minimum security bed spaces for 651 inmates. At a cost of just over \$6.1 million, or \$9,387 per inmate, most of these spaces would be created by building two new honor camps, renovating unused buildings owned by the Department of Social and Rehabilitation Services to serve as expanded work release and pre-release facilities, and renovating and expanding Outside Dormitory No. 2 at the Penitentiary. According to the Secretary, with immediate funding these new bed spaces could be ready by or before the end of fiscal year 1985.

The Secretary's proposal also recommends expanding community corrections. Nine counties now participate in a community corrections program: Shawnee, Leavenworth, Bourbon/Linn/Miami, Wyandotte, Johnson, Riley, and Sedgwick. Department officials have estimated it may be financially feasible for up to eight additional counties to participate.

Community corrections programs provide alternatives to imprisonment for certain first- and second-time offenders convicted of such crimes as theft, burglary, and unlawful possession of firearms. According to the Community Corrections Administrator, they can save 400-500 bed spaces over a two-year period. Since the program's inception, an estimated 519 "prison-bound" individuals have been or are currently part of a community corrections program. The annual cost of maintaining an otherwise prison-bound adult in a community corrections program was \$1,977 per person in fiscal year 1982 compared with \$11,071 in a prison facility. For fiscal year 1984, community corrections programs have been appropriated nearly \$5 million.

Other ways to alter a correctional system's population without altering its prison capacity include changing the length of an inmate's stay in prison or the number of people who enter prisons. In recent years, at least 23 states have made provisions for the early release or emergency release of non-violent or first-time offenders. Such provisions are usually invoked either when bed shortages occur or when population exceeds capacity by a certain percentage. At that time, inmates may have their sentences reduced, may be given early parole, or may be moved out of prison facilities into pre-release or community facilities. Other states have passed or are considering measures such as changing sentencing laws. The Secretary's proposal makes a number of recommendations in this area as well.

Not All Minimum Custody Inmates Can Be Considered Eligible For Placement in a Minimum Security Facility or Program

Legislative Post Audit's findings show that there is a sizable number of inmates (about 460) who are currently classified as minimum custody but who

are in medium or maximum security settings. The main reason appears to be a lack of more minimum security spaces. Given that minimum security space is the only kind of space that can be made available relatively quickly to help alleviate general prison overcrowding, the Legislature may want to consider adding minimum security space in the forms proposed by the Secretary or in other forms of its own choosing. The addition of such space assumes that the minimum custody inmates now housed in more restrictive settings will be transferred out of these badly needed bed spaces into minimum security settings. The question remains, however, as to how many of these 460 or so inmates could be placed in a minimum security facility or program. Two points should be considered:

1. Not all of the minimum custody inmates will meet current criteria for placement in the full range of minimum security facilities or programs.
2. Not all of the minimum custody inmates may be ready for placement in settings outside prison walls.

Some minimum custody inmates will not meet the criteria for placement in a minimum security facility or program. With few exceptions, to be eligible for placement in a minimum security facility or program, an inmate must be classified as minimum custody, either by criteria or by exception. But custody level is not the only factor taken into consideration in determining an inmate's eligibility for minimum security housing or programs. Other factors can relate to an inmate's crime, behavior, or particular needs; placement decisions are made and approved on an individual basis. To be eligible for the Vocational Training Center at Topeka, for instance, an inmate must be under 30, must have no history of escapes or past violent crimes, and must be able to benefit from the vocational training provided there.

To be accepted into an honor camp, an inmate may not be psychotic or a sex offender. Many of the minimum custody inmates housed there are also longer-term; Department records show that 61 percent of the camp population is serving sentences for a Class C felony or above.

Inmates must initiate their application to enter a work release program, and their unit team supervisors or other institutional staff must agree they need the opportunities and responsibilities of a transitional release center. Inmates may be denied entrance into the program if they are emotionally unstable or have a history of assaultive behavior, sex offenses, repeat offenses that have increased in severity, parole violations, or escapes. To enter the program, they must be within eight months of their earliest parole date, and preferably within 120 days. The selection criteria for the pre-release facilities currently being proposed by the Secretary of Corrections would be similar, except that Department officials would initiate the process by identifying those minimum custody inmates who are approaching their parole eligibility and who might be eligible for placement in a pre-release facility. Inmates would have to be within 90 days of their parole eligibility to enter the program.

What all this means is that the options for some minimum custody inmates might still be limited. For instance, a minimum custody inmate who was considered to be emotionally unstable or who had several years remaining on his sentence would not be eligible to fill a vacancy in a work release program.

To provide some indication of the numbers of prisoners in the group of 459 inmates classified as minimum custody but living in medium or maximum security settings at the Penitentiary and the Reformatory who might meet the criteria for minimum security housing, the auditors analyzed their classification records. Looking at those classification criteria that would be considered as part of the assessment of an inmate's eligibility for a minimum setting--such as the type of crime committed or the inmate's behavior and nearness to parole--they found the following:

	<u>State Penitentiary</u>	<u>Industrial Reformatory</u>	<u>Total</u>
Number of minimum custody inmates who have served much of their sentence and do not have a history of escapes, past violent crimes, recent disciplinary infractions, or violent or potentially violent behavior characteristics (regardless of crime)	203	87	290
Number of minimum custody inmates who meet the same criteria as above, but who committed non-violent crimes in the Section D grouping	102	48	150
Number of minimum custody inmates with non-violent crimes in the Section D grouping (no other criteria considered)	178	87	265

As these figures show, 290 of the 459 inmates (63 percent) met all of the criteria spelled out in the first group. Of these 290 inmates, 150 had committed non-violent crimes (Section D). Because some would consider an inmate's crime to be a primary consideration for placement in a minimum security setting, the auditors analyzed this characteristic separately. Their analysis showed that 265 of the 459 minimum custody inmates in medium or maximum security settings, or about 58 percent, had committed non-violent crimes (Section D).

These numbers also show, however, that a significant number of the 459 inmates do not fit into these categories. In other words, they have either committed a more serious or violent crime, or they have one or more of the following: much of their sentence left to serve, an escape history, past violent crimes, recent institutional adjustment or disciplinary problems, or violent or potentially violent behavior characteristics. It is possible that many of these inmates would not therefore be eligible for placement in all minimum security settings.

Some minimum custody inmates may not be ready for placement in settings outside prison walls. Not all minimum security settings are alike. For example, the minimum security dormitory outside the walls of the State Penitentiary is still a much more secure and closely supervised setting than a work release

program. Minimum custody inmates in the system often progress from more secure minimum settings to a more open minimum setting before they are paroled. The classification system's aim is to provide as up-to-date an assessment as possible of the amount of supervision an inmate needs based on how well he adapts to the institution he is assigned to. It was not designed to measure such distinctions in minimum security housing.

Many inmates who are minimum custody have committed violent crimes or have a history of criminal behavior. These inmates generally have worked their way to minimum custody by keeping acceptable behavior and by serving much of the time on their sentence. By classifying them as minimum custody, prison officials are acknowledging their behavior and attempting to prepare them for their likely transition out of prison. Some of these inmates are behind prison walls, some have been moved to dormitories outside the walls, and many are already in honor camps and work release programs. However, neither the Department nor the Legislature may feel completely satisfied that all such inmates are ready for placement outside the prison walls.

As discussed in the previous section, the auditors' analysis of classification records showed that a significant number of minimum custody inmates in medium or maximum security settings may have characteristics related to their crime, prison behavior, or length of time served that could affect their eligibility for minimum security housing. The auditors also asked officials at the Penitentiary and the Reformatory to estimate the number of minimum custody inmates in medium or maximum security settings who might be eligible to move into a minimum setting.

In general, their estimates were very conservative. At the Penitentiary, officials estimated there were approximately 35 minimum custody inmates currently inside the prison walls who either have been approved to go outside or are considered to be good candidates for transfer to an outside dormitory. This number compares with the 309 minimum custody inmates who were in more restrictive housing at the Penitentiary on September 7. Officials at the Reformatory were less specific. They did point out, however, that about half the minimum custody inmates in medium/maximum settings are in vocational or academic education programs that are not available in most other minimum settings.

In part, these officials' cautious approach reflects a concern that some minimum custody inmates who function well within the confines and structure of a maximum security prison may not be ready for the more open environment of an outside dormitory, honor camp, or work release program. Officials at the Penitentiary indicated such concerns could lead to changes in the classification system that would raise a number of inmates' custody levels. Their misgivings, coupled with any subsequent actions to tighten-up eligibility requirements for minimum custody status, could in turn reduce the number of inmates considered to be eligible for transfer to a minimum security setting. And this action may have some implication regarding the degree to which any new minimum security facilities or programs help alleviate overcrowding in the maximum security prisons.

Department officials acknowledged there were differences of opinion among its staff as to the number of minimum custody inmates who might be

eligible for placement in minimum security settings, and said attempts were being made to resolve those differences. The Department is also developing a policy for standardizing supervisory requirements for different custody levels. Under such a policy, minimum custody inmates placed in the Penitentiary's outside dormitory, for example, should have the same supervisory needs as minimum custody inmates in other minimum facilities. For work release or other programs where inmates are brought into the community, however, the Department is at least considering two levels of minimum custody--community-bound and institutional.

The auditors' findings suggest that additional work needs to be done to identify the number of minimum custody inmates who could be moved from medium and maximum security settings into such minimum security alternatives as dormitories outside prison walls, honor camps, or work or pre-release centers. Such information is needed to ensure there are sufficient numbers of minimum custody inmates to fill these spaces--not just now but on an on-going basis. Otherwise, any additional minimum security space approved by the Legislature may not be fully used and, as a result, overcrowding at the State's prisons may not be alleviated to the extent planned.

Recommendations

1. As part of the proposals submitted to the 1984 Legislature for alleviating overcrowding at State prisons, the Department of Corrections should include the following:

1. An estimate of the number of inmates now housed in medium and maximum security settings who could be placed in minimum security dormitories outside prison walls.
2. An estimate of the number of inmates now housed in minimum security dormitories or in other prison settings who could be moved to honor camps, work release or pre-release settings, and other similar settings.

2. These estimates should include the characteristics used to identify prisoners in each of the categories above. They should also include the criteria the Department will use in making their transfer decisions.

APPENDIX A

Groupings of Crimes in the Custody Classification Manual

SECTION A OFFENSES:(If an inmate has an offense in this section, Sections B, C, and D are skipped.)

1. Murder, 1st degree
2. Murder, 2nd degree
3. Voluntary Manslaughter
4. Attempted Murder
5. Aggravated Arson
6. Aggravated Kidnapping
7. Aggravated Assault on Law Enforcement Officer
8. Aggravated Battery on Law Enforcement Officer
9. Aggravated Assault
10. Aggravated Robbery
11. Rape
12. Kidnapping
13. Aggravated Sodomy
14. Aggravated Battery
15. Escape
16. Inciting to Riot

SECTION B OFFENSES:(If the offense involved any of the following but is not found in Section A above, the inmate receives a score under this section but the offense is identified under Sections C or D.)

17. Death of Victim
18. Personal Injury
19. Threat of harm where there was clear and present danger to the victim

SECTION C OFFENSES:(If an inmate has an offense in this section, Section D is skipped.)

20. Robbery
21. Arson
22. Aggravated Incest
23. Child Abuse
24. Trafficking Contraband in a Penal Institution
25. Criminal Use of Explosives
26. Indecent Liberties with a Child
27. Enticement of a Child

SECTION D OFFENSES:(An offense is marked in this section if appropriate.)

28. Aggravated Juvenile Delinquency
29. Terroristic Threat
30. Involuntary Manslaughter
31. Aggravated Burglary
32. Burglary
33. Controlled Substance Violation
34. Theft
35. Auto Theft
36. Unlawful Possession of Firearms
37. Other Crimes of Threat or Violence (felonies)
38. Other non-violent felonies

APPENDIX B

Profiles of Inmates With Minimum, Medium, and Close/Maximum Custody Levels Based on Selected Classification Data Current as of September 7, 1983

MINIMUM CUSTODY INMATES

Classification Characteristics	Penitentiary & Reformatory (758 inmates)	Training Center & Correctional Inst. (261 inmates)	Honor Camps & Work Release (210 inmates)
Length of minimum sentence			
1-5 years	63%	76%	57%
5-15 years	31	14	38
over 15 years	6	10	5
Length of sentence served			
more than 40% of mandatory or 20% of non-mandatory	85%	80%	96%
less than 40% of mandatory or 20% of non-mandatory	15	20	4
Type of criminal offense			
Section D	53%	71%	43%
Section A	34	26	43
Record of past violent crime			
No	94%	97%	97%
Yes	6	3	3
History of prison escape			
No	99%	97%	99.5%
Yes	1	3	.5
Institutional adjustment			
No problems	88%	80%	81%
Problems within the pre- ceding 8 months	12	20	19
Behavior characteristics			
No problem	72.7%	49.0%	78%
Lesser behavior problems	27.0	50.6	22
Violent or potentially vio- lent behavior problems	.3	.4	0

MEDIUM CUSTODY INMATES

<u>Classification Characteristics</u>	<u>Penitentiary & Reformatory (919 inmates)</u>	<u>Training Center & Correctional Inst. (28 inmates)</u>	<u>Honor Camps & Work Release (1 inmate)</u>
Length of minimum sentence			
1-5 years	25.2%	68%	--
5-15 years	36.4	32	100%
over 15 years	38.4	0	--
Length of sentence served			
more than 40% of mandatory or 20% of non-mandatory	56%	68%	100%
less than 40% of mandatory or 20% of non-mandatory	44	32	--
Type of criminal offense			
Section D	16%	43%	--
Section A	76	39	100%
Record of past violent crime			
No	84%	93%	100%
Yes	16	7	--
History of prison escape			
No	95%	89%	100%
Yes	5	11	--
Institutional adjustment			
No problems	65%	36%	--
Problems within the pre- ceding 8 months	35	64	100%
Behavior characteristics			
No problem	72%	50%	100%
Lesser behavior problems	26	50	--
Violent or potentially vio- lent behavior problems	2	0	--

CLOSE/MAXIMUM CUSTODY INMATES

<u>Classification Characteristics</u>	<u>Penitentiary & Reformatory (728 inmates)</u>	<u>Training Center & Correctional Inst. (27 inmates)</u>	<u>Honor Camps & Work Release (0 inmates)</u>
Length of minimum sentence			
1-5 years	41%	52%	
5-15 years	31	22	
over 15 years	28	26	
Length of sentence served			
more than 40% of mandatory or 20% of non-mandatory	53%	59%	
less than 40% of mandatory or 20% of non-mandatory	47	41	
Type of criminal offense			
Section D	28%	41%	
Section A	64	52	
Record of past violent crime			
No	81%	93%	
Yes	19	7	
History of prison escape			
No	80%	96%	
Yes	20	4	
Institutional adjustment			
No problems	49%	48%	
Problems within the preceding 8 months	51	52	
Behavior characteristics			
No problem	56%	33%	
Lesser behavior problems	27	56	
Violent or potentially violent behavior problems	17	11	

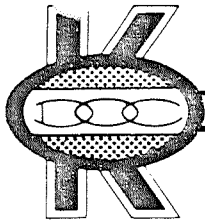
APPENDIX C

Location of Hard-Core Criminals and Lesser Offenders at the Reformatory and the Penitentiary Based on Selected Classification Data Current as of September 7, 1983

	KSP		KSIR		Combined Totals	
	Hard-core Criminals	Lesser Offenders	Hard-core Criminals	Lesser Offenders	Hard-core Criminals	Lesser Offenders
Max. sec. general pop. cellhouse	67	112	9	55	76	167
Med. sec. inside dorm (unbarred cells)	5	9	12	65	17	74
Min. sec. dorm (inside or outside prison walls)	1	73	0	15	1	88
Admin. or disciplinary segregation	17	6	0	7	17	13
Other secured housing	<u>0</u>	<u>3</u>	<u>0</u>	<u>4</u>	<u>0</u>	<u>7</u>
TOTAL	<u>90</u>	<u>203</u>	<u>21</u>	<u>146</u>	<u>111</u>	<u>349</u>
<u>Custody Levels for Inmates Above</u>						
Maximum	3	0	0	6	3	6
Close	63	3	13	53	76	56
Medium	23	25	8	24	31	49
Minimum	<u>1</u>	<u>175</u>	<u>0</u>	<u>63</u>	<u>1</u>	<u>238</u>
TOTAL	<u>90</u>	<u>203</u>	<u>21</u>	<u>146</u>	<u>111</u>	<u>349</u>

APPENDIX D

**Response from the
Department of Corrections**



KANSAS DEPARTMENT OF CORRECTIONS

JOHN CARLIN — GOVERNOR

MICHAEL A. BARBARA — SECRETARY

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November 15, 1983

Meredith Williams
Legislative Post Audit
109 West 9th
Suite 301
Topeka, Kansas 66612

Dear Mr. Williams:

This report has been prepared in response to the "Performance Audit of the Inmate Classification System" completed in November of 1983. The audit examined the process employed by the Department of Corrections to classify inmates for the purpose of custody supervision and the need for additional minimum custody facilities.

Agency Response

The legislative post-auditors were attempting to address three basic questions:

- (1) How are inmates classified and is there classification proper?
- (2) What effect does classification have on the inmates' placement?
- (3) What minimum security programs are available, and should they be expanded?

Background

Prior to the development of the current system, custody classification was largely a matter of subjective discretion at each institution within the system. This meant that the criteria for making custody decisions were largely unwritten and the experience of the correctional personnel making the custody decision prevailed. In late 1979, there was a feeling among the Secretary and correctional staff that custody decisions needed to be documented and standardized. Accordingly, a task force was formed to develop a formal system of classifying inmates for purposes of custody.

From the outset, the task force felt it of critical importance that the system developed should incorporate the ideas and experience of staff and administrators involved custody decisions

from throughout the department. A series of workshops were held over a two year period, and the key factors considered in making custody decisions were identified and incorporated into a formal classification instrument.

As recounted in the post audit report, there are nine factors which are taken into account at initial classification when the inmate enters the system. They are:

<u>Classification Criteria</u>	<u>Possible Points</u>
-Criminal behavior involved in the offense	0 - 2
-Length of minimum sentence	0 - 3
-Past criminal behavior involving violence	0 - 2
-Length of time served	0 - 2
-Escape history	0 - 6
-Escape characteristics	0 - 5
-Unusual escape/assault skills	0 - 1
-Institutional adjustment	0 - 10
-Behavior characteristics affecting custody	0 - 10

The above list of criteria is intended to be comprehensive and to take into account the factors that might lead to violence or escape. It has been demonstrated through the implementation of classification systems of this type that no one factor outweighs all the rest. Rather, it is the additive or cumulative evaluation that is most meaningful in making custody decisions.

Offense as the Primary Factor in Classification

One theme in particular which recurs throughout the report requires some clarification. It concerns the role of the current offense in determining custody classification. Frequently, post-auditors made the distinction between "hard-core" and "lesser offenders" primarily on the basis of the offense committed. The implication is that it is inappropriate to classify more serious offenders as minimum custody. This is incorrect. While the seriousness of the offense is an important factor, it must always be weighed along with other criteria in arriving at a custody decision. Seriousness of offense cannot be selected as the key factor which discriminates high and low risk offenders. The recognition that some serious felons can function effectively in minimum custody settings is a basic reality in corrections that is sometimes misunderstood.

To verify our point regarding the importance of looking at multiple criteria in classification, parole data were examined from July 1, 1981 to June 30, 1983 to determine the offenders by felony class paroled from minimum security settings. The purpose

was to show that the inmates with serious offenses who have been paroled from minimum custody settings have had a low record of incidents while in minimum custody. (This review examined all institutions which have exclusively minimum security space, i.e., Kansas Correctional Vocational Training Center, Toronto Honor Camp, El Dorado Honor Camp, Topeka Work Release, Wichita Work Release, Hutchinson Work Release). The felony offense classes of the group paroled during this two year period are shown below.

Felony Class	Number of Inmates	%
A	0	0
B	62	9%
C	92	13%
D	442	64%
E	97	14%
Total	593	100%

As is illustrated by the above figures, the distribution of offenses among minimum custody offenders housed in minimum security space is spread among the B through E felony classes. Although the vast majority of the offenders were Class D and E felons (539 or 78%), there were a sizeable number (154 or 22%) who were convicted of Class B or C felonies. When this information is combined with the knowledge that there have been no serious incidents committed by these offenders while they were in minimum security programs, the validity of a classification system that uses a multiple criteria approach should be evident.

Mixing Low and High Custody Cellmates

A similar observation can be made when looking at housing practices at KSP and KSIR where inmates of multiple custody levels are housed within the same cell-house. The post-auditors noted ten instances at KSP and one instance at KSIR where a "lesser" offender was being housed with a "hard core" offender. The implication was that this is inappropriate. The only factor being taken into account by the auditor was the offense committed. By looking at a variety of classification criteria, administrative judgement determined the cell pairings to be appropriate. To date there have been no negative consequences in such pairings, and this illustrates how multiple factors are useful in making housing assignments for offenders with varied back grounds.

Expansion of Minimum Custody Space

One final aspect of the post audit report which deserves comment has to do with whether or not there are adequate minimum custody inmates to warrant an expansion of minimum security space. The post auditor states that prison officials expressed caution about putting minimum custody inmates into minimum

security space immediately. While it is true that immediate placement of minimum custody offenders in minimum security space would be difficult, the reasons are not because of the classification of offenders in the system. Currently, many minimum custody inmates inside the main walls at KSP and KSIR are involved in educational/vocational programs, orientation, segregation and institutional work programs. Their current participation in these programs makes a large scale transfer on short notice troublesome. By the time any of the proposed pre-release, work release, honor camps and other minimum custody options are funded, these programmatic problems will have been worked out. Inmates will be starting and completing educational and vocational programs sooner and will therefore be available in adequate numbers. At that time, all offenders, who are (1) minimum custody, (2) within 90 days of parole eligibility, (3) and convicted of a Class B through E felony will be eligible for pre-release. It is expected that 95-97% of all minimum custody inmates will be approved for participation at that time.

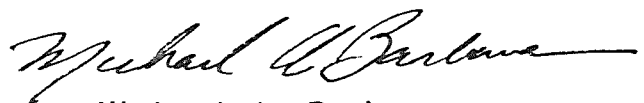
The Kansas prison directors strongly believe that there is a sufficient flow of minimum custody inmates to fill the proposed pre-release centers and additional minimum custody facilities provided there is not a legislative restriction on the felony classes eligible for placement in them.

A detailed analysis of the number of minimum custody inmates available on a monthly basis for pre-release centers is attached. It shows that 57 minimum custody men and six minimum custody women per month will be eligible to participate in the pre-release centers.

Summary

The Department of Corrections relies very heavily on its classification system and the decisions warranted by the evaluations. Occasionally, there are instances where exceptions are made to that decision making process when it is felt that the classification process has underestimated the risk that an offender represents. In the first two years of operation there have been positive results, and as the auditors noted, the Department is engaged in a review of the system. We are committed to a regular internal review and evaluation process in an attempt to have the best possible classification system.

Sincerely,



Michael A. Barbara
Secretary of Corrections

A MODEL FOR PRE-RELEASE

Prepared by: Planning, Research,
Evaluation and Accreditation Unit

Gary L. Kemp, Director
Dick Koerner, Research Analyst

October 27, 1983

A Model for Pre-Release

Introduction

The inmate population in state facilities has risen from 3,008 on June 30, 1982 to 3,509 on September 30, 1983. The addition of 501 inmates represents an increase of 16.7% during the 15 month period. This trend is expected to continue at least until June 30, 1984 at which time it is projected that there will be an inmate census population of 3,868.

These persistent increases in inmate population have prompted the Department to explore options for increasing the amount of correctional space that is available. One of these options involves expanding the number of minimum custody spaces. As part of this expansion concept, the Department is considering establishing three pre-release centers located within the communities of Winfield, Salina, and Topeka. All of the proposed pre-release centers would be located within existing state buildings that are not currently being utilized.

The proposed Winfield and Salina pre-release centers would be designed to house male, minimum custody inmates. The Topeka pre-release center would be established to house female minimum custody inmates.

Program Content

The purpose of the pre-release centers would be to prepare inmates for return to their home communities by providing programs¹ in the following areas:

1. job seeking and job keeping;
2. money management;
3. substance abuse information and group counseling;
4. criminal and civil law information;
5. values clarification;
6. communication skills;
7. intimate relations;
8. problem solving;
9. use of leisure time; and
10. parole supervision information.

Participation by the inmates in these programs, is expected to better prepare them for eventual return to the community.

Pre-Release Center Optimum management Capacity

The optimum management capacity for the pre-release centers under consideration would be as follows:

<u>Center site</u>	<u>Pre-release participants</u>
Winfield	121
Salina	50
Topeka	<u>65</u>
	236

As indicated by the above chart there is correctional space set aside for 236 inmates. Of the total, 171 of these inmates would be males to be housed at Winfield and Salina; while the remaining 65 inmates would be females to be housed at Topeka.

¹ More information is available on this program in an issue paper prepared by Donna Bergen, Deputy Secretary for Community Services on Pre-Release Planning, September 9, 1983.

Flow Chart for Pre-Release

A. Description of the Model Format

The anticipated inmate flow is depicted by Figure 1. The figure attempts to illustrate how the existing and proposed facilities within the Department would be affected.

To begin with, it should be pointed out that all of the population statistics shown in Figure 1 are based on a system-wide population of 3,868, which is the projected inmate population for June 30, 1984. This figure was chosen to illustrate flow because: admissions data indicate that the population level will in fact reach 3,868 by the end of this fiscal year; and the pre-release centers are targeted for completion at approximately the same time.

In designing Figure 1, Departmental facilities were broken down into three different levels. The first level, identified at the far left of Figure 1 shows the facilities and the number of maximum, medium, and close custody² inmates that they are expected to house.

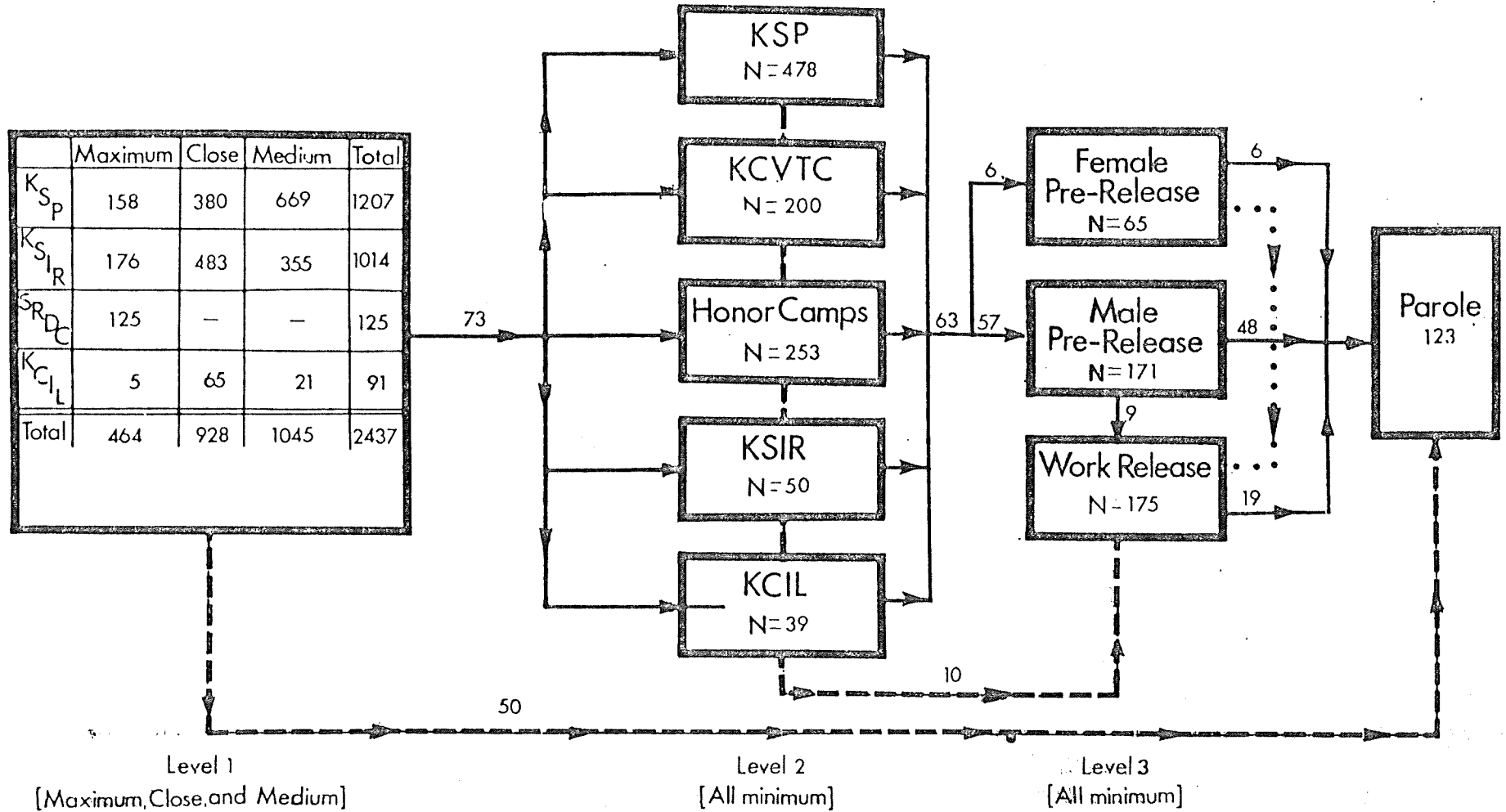
Level 2 shows the facilities that would be proposed to house minimum custody inmates in locations other than pre-release and work release centers. The level 2 facilities include provision for the addition of two new honor camp facilities which will house 64 inmates each (128 total), and provision for 478 minimum security inmates to be located at the Kansas State Penitentiary. Of this number 300 are expected to be housed at Outside Dorm #2 and the remainder would be housed in more secure space. Level 3 facilities include the pre-release centers and all of the

² These custody figures were based on the proportionate distribution of custody classes for the inmate population as of September 15, 1983. All population figures were adjusted proportionately to reflect the predicted custody breakdown as of June 30, 1984.

KANSAS DEPARTMENT OF CORRECTIONS

Figure 1

Flow Chart for Pre-Release and Work Release



- Inmates who exit the system monthly without going through Pre-Release
- Inmates who are part of the normal monthly flow for Pre-Release
- Potential future Work Release flow

work release centers (including a proposed new work release center to be located in the Kansas City area that would house 50 inmates).

B. Designation of Separate Pre-Release Facilities for Males and Females

As mentioned earlier, separate facilities have been designated for male and female pre-release programs. Due to vast differences in the flow of males and females through the system, the program participant requirements differ as follows:

1. Male pre-release participants will be eligible if they are: within 90 days of parole eligibility; minimum custody; and sentenced on a Class B, C, D, or E felony. These persons would go directly to parole from pre-release. Parole eligibility data for early FY 1984 indicate that there are 48 male inmates each month that would fit this category, and could be processed through pre-release. In addition, there is a second group of male inmates that could be processed through pre-release. These individuals would have to be: within 8 to 9 months of parole eligibility; minimum custody; and sentenced on a Class B, C, D, or E felony. These inmates would go from pre-release to work release, and then to parole. This group would provide 9 individuals per month to pre-release and ultimately to work release at the end of their pre-release stay.

Thus, based on the above figures, a total of 171 males (i.e., three month accumulation) could be housed in pre-release for males at

any given time. This group would have a monthly input and output of 57 males per month.

2. Female Pre-Release Participants will be eligible if they are: within 10 months of parole eligibility; minimum custody; and sentenced on a Class B, C, D, or E felony. All female offenders going through pre-release would go directly to parole from pre-release. Later on, it is hoped that a work release component can be added to the female pre-release center in Topeka.

The rationale for making the program for minimum custody females longer than for males is that there is too few female inmates within 90 days of parole eligibility at any given point in time. At present there are 6 females per month who are eligible for parole, which would mean that a 90 day program would only support about 18 women. However, since female programs need improvement within the department, it was decided to make the female pre-release program about 10 months in length to accommodate up to 65 minimum security females in a pre-release program setting.

Conclusion

Over the past several years, attempts have been made to mitigate the abrupt change from inmate to parolee. The development and utilization of work release programs, honor camps, and furloughs have been especially helpful in this regard. Despite these efforts, however, the majority of inmates paroled are released directly from a maximum security facility and, even if their custody status prior to release is minimum, they experience an abrupt change in the level of supervision provided. Such a change, coupled with, in many cases, an inadequate parole preparation program within the facility, is often felt to be associated with parole adjustment difficulty and/or failure.

If the transition from inmate to parolee is to be made easier, it seems that: 1) the flow of inmates through the correctional system needs to change so that a greater proportion of inmates are channeled through minimum security facilities, and 2) a concentrated effort needs to be made to better prepare inmates to assume the responsibilities of a parolee through the establishment of pre-release centers. In addition, it will provide the Department with an additional 236 minimum custody bed spaces that are urgently needed.

February 5, 1984
Attachment # 4

LEGISLATIVE POST AUDIT SURVEY RESULTS—

INMATE REHABILITATION AND RECIDIVISM

During the performance audit of Correctional Industries and Inmate Rehabilitation, Legislative Post Audit conducted a survey of parolees released between January and June 1982 from all Kansas correctional institutions. The Correctional Industries and Inmate Rehabilitation audit focused on the Kansas State Penitentiary. In this survey, the auditors did gather information for all other correctional institutions as well, and the additional information on other institutions may be useful to legislators and executive officials.

Outlined below is a summary of the answers to the survey questions. While extensive analysis was not performed on inmates at these other institutions, Legislative Post Audit wanted to make this data available. This information was obtained by mailing surveys to parole officers throughout the state. Legislative Post Audit takes this opportunity to thank these parole officers for their cooperation and timely completions of the survey.

Questions about the information on the survey should be directed to Robin Hunn or Ellyn Rullestad, members of the Legislative Post Audit staff. They can be reached at 296-3792 (KANS-A-N 561-3792).

What Institutions Were Included in the Survey?

The survey covered inmates paroled from all of the various correctional institutions. The auditors sent surveys for all inmates paroled between January and June 1982. These surveys were sent to the inmates' parole officers. Out of a total of 551 surveys sent, Legislative Post Audit received 475 responses, or an 86 percent response rate. The following table shows the number of responses broken down by the institutions inmates were paroled from.

<u>Institution</u>	<u>Number of Inmates In Survey</u>
Kansas State Penitentiary	149
Kansas State Industrial Reformatory	193
Kansas Correctional Vocational Training Center	48
Kansas Correctional Institution in Lansing	10
Wichita Work Release Center	39
Topeka Work Release Center	25
Hutchinson Work Release Center	7
Toronto Honor Camp	3
El Dorado Honor Camp	<u>1</u>
Total	<u><u>475</u></u>

If the Parolee Has Not Returned to Prison, Is He Employed?

The auditors asked whether those inmates who were still on parole, and had not returned to prison, were employed at the time the survey was filled out. As the following chart shows, most inmates on parole were employed. The rate is very similar for the two larger institutions. The rate for the Kansas Correctional Vocational Training Center seems to be somewhat lower, while the rate for the Wichita Work Release Center is somewhat higher. The overall average rate of employment was 66 percent.

<u>Institution</u>	<u>Number of Inmates Still On Parole</u>	<u>Number of Inmates Employed</u>	<u>Percentage</u>
Kansas State Penitentiary	92	63	69%
Kansas State Industrial Reformatory	123	81	66%
Kansas Correctional Vocational Training Center	38	20	53%
Kansas Correctional Institution in Lansing	9	6	67%
Wichita Work Release Center	27	21	78%
Topeka Work Release Center	19	13	68%
Hutchinson Work Release Center	3	2	67%
Toronto Honor Camp	2	2	100%
El Dorado Honor Camp	1	0	<u>0%</u>
Overall Average			<u><u>66%</u></u>

What Types of Jobs Do Parolees Get?

The survey was also used to obtain information on the types of jobs parolees had while they were on parole. The auditors obtained information for both parolees who returned to prison and those who did not. While some parolees may have had several jobs during their parole, the auditors only obtained information on the longest-held job the parolee had. (Some inmates held no jobs during their parole, or else the parole officer had no information on the type of job held.)

<u>Type of Job</u>	<u>Number of Inmates</u>
Laborer	92
Cook/Food Service	46
Construction	28
Mechanic	23
Sales	17
Janitor	15
Maintenance	14
Painting	12
Farming	11
Welding	10
Truck driver	10
Trash hauler	9
Factory	9
Nurses aide	8
Lawn care/tree-trimming	8
Clerk	7
Roofing	7
Self-employed	5
Miscellaneous (barber, laundry, gas station, cab driver, etc.)	<u>26</u>
	<u><u>357</u></u>

Description of the Parolee's Skill Level

The survey also asked the parole officers to describe the skill level of the parolee on his longest-held job. Specifically, the auditors asked the officers to rank the parolee's skill level as unskilled, semi-skilled, or skilled. It should be noted that this rating involved the judgment of the parole officer.

As can be seen in the table, the distributions by skill level are almost identical for the three largest institutions. The Work Release Centers seem to have a greater proportion of skilled and semi-skilled parolees than the maximum security institutions do. Again, the small number of inmates from the Honor Camps do not allow conclusions to be made about these institutions.

<u>Institution</u>	<u>Unskilled</u>	<u>Semiskilled</u>	<u>Skilled</u>
Kansas State Penitentiary	50%	40%	10%
Kansas State Industrial Reformatory	51%	39%	10%
Kansas Correctional Vocational Training Center	50%	42%	8%
Kansas Correctional Institution in Lansing	38%	38%	24%
Wichita Work Release Center	40%	30%	30%
Topeka Work Release Center	22%	50%	28%
Hutchinson Work Release Center	20%	80%	0%
Toronto Honor Camp	50%	50%	0%
El Dorado Honor Camp	0%	0%	100%

How Long Has the Parolee Been at His Longest-Held Job?

The survey also asked how long the parolee had worked at his longest-held job. The answer to this question is partly a function of whether the parolee returned to an institution. Because of the way the survey was set up, all parolees could have had at least twelve months on parole. Many parolees, however, returned to prison before this twelve month period was over, so their length of time on their job will lower the overall average length of time spent on a job. As the chart shows, the two larger Work Release Centers and the Kansas Correctional Institution in Lansing had the largest percentage of parolees who had a job for twelve months or longer. The State Reformatory had a significantly lower percentage of parolees who had a job twelve months or longer.

<u>Institution</u>	<u>0-5 Months</u>	<u>6-11 Months</u>	<u>12 Months or More</u>
Kansas State Penitentiary	62(60%)	15(15%)	26(25%)
Kansas State Industrial Reformatory	91(61%)	37(25%)	20(14%)
Kansas Correctional Vocational Training Center	18(51%)	9(26%)	8(23%)
Kansas Correctional Institution in Lansing	1(14%)	3(43%)	3(43%)
Wichita Work Release Center	8(26%)	11(35%)	12(39%)
Topeka Work Release Center	8(44%)	2(12%)	8(44%)
Hutchinson Work Release Center	0(0%)	4(100%)	0(0%)
Toronto Honor Camp	2(100%)	0(0%)	0(0%)
El Dorado Honor Camp	1(100%)	0(0%)	0(0%)

How Many Jobs Has the Parolee Had Since the Start of His Parole?

This question was asked to find out whether parolees typically held a steady job or jumped from job to job during their parole. Again, the results here are partly a result of the length of time the parolee was on parole. If he returned to an institution after only a short period of time, it may be more likely that he would have held only one job, or no jobs.

As the table shows, the most typical number of jobs held was one or two. The lower table also shows that this was generally true for all institutions--the average number of jobs held was fairly consistent. The average number of jobs for the Reformatory was somewhat higher than the average for the Penitentiary parolees, but the averages show that most parolees had one or two jobs.

<u>Number of jobs on parole</u>	<u>Number of parolees</u>
0	89
1	155
2	100
3	53
4	33
5	14
6	8
7 or more	6

<u>Institution Paroled From</u>	<u>Average Number of Jobs Held</u>
Kansas State Penitentiary	1.6
Kansas State Industrial Reformatory	2.0
Kansas Correctional Vocational Training Center	1.8
Kansas Correctional Institution in Lansing	1.5
Wichita Work Release Center	1.8
Topeka Work Release Center	1.2
Hutchinson Work Release Center	1.6
Toronto Honor Camp	1.7
El Dorado Honor Camp	1.0

What Are the Most Common Reasons Why Parolees Still Out of Prison Don't Have Jobs?

For those parolees who did not have jobs, yet had not returned to an institution, the parole officers were asked to state their opinion why the parolee was not employed. The low number of responses to this question reflects the fact that the majority of the parolees were employed. (Also, some parole officers did not give a response to this question.) Because of the low number of responses, this information is presented in an aggregated form, rather than for each institution. As can be seen, the most common reasons were that the parolee was disabled or did not want to work.

<u>Reason</u>	<u>Number of responses</u>
Disabled	21
Did not want to work	20
Attending school/training	7
Limited employment skills	4
No jobs available in area	3
Other	8

Does the Parolee Have Other Sources of Income to Rely On Besides Employment?

The survey also asked whether parolees had income other than employment which they could rely on during their parole. Out of 415 responses to this question, only 113 parolees, or 27 percent, had other sources of income or support. (It should be noted that many of those who had no other source of income listed did return to an institution.) The bottom chart shows that the most common types of other income or support were assistance from family or welfare.

Does the Parolee Have Other Sources of Income Besides Employment?

Yes	113	27%
No	<u>302</u>	<u>73%</u>
Total	<u>415</u>	<u>100%</u>

<u>Types of Other Income/Support</u>	<u>Number of responses</u>
Assistance from family	50
Welfare	47
Social Security or Disability	14
Theft	4
Odd Jobs	3
Assistance from friends	3
School grants	3
Prostitution	2
Unemployment insurance	1
Investment income	1

What Are the Reasons Which May Limit Parole Success?

The survey also asked the parole officers what they felt was the major barrier to the parolee's successful completion of his parole. The following responses cover both those who returned to an institution and those who did not--thus, it includes opinions on the reasons for actual parole failures, as well as opinions on why other parolees might, in the future, fail on their parole.

Some parole officers listed more than one reasons for a single parolee. Thus, the information in the chart reflects the number of responses, not the number of inmates. Because of this, the auditors calculated a responses per inmate rate, to better reflect the frequency of a particular reason.

<u>Reasons Cited Which May Limit Parole Success</u>	<u>Number of Responses</u>	<u>Response Rate</u>
Alcohol	121	25%
Lazy or Irresponsible	86	18%
Drugs	70	15%
Limited employment capabilities	68	14%
Association with criminals/career criminal	66	14%
Emotional problems	50	11%
Other	19	4%
No apparent problems which would limit success	<u>72</u>	15%
	<u>552</u>	

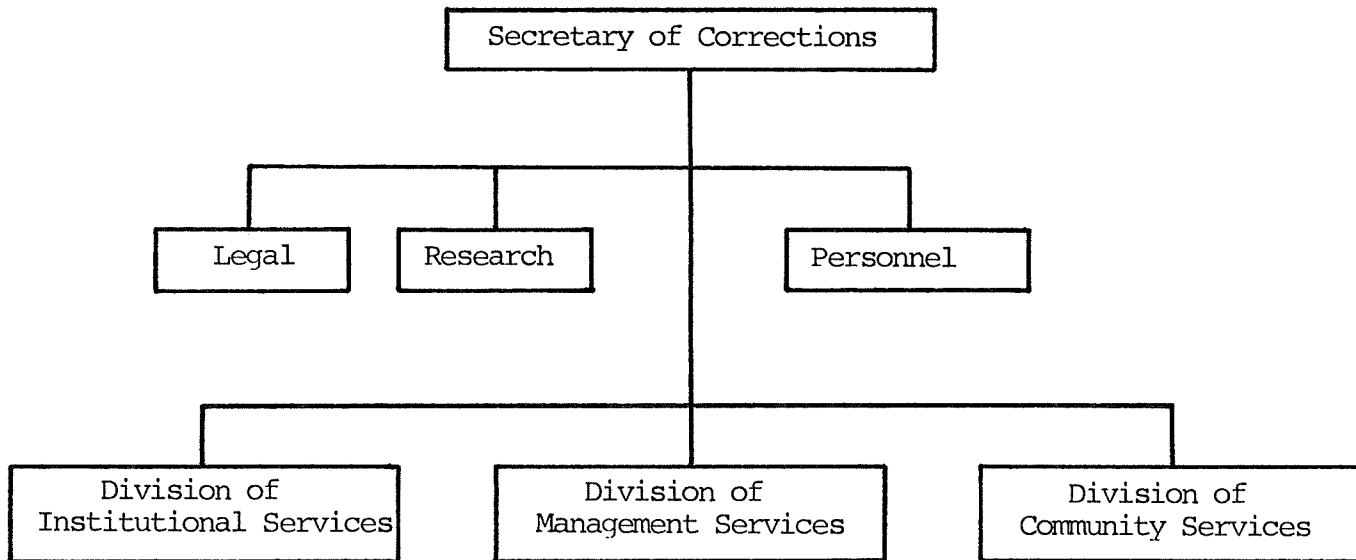
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*Attachment #5
2/8/84*

**A BRIEF OUTLINE
OF
DEPARTMENT OF CORRECTIONS**

Michael A. Barbara, Secretary

January, 1984



Security
 Medical
 Investigation
 Architectural
 Facilities
 ● KSP
 ● KSIR
 ● KSIL
 ● KCVTC
 ● SRDC
 ● Honor Camps

Data Processing
 Management Analysis
 Records
 Fiscal
 ● Accounting
 ● Auditing
 ● Purchasing
 ● Payments

Parole
 Jail Inspection
 Community Corrections
 Work Release
 Pre-Release

KANSAS DEPARTMENT OF CORRECTIONS
 Organizational Chart

DEPARTMENT OF CORRECTIONS

Functions By Division

Secretary of Corrections

- Chief Executive Officer appointed by Governor.
- In charge of overall management and supervision.

The Department is divided into three separate divisions:

Institutional Services
Community Services
Management Services

Additionally, the Secretary has direct staff for Legal, Research, Planning and Accreditation, and Personnel and Training.

The Secretary of Corrections has the general supervision and management of the correctional institutions of the state and such other facilities for the housing of offenders in his custody. All prisoners sentenced to the custody of the Secretary of Corrections by Kansas district courts shall be confined in any institution or facility under the Secretary's supervision and management or to any contract facility as directed by the Secretary.

The Department has no control over the number of inmates sentenced to the custody of the Secretary, as the authority lies solely in the district courts of the state.

The Kansas Adult Authority has the sole authority to release inmates on parole.

Under K.S.A. 21-4603, the Secretary of Corrections may recommend to the sentencing court a reduction of the minimum sentence for an inmate. The court, upon hearing in open court, may reduce the minimum term of confinement at any time before the expiration thereof when such reduction is recommended by the Secretary of Corrections and the court is satisfied that the best interests of the public will not be jeopardized and that the welfare of the inmate will be served by such reduction.

Division of Institutional Services

- Headed by a Deputy Secretary of Corrections.

- Currently has seven correctional facilities:

- Kansas State Penitentiary
 - Kansas State Industrial Reformatory
 - Kansas Correctional Institution at Lansing
 - Kansas Correctional-Vocational Training Center
 - State Reception and Diagnostic Center
 - Toronto Honor Camp
 - El Dorado Honor Camp

- The FY 1985 budget contains a third honor camp.
- Security Chief also handles transfers and reviews furloughs.
- Special Investigator.
- Development of Correctional Industries.
- Inmate Medical Services.
- Architectural Services Coordinator.

Division of Community Services

- Headed by a Deputy Secretary.
- This division has three main units:
 - Parole Services
 - state is divided into 5 regional field offices.
 - supervises individuals released from institution by KAA.
 - supervises interstate compact probation and parole cases.
 - caseload currently averages 62 clients per parole officer.
 - develops individualized correctional plans using a variety of community services to maximize the opportunities for offenders to remain in the community as a law-abiding self-reliant citizen.
 - Jail Inspection Services
 - develops advisory safety and sanitation standards for local confinement.
 - periodical inspections.
 - presents to local officials and judges needed improvements.
 - Work Release
 - Hutchinson, capacity 21.
 - Topeka, capacity 45.
 - Wichita, FY 85 capacity 75.

- Pre Release

- prepares offenders for parole through educational programs designed to assist their successful and productive re-entry into society.
- two facilities are being established in existing SRS buildings in Topeka and Winfield.

- Community Corrections Grants

The Kansas Community Corrections Act was passed by the Legislature in 1978 to both provide less costly alternatives to incarceration and reduce the number of non-violent offenders admitted to state correctional institutions. Counties that choose to participate are eligible for a state subsidy to help develop and fund local correctional services such as restitution programs, victim services, prevention or diversionary programs, and treatment for offenders. The Department provides technical assistance to participating counties in developing programs suited to non-violent felons and juvenile offenders.

A FY 1985 budget request of \$4,839,277 includes \$130,000 for Montgomery County, \$30,000 in planning funds for three counties or county units, and \$487,000 for reinstatement of Johnson County in January, 1985.

Division of Management Services

- Headed by a Deputy Secretary.

- Provides support services in four major areas:

- Data Processing

- operates a small IBM System 34 from Central Office.
- on-line terminals at five institutions.
- currently, 61% is dedicated to the KDOC Inmate Tracking System.
- Inmate Payroll, Inmate Trust Fund, and Custody Classification use 9% of the system space.
- Department Salary and Wages, Accounting and Obligation Control assume 10% of the space.
- operating systems and support use 20% of the space.
- system provides a valuable research tool for the entire department.
- \$47,000 is requested in FY 1985 budget for system upgrade to allow for the continuation of service delivery with increasing populations.

- Fiscal Management
 - prepares budget for submission.
 - processes purchasing and payments for:
 - central office divisions
 - honor camps
 - work release centers
 - pre release centers
 - performs routine audit functions.
 - controls agency funds and expenditures and contract monies.
 - purchases and controls inventory, supplies.
- Management Analyst
 - prepares reports.
 - writes fiscal notes.
 - performs fiscal research.
 - analyzes staffing patterns.
 - routine support functions.
- Inmate Records Section
 - maintains inmate files.
 - microfilms and preserves records.
 - verifies parole eligibility lists.
 - supervises security of records.

Other Direct Staff to Secretary

•Personnel

- Supervises EEO and Training.
- Oversees recruitment, promotion and retention.
- Develops policy for employee relations such as grievances.

•Research

- Serves department for research, planning, evaluation and accreditation projects.

•Legal

- Provides advice and counsel on department legal matters.
- Handles inmate grievances and disciplinary appeals.
- Provides advice on statutory questions and legislative action.
- Prepares defense on departmental litigation as requested.

•Administrative Assistant to Secretary

- Serves the Secretary as public information officer.
- Legislative liaison, interdepartmental coordinator.

- Responds to inmate correspondence as assigned.
- Prepares responses to outside requests for information.

Kansas State Penitentiary

- Maximum security institution located at Lansing. Population is generally older.
- Two outside dormitories in addition to four cellblocks located within the major perimeter.
- Programming consists of education, vocational training, facility maintenance details, and industries. Non prison paid employment through Zephyr Industries.
- As of 1/22/84, housed 1760 offenders with an FY 1984 to date ADP of 1654.
- Several capital improvement projects scheduled for completion and/or requested in FY 1985 budget:
 - medium security unit
 - reconfiguration of electrical system
 - reserve for water system improvements
 - study for steam generating system
 - new locking system in "B" cellhouse
 - renovation of locking system in "C" cellhouse
- "B" and "D" cellhouse renovation is completed. "C" cellhouse renovation is expected to be completed in January, 1985. "A" cellhouse funds will be requested in FY 1986.

Kansas State Industrial Reformatory

- Maximum security institution located at Hutchinson. Houses a generally younger population.
- A, B and C cellhouses recently renovated. D cellhouse scheduled for renovation over FY 1985 and FY 1986.
- 96 man modular unit on line October, 1984.
- Programming emphasizes education and vocational training. Maintenance details and one industries operation are also included in program efforts.
- As of 1/22/84, housed 1210 offenders (including HWRC) with an FY 1984 to date ADP of 1158.

Kansas Correctional Institution at Lansing

- Minimum security co-correctional facility at Lansing.

- Programming includes education, maintenance details, an industries operation, and access to non-prison paid employment via Zephyr Industries.
- As of 1/22/84, housed 193 offenders (161 females and 32 males). The FY 1984 to date ADP was 168, or 125 females and 43 males.
- New food service facility requested for FY 1985 and FY 1986.

Kansas Correctional-Vocational Training Center

- Co-correctional minimum security facility located at Topeka.
- Primary programming emphasis is on vocational training. Programs of education and institutional maintenance are also available.
- As of 1/22/84, housed 198 offenders.

State Reception and Diagnostic Center

- Post-sentence evaluations on all male felons committed to Secretary of Corrections.
- Pre-sentence evaluations upon request.
- Housed 133 offenders awaiting evaluation on 1/22/84. Year to date ADP for FY 1984 was 128.

Honor Camps

- Minimum security facilities located at Toronto and El Dorado Reservoirs.
- Third honor camp planned for FY 1985.
- Housed 61 at Toronto and 55 at El Dorado on 1/22/84. Respective FY 1984 to date ADP's were also 61 and 55.

Correctional Industries

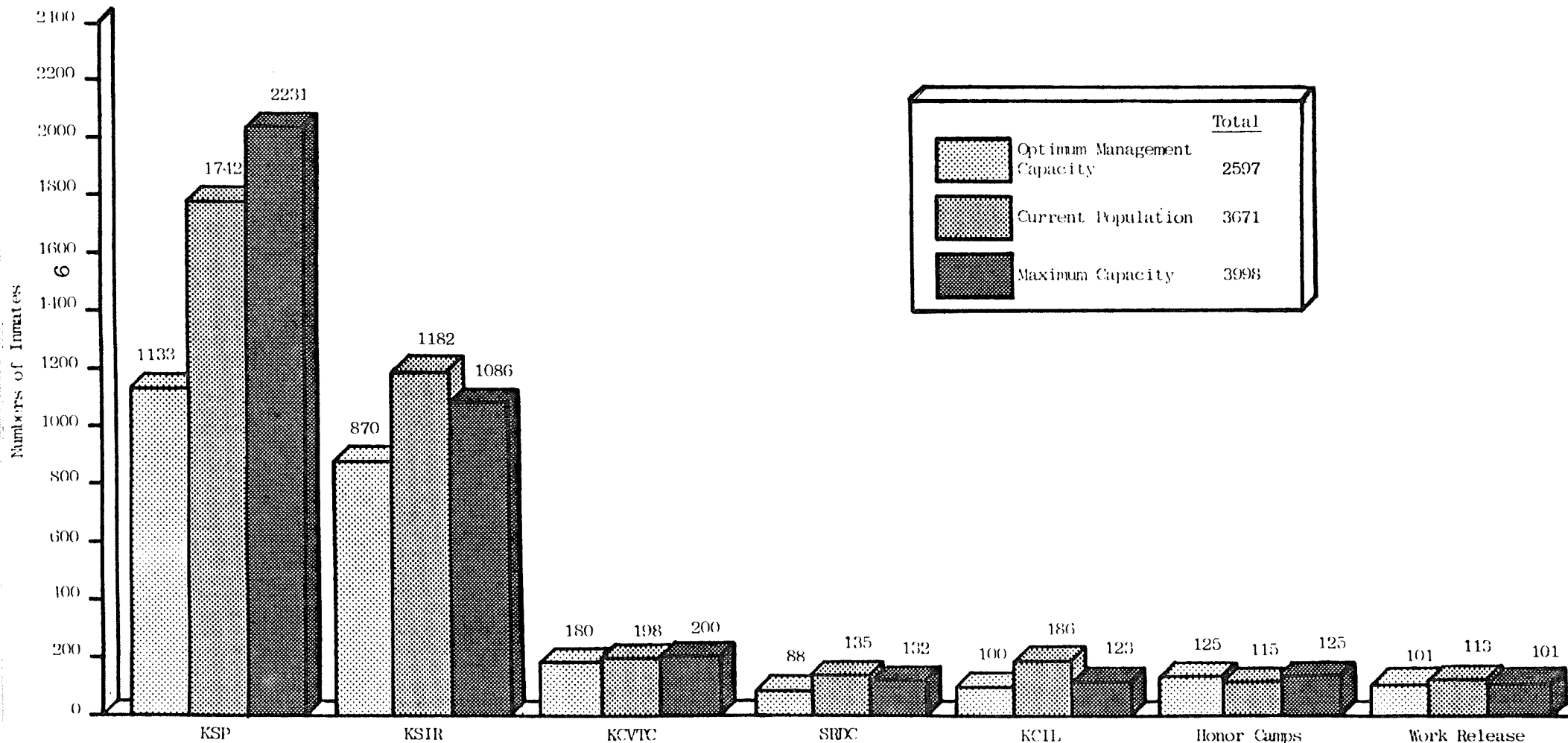
The Department is committed to improve opportunities for all inmates to develop marketable skills to better prepare them for the job market upon release. In addition to the various industries operated by the Department including farm, furniture, clothing, manufacture of paint, soap and wax products, signs and metal products, the Department encourages the private sector to contract for the employment of inmates within and without the walls of our prisons. Presently, a private entrepreneur employs approximately 20 inmates in the Zephyr plant in Lansing and approximately 12-14 inmates in the paint factory within KSP.

In FY 1985, a data entry project is planned to enter data on computer tape cards or disks on a contract basis. With an additional 10-15 inmates on this new project, it will bring our total inmate job employment to over 200 planned positions in our correctional industries project.

A correctional industry advisory committee, consisting of business, labor, and public sector offers invaluable assistance and advice for the Secretary in formulating policy and direction for enhancement of industrial development with a rational approach.

KANSAS DEPARTMENT OF CORRECTIONS

Current Population Compared to Optimum Management Capacity and Maximum Capacity
Census as of 12-31-83*



*Capacity figures are taken from the Department of Corrections, Correctional Facility Capacity Report, January 1981 (Revised). Inmates assigned to Larned State Hospital or in contract jail placement are not included in any of the figures.

SUMMARY OF BUDGET REQUESTS/GOVERNOR'S RECOMMENDATION

	<u>FY 83</u> <u>ACTUAL</u>	<u>FY 84</u> <u>ESTIMATE</u>	<u>C LEVEL</u>	<u>GOV. BUDGET</u>
KCIL	\$ 1,982,874 72.0	\$ 2,610,261 78.0	\$ 3,292,152 97.0	\$ 2,889,860 82.0
KCVTC	3,122,248 102.4	3,376,608 102.4	4,491,227 104.0	4,100,378 103.5
<u>CENTRAL</u>				
<u>CENTRAL</u>	1,438,896 41.5	1,496,352 39.5	1,802,905 42.5	1,664,293 40.5
INDUSTRIES	2,926,000 25.0	3,344,369 26.0	3,866,800 27.0	3,868,366 27.0
COMM. SVS.	2,670,378 99.5	3,990,926 204.5	6,357,053 215.0	5,929,303 205.5
HONOR CAMPS	986,311 31.0	1,123,763 31.0	1,634,990 51.0	1,495,954 46.0
CCA	2,600,303 4.0	3,836,075 4.0	5,458,769 4.0	4,971,969 4.0
CAP. IMP.	<u>466,175</u>	<u>2,373,273</u>	<u>2,090,430</u>	<u>1,750,000</u>
TOTAL	11,088,063 201.0	16,164,758 305.0	21,210,947 339.5	19,679,885 323.0
OMBUDSMAN	-----	NOT INCLUDED	-----	-----
KSIR	10,095,359 301.5	11,246,665 305.5	16,210,139 358.5	14,256,747 329.5
KSP	19,348,453 417.5	23,256,857 431.5	28,431,019 578.0	23,448,290 525.5
SRDC	2,826,381 <u>107.5</u>	3,051,222 <u>105.6</u>	3,288,500 <u>107.6</u>	3,244,456 <u>105.6</u>
GRAND TOTAL	\$48,463,378 1,201.9	\$59,706,371 1,328.0	\$76,923,984 1,584.6	\$67,619,616 1,469.1

FY 1984 EMERGENCY FUNDING: \$2,432,778

FY 1985 AND EMERGENCY: \$70,052,394

RAS:mkb
01/12/84

Staffing Category by Classification/Area of Responsibility	Positions Kansas Department of Corrections - FY '84										1/24/84	
	KSP	KSIR	KCIL	SRDC	KCVTC	HC	WRC	WPR	TPR	KCI	OTHER	TOTAL
Secretary/Director	1	1	1	1	1	1	-	1	1	1	1	10
Deputy Director/Secretaries	2	2	1	-	1	-	-	-	-	-	3	9
Admin. Officer/Corr. Admin.	4	2	1	1	1	-	-	1	1	-	4	15
Work Release Supervisor	-	1	-	-	-	-	2	-	-	-	-	3
Corr. Classification Admin.	1	1	-	1	-	-	-	-	-	-	-	3
Corrections Supervisor	16	14	4	6	6	2	1	1	1	-	-	51
Corrections Officer	254	172	41	48	53	20	21	41	24	-	-	674
Construction Supervisor	4	-	-	-	-	-	-	-	-	-	-	4
Carpenter	1	4	-	-	1	-	-	-	-	-	-	6
Electrician/Air Conditioning	5	3	-	1	1	-	-	-	-	-	-	10
Painter	2	2	-	-	-	-	-	-	-	-	-	4
Plumber	4	2	-	1	-	-	-	-	-	-	-	7
Physical Plant Supervisor	3	3	1	1	-	-	-	-	-	-	-	8
Architect	-	-	-	-	-	-	-	-	-	-	1	1
Maintenance Technician	8	-	1	1	2	-	-	1	1	-	-	14
Power Plant Operator	6	5	5	-	-	-	-	-	-	-	-	16
Food Service	15	11	5	7	8	2	3	-	-	-	-	51
Farm Manager	-	-	-	-	-	-	-	-	-	1	-	1
Prison Industries Supt.	-	-	-	-	-	-	-	-	-	13	-	13
Medical Doctor	2	1	0.5	0.6	0.4	-	-	-	-	-	-	4.5
Psychiatrist	-	1	0.5	5	-	-	-	-	-	-	-	6.5
Nurse	3	6	1	2	2	-	-	1	1	-	-	16
Medical Assistant	7	-	2	-	-	-	-	-	-	-	-	9
Psychologist	4	3	1	7	1	-	-	-	-	-	-	16
Personnel Officer	1	1	-	-	-	-	-	-	-	-	2	4
Social Worker	2	1	1	9	4	-	-	2	1	-	-	20
Corrections Counselor	19	17	3	-	6	2	5	4	2	-	-	58
Probation & Parole Officer	-	-	-	-	-	-	-	-	-	-	36	36
Probation & Parole Supv.	-	-	-	-	-	-	-	-	-	-	6	6
Unit Team Manager	7	5	1	-	1	-	-	-	-	-	-	14
Athletic	2	2	-	-	2	-	-	-	-	-	-	6
Chaplains	2	2	-	1	1	-	-	-	-	-	-	6
Training	1	1	-	-	1	-	-	-	-	-	-	3
Dentist	1	1	-	-	-	-	-	-	-	-	-	2
Pharmacist	1	0.5	-	-	-	-	-	-	-	-	-	1.5
Attorney	1	1	-	-	-	-	-	-	-	-	2.5*	4.5*
Other	52.5	40	8	13	10	4	5.8	11	8	11	51.7	215
Total	431.5	305.5	78	105.6	102.4	31	37.8	63	40	26	107.2*	1328.0*

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*0.5 attorney carried against limitation of Governor's Office.

KANSAS DEPARTMENT OF CORRECTIONS

Additional Positions Requested for FY 1985

Class	KSP	KSIR	KCVTC	KCIL	SRDC	DOC				TOTAL
						HC	WR	IND.	CENT.	
Correctional Supervisors and Officers	*76.0	*17.0		1.0		*12.0	1.0			107.0
Unit Team Supervisors and Corr. Counselors	*10.0	*5.0								15.0
Food Service	*6.0	*2.0		2.0		*1.0				11.0
Athletics & Recreation	*1.0			1.0						2.0
Medical Doctors and Nurses			1.1							1.1
Storekeeper/Supply	*1.0									1.0
Industries Supervisor								1.0		1.0
Clerical						*2.0			1.0	3.0
TOTAL	94.0	24.0	1.1	4.0		15.0	1.0	1.0	1.0	141.1

*Positions directly tied to capital improvement projects resulting in increased population capacity.

1/17/84

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