

MINUTES OF THE HOUSE APPROPRIATIONS COMMITTEE

The meeting was called to order by Chairman Melvin Neufeld at 9:00 a.m. on February 4, 2004 in Room 514-S of the Capitol.

All members were present.

Committee staff present:

J. G. Scott, Legislative Research
Amy VanHouse, Legislative Research
Deb Holman, Legislative Research
Michele Alishahi, Legislative Research
Jim Wilson, Revisor of Statutes
Mike Corrigan, Revisor of Statutes
Nikki Feuerborn, Administrative Analyst
Shirley Jepson, Committee Secretary

Conferees appearing before the committee:

Barb Hinton, Legislative Post Audit
Chris Clarke, Supervising Auditor, Legislative Post Audit
Jared Maag, Deputy Attorney General, Attorney General's Office
Randy Hearrell, Kansas Judicial Council

Others attending:

See Attached List.

- Attachment 1 Request by Social and Rehabilitation Services (SRS) for introduction of legislation regarding the child welfare tuition program.
- Attachment 2 Review of Legislative Post Audit Key Findings & Audit-Related Issues
- Attachment 3 Presentation by Jared Maag, Office of Attorney General
- Attachment 4 Presentation by Randy Hearrell, Kansas Judicial Council

Representative Schwartz moved to introduce legislation pertaining to the state water plan fund. The motion was seconded by Representative Osborne. Motion carried.

Representative Feuerborn moved to introduce legislation concerning state finance council voting procedures. The motion was seconded by Representative Howell. Motion carried.

Representative Bethell moved to introduce legislation, at the request of Social and Rehabilitation Services (SRS), regarding the child welfare tuition program. The motion was seconded by Representative Ballard. Motion carried. (Attachment 1)

Chairman Neufeld recognized Barb Hinton, Legislative Post Audit, who presented an overview of key findings and audit-related issues since the 2003 legislative session; audits currently under way or approved to be done; and audits issued during the last three years (Attachment 2). As a result of the food safety program audit, the audit showed that consolidation of all food safety-related inspections into a single agency would save the state approximately \$680,000. The Community Development Disability Organization (CDDO) audit, issued in October 2003, showed an inherent conflict of interest in the CDDO structure with CDDO's in competition with the Community Service Providers (CSP) that they contract with. The audit recommends the separation of client intake and service referral functions to allow service providers to receive discretionary state aid; however, the audit did not conclude that reorganization and consolidation of CDDO's would result in significant advantage to the system.

An audit conducted at the Kansas Department of Health and Environment (KDHE) showed that the agencies' computer security was at extremely high risk of fraud and misuse. This finding resulted in plans to perform other high-level audits of state agencies' computer security. A lack of prenatal care resulting in low-

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birthweight and premature babies has cost the Medicaid program excessive dollars. That audit recommends addressing women's awareness of prenatal-care programs. Another recommendation from an audit of the state's ability to draw down more federal funds, recommends that the Medicaid rate paid for special education services could be raised without federal approval. SRS has raised these rates and this action could result in an estimated increase of approximately \$7 million. An audit of Medicaid funds used for payroll compensation to payroll agents for home and community-based waiver programs, shows that payroll agents in Kansas are billing in excess of the amounts billed by other states. It was recommended that the Department on Aging address the issue. Responding to questions from the Committee concerning the fraudulent overcharge billed by payroll agents, Ms. Hinton noted that she did not know if any charges had been filed but would research and provide this information to the Committee. Ms. Hinton stated that some states use a bid process to contract for payroll agents. Ms. Hinton also noted that she would provide information, as requested by the Committee, as to whether any states provide a flat charge to payroll agents as opposed to an hourly rate. With reference to the CDDO audit and a question from the Committee, Ms. Hinton indicated that the audit showed a potential conflict of interest in quality assurance reviews and felt the audit showed further study is needed to address the separation of CDDO's and CSP's. Responding to a question from the Committee concerning the criticism of West Nile Virus reporting by KDHE, Ms. Hinton indicated that KDHE is currently entering information by hand as opposed to electronically and this has caused a delay in having current information available.

The Chair thanked Ms. Hinton for her presentation.

Chairman Neufeld recognized Chris Clarke, Supervising Auditor, Legislative Post Audit, who presented an overview of the "Performance Audit Report on Costs Incurred for Death Penalty Cases: A K-GOAL Audit of the Department of Corrections" completed by Legislative Post Audit in December 2003 (a copy of this report is available from Legislative Post Audit). The audit examined the total State and local costs of cases involving the death penalty; steps Kansas could take to reduce overall costs in capital punishment cases; and alternative sentences to the death penalty estimated to be less costly to governmental entities. The audit recommends the Judicial Council be requested to review potential cost saving measures highlighted in the report and provide recommendations as to which of those measures are most appropriate to consider in Kansas; and recommends that the Board of Indigents' Defense Service provide a sufficient number of qualified and trained staff so that death penalty cases do not need contracted counsel because of the workloads of existing staff, look at the feasibility of establishing a conflicts office; and look at whether there are cost controls other states have implemented that Kansas could adopt.

Responding to a question from the Committee, Ms. Clarke stated that billing and expense records are available for contracted-out counsel; however, hourly billing cost records are not maintained by local prosecutors or the Attorney General's office. The State bears approximately 85% of the costs in death penalty cases even though the local county or district attorney decides whether to prosecute a case as a death penalty. Ms. Clarke noted that cost referred to in the audit include the rate of inflation and longevity. In response to a question from the Committee, Ms. Clarke stated that "conflict of interest" was the reason different attorneys were assigned in the trial of the two Carr brothers, noting that there was the possibility of one of the brothers testifying against the other. Ms. Clarke noted that the Board of Indigents Services was not able to provide information on plea bargain cases at the time of the audit; however, has now reported that this information is available and will be provided to the Committee. Chairman Neufeld thanked Ms. Clarke for her presentation.

The Chair recognized Jared Maag, Deputy Attorney General from the Office of the Attorney General, who presented a response, on behalf of Attorney General Phill Kline, to the death penalty audit (Attachment 3). Mr. Maag indicated that the Attorney General's office felt that the death penalty is an effective tool and should be maintained. Responding to a question from the Committee regarding the employment of qualified judges and clerks to hear death penalty cases, Mr. Maag felt that it was an intriguing idea and could be explored further. The Chair thanked Mr. Maag for his presentation.

Chairman Neufeld recognized Randy Hearrell, Kansas Judicial Council, who presented an overview, as requested by the 2003 Legislature, of the death penalty audit relating to costs (Attachment 4). Mr. Hearrell stated that basically, the Council came to the same conclusions as Legislative Post Audit and felt the audit was

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the best study now available. The Judicial Council's report recommends that the law be amended to provide that life without the possibility of parole, instead of the "hard 50", be the sentence for persons who are convicted of capital murder but who do not receive the death penalty; and that the Supreme Court establish a position which will provide an experienced death penalty clerk to district judges who are trying death penalty cases. In response to a question from the Committee with regards to moving death penalty cases to a court in a specific location, Mr. Hearrell noted that the Council did not consider this aspect but felt the case should be tried in the locale where the crime occurred. The Chair thanked Mr. Hearrell for his presentation.


Representative Bethell moved to approve the minutes of the January 28, 2004 meeting as written. The motion was seconded by Representative Feuerborn. Motion carried.

HB 2626 was referred to the Education Budget Committee.

HB 2669, HB 2670, HB 2671, HB 2672 and **HB 2673** were referred to the General Government and Commerce Budget Committee.

Representative Bethell moved to approve the minutes of the January 27, 2004 meeting as written. The motion was seconded by Representative Campbell. Motion carried.

The meeting was adjourned at 10:35 a.m. The next meeting of the Committee will be held on February 5, 2004, with a briefing and tour of the Statehouse Renovation Project.



Melvin Neufeld, Chairman



K A N S A S

JANET SCHALANSKY, SECRETARY

KATHLEEN SEBELIUS, GOVERNOR

DEPARTMENT OF SOCIAL AND
REHABILITATION SERVICES

February 4, 2004

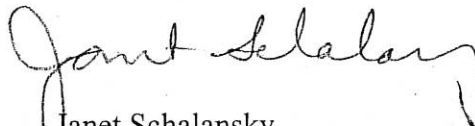
Honorable Melvin Neufeld, Chair
Appropriations Committee
Kansas House of Representatives
Room 517-S, Statehouse
Topeka, Kansas 66612

Dear Representative Neufeld:

I would like to request the introduction of a legislative proposal regarding the Child Welfare Tuition Program. This proposal revises the eligibility language, places a cap on expenditures, and requires educational institutions to provide state match dollars.

I appreciate your Committee's introduction of this bill, and will be glad to testify or provide additional information as requested.

Sincerely,


Janet Schalansky
Secretary

cc: Audrey Dunkel, KLRD
Norm Furse, Revisor of Statutes
Julie Thomas, Budget Division

By

AN ACT concerning postsecondary education; relating to tuition waivers for foster care children; amending K.S.A. 74-32,161 and K.S.A. 2003 Supp. 74-32,151 and repealing the existing sections.

Be it enacted by the Legislature of the State of Kansas:

Section 1. K.S.A. 2003 Supp. 74-32,151 is hereby amended to read as follows: 74-32,151. (a) This section and K.S.A. 74-32,152 through 74-32,159, and amendments thereto, shall be known and may be cited as the workforce development loan program act.

(b) As used in the workforce development loan act, "postsecondary educational institution" shall have the meaning ascribed thereto by K.S.A. 74-3201b, and amendments thereto.

(c) Within the limits of appropriations and private contributions therefor, and in accordance with the provisions of this act, the state board of regents may award such loans to Kansas residents who are enrolled in or admitted to an area vocational technical school, technical college, community college, vocational school coordinated under the state board of regents or associate degree programs at postsecondary educational institutions and who enter into a written agreement with the state board of regents as provided in K.S.A. 74-32,152 and amendments thereto.

(d) The board of regents may accept any private contributions to the program. The chief executive officer of the board of regents shall turn such contributions over to the state treasurer who shall deposit such moneys into the workforce development loan fund.

(e) After consultation with the secretaries of the departments of human resources, social and rehabilitation services and commerce, the board may establish a list of education programs in which an applicant must enroll to be eligible for a loan under this program.

(f) The loans shall be awarded on a priority basis to qualified applicants who have the greatest financial need with the highest priority given to those applicants with the greatest

financial need who were in foster care on ~~or--before~~ their 18th birthday or were released from foster care prior to their 18th birthday after having graduated from high school or completing the requirements for a general educational development (GED) certificate while in foster care. All loans shall be awarded to resident students attending area vocational technical schools, technical colleges, community colleges, area vocational schools or associate degree programs at postsecondary educational institutions. Special preference shall also be established for residents drawing unemployment compensation or such residents who were laid off from employment within the prior six months. The board may also establish preferences for workers deemed to be eligible for North American free trade agreement transition assistance under United States department of labor standards or the Kansas department of human resources standards.

(g) Loans awarded under this program shall be awarded on an annual basis and shall be in effect for one year unless otherwise terminated before the expiration of such period of time. Such loans shall be awarded for the payment of tuition, fees, books, room and board and any other necessary school related expenses.

Sec. 2. K.S.A. 74-32,161 is hereby amended to read as follows: 74-32,161. (a) As used in this section:

(1) "Kansas educational institution" means and includes area vocational schools, area vocational-technical schools, community colleges, state educational institutions, Washburn university of Topeka and technical colleges.

(2) "State board" means the state board of regents.

(b) Subject to appropriations therefor and except as otherwise provided by this section, every Kansas educational institution shall provide for enrollment without charge of tuition, undergraduate fees, including registration, matriculation and laboratory fees for any eligible applicant. No Kansas educational institution shall be required by this section to provide for the enrollment of more than ~~three~~ five new applicants in any academic year. An applicant who was in the

custody of social and rehabilitation services on the date such applicant reached 18 years of age, who has graduated from a high school or fulfilled the requirements for a general educational development (GED) certificate while in foster care, was released from the custody of the Kansas department of social and rehabilitation services prior to age 18 after having graduated from a high school or fulfilled the requirements for a general educational development (GED) certificate while in foster care placement and in the custody of the Kansas department of social and rehabilitation services, or an applicant who was adopted from a foster care placement on or after such applicant's 16th birthday, and who is accepted to a Kansas educational institution within two years following the date such applicant graduated from a high school or fulfilled the requirements for a general educational development (GED) certificate shall be eligible for enrollment at a Kansas educational institution without charge of tuition or such fees through the semester the eligible applicant reaches 21 years of age not to exceed eight semesters of undergraduate instruction, or the equivalent thereof, at all such institutions.

(c) Subject to appropriations therefor, any Kansas educational institution which at the time of enrollment did not charge tuition or fees as prescribed by subsection (b), and amendments thereto, of the eligible applicant may file a claim with the state board for reimbursement of the amount of such tuition and fees. The state board shall be responsible for payment of reimbursements to Kansas educational institutions upon certification by each such institution of the amount of reimbursement to which the educational institution is entitled. Such payments to Kansas educational institutions shall be made upon vouchers approved by the state board and upon warrants of the director of accounts and reports. Payments may be made by issuance of a single warrant to each Kansas educational institution at which one or more eligible applicants are enrolled for the total amount of tuition and fees not charged eligible

applicants for enrollment at that institution. The director of accounts and reports shall cause such warrant to be delivered to the Kansas educational institution at which such eligible applicant or applicants are enrolled. If an eligible applicant discontinues attendance before the end of any semester, after the Kansas educational institution has received payment under this subsection, the institution shall pay to the state the entire amount which such eligible applicant would otherwise qualify to have refunded, not to exceed the amount of the payment made by the state on behalf of such applicant for the semester. All amounts paid to the state by Kansas educational institutions under this subsection shall be deposited in the state treasury and credited to the tuition waiver gifts, grants and reimbursements fund unless such amount was from federal funds transferred under the authority of subsection (g) which funds shall be returned to the director of accounts and reports for reposit to the originating federal funding source.

(d) The chief executive officer of the state board shall submit a report to the house and senate committees on education during the ~~2004~~ 2005 and ~~2006~~ 2007 regular session of the legislature on the results, outcomes and effectiveness of the tuition waiver program authorized by this section.

(e) The state board is authorized to receive any grants, gifts, contributions or bequests made for the purpose of supporting the tuition waiver program authorized by this section and to expend the same.

(f) There is hereby established in the state treasury the tuition waiver gifts, grants and reimbursements fund. Expenditures from the fund may be made for the purpose of payment of claims of Kansas educational institutions pursuant to this section and for such purposes as may be specified with regard to any grant, gift, contribution or bequest. All such expenditures shall be authorized by the chief executive officer of the state board, or such officer's designee and made upon warrants of the director of accounts and reports issued pursuant to vouchers

approved by the chief executive officer of the state board, or such officer's designee.

(g) During each year, the chief executive officer of the state board shall make one or more certifications of the amount or amounts required to pay claims received from Kansas educational institutions for tuition and fees under this section to the director of accounts and reports and the secretary of social and rehabilitation services. Each certification made by the chief executive officer shall include a provision stating that 20% of the total amount or amounts required to pay claims received from Kansas educational institutions for tuition and fees under this section are either cash, in-kind contributions, state general funds or other non-federal sources not used to match other funds, and that the remaining 80% shall be paid from the federal award from the foster care assistance federal fund. Upon receipt of each such certification, the director of accounts shall transfer the amount certified from moneys received under the federal Chafee foster care independence grant and credited to the foster care assistance federal fund of the department of social and rehabilitation services to the tuition waiver gifts, grants and reimbursements fund of the state board. Annual expenditures for the tuition waiver program made by the Kansas department of social and rehabilitation services shall not exceed a maximum of more than 30% of the amount of the federal award in effect on July 1 of each state fiscal year.

(h) On or before the 10th of each month, the director of accounts and reports shall transfer from the state general fund to the tuition waiver gifts and grants fund interest earnings based on:

(1) The average daily balance of moneys in the tuition waiver gifts and grants fund for the preceding month; and

(2) the net earnings rate for the pooled money investment portfolio for the preceding month.

(i) Applicants eligible for the benefits under this section shall be exempt from the provisions of K.S.A. 76-717, and

amendments thereto.

(j) The state board shall adopt rules and regulations requiring eligible applicants to be enrolled as a full-time undergraduate student in good academic standing and to maintain part-time employment to remain eligible and other rules and regulations, as appropriate, for administration of the applicable provisions of this section ~~and shall determine the eligibility of applicants for the benefits provided under this section.~~ When there is a candidate that appears to meet the eligibility guidelines for federal Chafee funding administered by the Kansas department of social and rehabilitation services, the state board shall notify the Kansas department of social and rehabilitation services. The Kansas department of social and rehabilitation services shall notify the state board of approval of the candidate's eligibility.

(k) The provisions of this section shall expire on June 30, 2006, except that any eligible applicant who received a tuition waiver before June 30, 2006, and is deemed by the state board to be eligible pursuant to this section shall be allowed to remain eligible until such applicant completes such applicant's course of study or becomes ineligible pursuant to the provisions of this section.

Sec. 3. K.S.A. 74-32,161 and K.S.A. 2003 Supp. 74-32,151 are hereby repealed.

Sec. 4. This act shall take effect and be in force from and after its publication in the statute book.

**Briefing Memo on Audit-Related Issues for the
House Appropriations Committee**
Barb Hinton, Legislative Post Auditor
February 4, 2004

1. **Performance Audits of Interest to the Committee**
 - a. Key findings / audit-related issues since the last session (A)
 - b. Audits issued during the last 3 years (B)

2. **Audits Currently Under Way**
 - a. Performance audits (C)

3. **Audit Topics**
 - a. Solicitation from Committee and Budget Committees
 - b. Topics from BEST list
 - c. K-GOAL Audit for 2005
 - State Board of Regents
 - Water Office/Water Authority

HOUSE APPROPRIATIONS

DATE 2-04-2004
ATTACHMENT 2

Legislative Post Audit Key Findings & Audit-Related Issues

2-2

Audit Title	Key Findings for This Committee	---Realized---		---Potential---		Legislative or Other Action Needed
		Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	
Costs Incurred for Death Penalty Cases: A K-GOAL Audit of the Department of Corrections (December 2003; 04PA03)	Considering all estimated State and local costs through execution or the end of imprisonment, the median cost of a case in which the death sentence was given was \$1.2 million, compared with \$740,000 for a non-death penalty case. Much of the death penalty process is prescribed by law or the U.S. Supreme Court, so there's no real opportunity for eliminating steps in the process. Changes that potentially could reduce costs: providing for a true life sentence without parole, repealing the Supreme Court's authority to look for trial errors beyond those raised on appeal, creating a specialized group of judges or law clerks with expertise in handling death penalty cases, and hiring additional BIDS staff rather than paying for higher-cost expert witnesses or contract attorneys.			Unknown		We recommended that the Judicial Council review the potential cost-savings measures we identified, and recommend those which are most appropriate to consider in Kansas. The Council recommended instituting a true life sentence without parole, and hiring specialized law clerks to assist trial courts handling death penalty cases.
Food Safety Programs in Kansas: Evaluating Possible Costs and Efficiencies of Combining Them (October 2003; 03PA19)	Kansas' food safety system is divided between the Department of Agriculture (meat and poultry, dairy, and egg inspection programs) and KDHE (primarily restaurant inspection program). Together, they spend about \$3.2 million for inspection staff. This system is inefficient because inspectors from more than one agency or program inspect the same businesses, some businesses are inspected more often than needed, similar businesses are regulated inconsistently, and communication and coordination can be hampered in situations where the agencies' regulatory authority overlaps. Combining food safety inspection programs could help address such issues. We estimate Kansas could save about \$680,000 per year and improve food safety if certain inspections were combined, and if all inspections were changed to a risk-based approach.			680,000		Transfer responsibility for all food safety-related inspections into a single agency. Whether or not those inspections are combined, make the food safety inspection program risk-based, and improve coordination and communication between the different agencies or staffs that have food-safety responsibilities. SB 296 moves all inspection functions to the Department of Agriculture; ERO 32 transfers all but restaurant inspections.
CDDOs: Reviewing Issues Relating to the Funding of Community Services (October 2003; 04PA02)	The 2001 Legislature directed SRS to maximize the amount of new federal funds it could draw down to help fund direct-care services to developmentally disabled clients. SRS' 2002 plan initially brought in \$6.8 million in new federal funds, 91% of which was distributed based on client severity. This plan later was disallowed, and SRS had to absorb the cost. SRS' 2003 plan used a different method, but only 22% of the \$8 million in additional federal funds drawn down was distributed based on client severity. CDDOs also got a larger share of these new funds in 2003, mostly because the distribution plans they designed were more favorable to them. (continued on next page)					

(A)

Audit Title	Key Findings for This Committee	---Realized---		---Potential---		Legislative or Other Action Needed
		Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	
	<p>The CDDO structure creates an inherent conflict of interest for the 22 CDDOs that provide services in competition with the CSPs they contract with. Potential conflicts can arise in the areas of client referrals, contract terms, funding distributions, and quality assurance. Prohibiting CDDOs from providing direct services would address most of these issues. In addition, the discretionary State aid CDDOs receive could be distributed on a different basis, and CDDOs could be made sole providers of targeted case management services. All 3 areas would need further study.</p> <p>Reorganizing and consolidating CDDOs, as the Alliance for Kansans with Disabilities has proposed, isn't likely to help CDDOs draw down as much new federal funding for services as claimed. The proposal is based on 2 questionable assumptions—that SRS will be able to significantly increase reimbursement rates for case management (the mechanism for drawing down more funding) from \$395 to \$504, and that counties will maintain their current mill levy funding. Even if both assumptions held true, the proposal would bring in only about \$6 million in new federal funds, not the \$10.7 million the Alliance reported. Consolidation of CDDOs potentially could result in other advantages, such as reducing administrative costs for both the CDDOs and SRS, and may make the delivery of services more uniform. Potential disadvantages cited include loss of local control, spreading CDDOs too thin, and consolidation costs.</p>					<p>We recommended the Legislature amend State law to separate client intake and service referral functions, and to allow all service providers to receive discretionary State aid. We also recommended studying the feasibility /desirability of consolidating CDDOs and making them sole providers of case management services.</p>
<p>KDHE Information Systems: Reviewing the Department's Management of Those Systems (October 2003; 03-H)</p>	<p>Last year, we found KDHE's computer security was so bad that its computer network and all agency data were at an extremely high risk of fraud, misuse, or disruption. The agency was using a fundamentally flawed method of handling passwords, had allowed infections of serious viruses to be ignored, and its firewall allowed unneeded access to the network. The IS staff's lack of security planning and monitoring allowed KDHE's problems to go undetected and uncorrected. Also, KDHE hadn't conducted any business continuity planning since 1999. KDHE took prompt action to address the problems we identified.</p>					<p>Our concern is that other agencies may have similar problems with similar risks. We're planning to do more audits of agencies' computer security.</p>

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7-4

Audit Title	Key Findings for This Committee	---Realized---		---Potential---		Legislative or Other Action Needed	
		Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue		
Low-Birthweight and Premature Babies: Reviewing Programs Aimed at Reducing Their Incidence and Associated Costs (June 2003; 03PA07)	<p>Low-birthweight babies cost the Medicaid Program about 5 times as much as normal-birthweight babies during their first year of life—\$16,704 compared with just \$3,180. They account for only about 10% of all births, but more than one-third of the \$54 million spent on Medicaid babies in their first year of life. Lack of prenatal care is one of many risk factors that can increase the chance of having a low-birthweight or premature baby. Overall, 72% of Medicaid mothers reported getting adequate or better medical prenatal care. But those who reported getting no or inadequate care generally had a much higher incidence of low-birthweight babies than women who got adequate care. And babies whose mothers had no such care cost Medicaid significantly more than babies whose mothers got even minimal care—\$22,000 compared with \$14,000. Women who had low-birthweight babies also had a higher prevalence of many of the other risk factors associated with poor birth outcomes— including smoking, substance abuse, and low weight gain during pregnancy.</p> <p>Outside of Medicaid, the State spends very little on prenatal care programs. The State's share of the cost for funding prenatal services through Medicaid was almost \$15 million in fiscal year 2002. The State also spent \$1.4 million on KDHE's Maternal and Infant Program, the State's only program focused primarily on prenatal care.</p> <p>Local health departments cited financial barriers as the primary reason why low-income women don't get prenatal care services, and pointed to a critical gap in the availability of medical services for these women. Neither KDHE nor SRS is doing all it can to educate women about the benefits and availability of prenatal care. KDHE also doesn't collect any information that would allow it to connect the services clients receive with their birth outcomes, but more could be done with existing data.</p>					<p>Recommendations were addressed to KDHE and SRS to increase women's awareness of prenatal-care programs, analyze available data to pinpoint geographic areas where needs are the greatest, target women who are known to be getting no or inadequate prenatal care, and seek additional funding from the Legislature or other sources to provide those services.</p> <p>Amend K.S.A. 65-2423(d) regarding use of birth certificate information for survey purposes. The Senate Public Health and Welfare Committee is looking at this option.</p>	
Taxes on Motor Vehicle Sales: Ensuring That Correct Amounts of Sales and Compensating Use Taxes Are Paid (April 2003; 03PA09)	<p>A significant number of privately sold vehicles weren't being taxed on their fair market value, as Department regulations require.</p> <p>County treasurers didn't charge compensating use taxes on manufacturers' rebates for at least 10% of the out-of-State vehicles sales we reviewed.</p> <p>Four of 7 small used car dealers we reviewed hadn't remitted all the sales taxes they owed to the State, but were allowed to continue to operate.</p>			2,000,000	209,000	822,000	<p>The Special Committee on Assessment and Taxation recommended tying motor vehicle dealer license renewal to sales tax compliance (incorporated into H 2648); and strengthening rules for private sales, but didn't recommend having treasurers collect motor vehicle sales tax.</p>

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Audit Title	Key Findings for This Committee	---Realized---		---Potential---		Legislative or Other Action Needed
		Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	
Federal Funds: Determining Whether Opportunities May Exist To Leverage State Spending To Draw Down More Federal Funds (April 2003; 03PA10)	The Medicaid rates paid for special education services hadn't been increased since 1998. The rates could be raised without federal approval, and without affecting rates paid to other Medicaid providers. SRS estimated the increase would bring in \$7 million. The rates have been raised.	7,000,000				We made a series of recommendations to SRS and the Department of Education to correct the issues we identified.
	The State hasn't sought reimbursement for school district outreach activities.			1,000,000		
	The State could participate in additional services that could be billed to Medicaid			3,000,000		
	If school districts more often obtained the parental-consent signatures necessary for Medicaid reimbursement, districts could be reimbursed for certain services			3,000,000		
	Reduce the error rate in determining eligibility in the Food Stamp Program			1,500,000		
Medicaid: Assessing the Cost-Effectiveness of Current Procedures for Transporting Medicaid Consumers to the Services They Need (100-hour audit) (April 2003; 03PA16)	Non-emergency medical transportation costs increased 37% in 2 years because consumers using the service increased, and because some payments to providers were inappropriate or fraudulent. SRS reviews have found instances of providers transporting clients to non-medical appointments (one provider was overpaid nearly \$400,000 over 12 months), being paid without trip documentation, exaggerating the miles driven, not taking the most direct routes, and making claims for times when clients couldn't have been available. We found Kansas' transportation program isn't structured to effectively control costs. There's a disincentive to use lower-cost methods of transportation, providers have an inherent financial conflict of interest when screening clients' eligibility and determining the necessity of trips, and claims are processed with few controls in place.					We proposed a number of options for SRS to consider, including hiring a "broker" to run the program (like 3 neighboring states), having someone other than providers act as gatekeepers, reviewing claims more thoroughly, changing the rates for transporting multiple clients, building in incentives for using less-costly transportation, and limiting Medicaid transportation.

2-6

Audit Title	Key Findings for This Committee	---Realized---		---Potential---		Legislative or Other Action Needed
		Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	Annual Savings or Missed Revenue	One-Time Savings or Missed Revenue	
Medicaid: Reviewing the Compensation of Payroll Agents for Home and Community-Based Waiver Programs (100-hour audit)	Medicaid clients who direct their own attendant care services under the HCBS waivers must select a payroll agent (a home health agency or center for independent living) to process their Medicaid claims. Records we reviewed at 5 payroll agents showed they kept an average of \$2.14 per hour of service billed, or 18% of the total amounts they bill to Medicaid on clients' behalf. For a small sample of other states, the highest percentage that payroll agents kept was only 12%. A company that provides Medicaid billing services in 11 states told us 6-10% would be reasonable. More than \$50 million is spent each year on self-directed care. Reducing the reimbursement rate for payroll services by a single percentage point translates into about \$500,000 a year, which could be saved or used to increase payments to attendant care providers.			500,000		Two factors are contributing to Kansas' higher costs. Kansas requires the payroll agents to assume some responsibilities other states don't require, and it doesn't solicit competitive bids for these services. We recommended that the Dept. on Aging address both issues.
Staff suggestion to eliminate current requirement for an annual audit of the Racing and Gaming Commission	The current requirement is unnecessary, and costs the State about \$7,000 per year.			7,000		Legislative Post Audit Committee introduced SB 6 in 2003, which became the mega-budget bill. This session, LPAC has introduced SB 306. The bill has passed the Senate Ways & Means Committee.

Legislative Post Audit Summary of Performance Audits Currently Under Way or Approved (January 5, 2004)

(Italics show changes from previous summary)

2-7

Audit Title	Main Concerns	Questions Asked	Estimated Date Available
<p>West Nile Virus: Reviewing the Department of Health and Environment's Case Reporting (100-hour audit) (Requested by Rep. Mays)</p>	<p>In response to criticisms that its criteria for reporting West Nile virus cases were too narrow, KDHE announced last fall that it would expand its reporting to include unverified infections or deaths. Legislators were concerned KDHE still may be under-reporting the true incidence of the disease in Kansas.</p>	<ol style="list-style-type: none"> 1. How have the Department's criteria for reporting West Nile cases changed, and is it likely there are cases that still are not being reported? 2. How does the Department's reporting of West Nile Virus cases compare with reporting by the federal government and other states? 	<p><i>Mid-late January</i></p>
<p>Encouraging Entrepreneurship: Examining Ways Kansas Could Improve Its Efforts (Requested by House Committee on Economic Development)</p>	<p>Legislators have expressed an interest in knowing whether Kansas is doing enough to encourage those who may want to start their own business enterprises in the State.</p>	<ol style="list-style-type: none"> 1. What efforts are made in Kansas to promote entrepreneurship? 2. What aspects of Kansas laws, policies, and programs inhibit entrepreneurship, and what changes may be needed? 	<p><i>Early February</i></p>
<p><i>Job Expansion Programs: Determining Whether State Agencies Are Collecting the Information Needed To Know Whether These Programs Are Successful</i> (100-hour audit) (Requested by Sen. Vratil)</p>	<p><i>Based on the results of a study in Ohio that concluded providing State-funded financial incentives to existing businesses made little difference in creating jobs, legislators have questioned whether economic development agencies in Kansas are collecting the kind of data that would allow them to analyze and report on the success of Kansas' job expansion programs</i></p>	<ol style="list-style-type: none"> 1. <i>Do State officials gather and analyze the types of information that would allow them to know whether businesses that participate in State-funded job expansion programs actually create the # of jobs agreed upon within the specified time frame?</i> 2. <i>What steps do State economic development officials take to validate the accuracy of information companies provide?</i> 3. <i>How often are the results of job creation programs measured, and to whom are the results reported?</i> 	<p><i>Early February</i></p>
<p>Reviewing the Hiring and Promotion Practices of the Public Safety Agencies: A K-GOAL Audit of the Adjutant General, Fire Marshal, Highway Patrol, and Kansas</p>	<p>State agencies are subject to certain requirements relating to hiring and promotion practices. Concerns have been raised about whether the public safety agencies are following all the requirements of law and regulations in this area.</p>	<ol style="list-style-type: none"> 1. Do the hiring and promotion practices of the public safety agencies conform to requirements of law and regulations and to good personnel practices? 	<p><i>Mid-late February</i></p>

(C)

<p>Bureau of Investigation (Requested by the Legislative Post Audit Committee)</p>			
<p>Kansas' Central Motor Pool Dispatch: Determining Whether All Significant Costs and Cost Savings Were Considered in Deciding To Outsource This Function (100-hour audit) <i>(Requested by Sen. Kerr)</i></p>	<p><i>Recently, the Department of Administration has announced a decision to eliminate the State's Central Motor Pool dispatch and to provide cars through a rental arrangement with a private company. Legislators have expressed an interest in knowing how the amount of potential cost savings were calculated, and whether those computations include all relevant and significant costs and cost savings that might result from such a change.</i></p>	<p><i>1. Has the Department of Administration considered all significant and relevant costs and cost savings in making its determination to privatize Motor Pool dispatch functions?</i></p>	<p><i>Mid February</i></p>
<p>Electronic Certificates of Title: Reviewing the Effects of New Legislation (100-hour audit) <i>(Requested by Rep. Edmonds)</i></p>	<p><i>The 2002 Legislature passed SB449, which requires the Division of Vehicles to create and retain a certificate of title electronically when there is a lien or security interest in a motor vehicle, manufactured home, or mobile home. This system reportedly provides the ability to electronically exchange liens and title information directly between financial institutions and jurisdictions, and was to result in such things as fewer duplicate and re-issued titles, fewer data entry errors, and more efficient issuance of titles. This audit was requested to see if the anticipated benefits have been achieved, and whether there have been any unintended consequences.</i></p>	<p><i>1. Have the intended benefits of 2002 Senate Bill 449 been realized?</i> <i>2. Have there been any unintended problems that have arisen as a result of Senate Bill 449?</i></p>	<p><i>Mid February</i></p>
<p>State Prescription Drug Plan: Reviewing the Accuracy of Payments Made Under the Program <i>(Requested by the Legislative Post Audit Committee)</i></p>	<p><i>In response to an audit of Arkansas' state employee drug plan—which found that the drug benefits manager had overbilled Arkansas by about \$480,000 over 15 months—legislators have questioned whether Kansas is being accurately billed for drugs purchased under its State employee drug plan. Both states have the same benefits manager—Advance PCS.</i></p>	<p><i>1. Have payments made to Advance PCS for drugs purchased under the State employees' prescription drug program been accurate and in accordance with the terms of the contract?</i></p>	<p><i>Early March</i></p>
<p>Kansas Fire Marshal: Reviewing the Funding and Administration of the Agency <i>(Requested by Sen. Morris)</i></p>	<p><i>A number of legislative concerns have been raised about the operations of the Fire Marshal's Office, including whether there is sufficient oversight of the Office's operations, whether the Office is being managed and operated efficiently and effectively, whether it has the appropriate number and type of staff to effectively carry out its duties, and whether the levy on insurance company premiums is now producing more money than the agency needs to operate.</i></p>	<p><i>1. Is there sufficient independent oversight of the operations of the Fire Marshal's Office?</i> <i>2. Is the Fire Marshal's Office efficiently and effectively carrying out the functions assigned to it by law?</i> <i>3. How does the amount of money generated by the levy on fire insurance premiums compare to the amount needed to operate the Fire Marshal's Office?</i></p>	<p><i>Not yet started</i></p>

<p>Regulation of Child Care Facilities and Foster Homes: Determining Whether There Is Duplication in the Regulation of These Facilities <i>(Consolidation of requests made by the Senate Ways & Means Subcommittee on KDHE and the House Social Services Budget Committee)</i></p>	<p><i>An audit we conducted in 1997 of KDHE's regulatory oversight of child care facilities and family day care homes found serious problems with inspections and follow-up on complaints and violations that could potentially put many children at risk. Many of the problems could be attributed in part to inadequate staffing resources and training. During the 2003 legislative session, the Senate Ways & Means Subcommittee on KDHE asked for a follow-up audit, with the concern that staffing resources and training still may be inadequate.</i></p> <p><i>The House Social Services Budget Committee requested an audit to help them know whether having both KDHE and SRS involved in the regulation of these types of child and foster care facilities or programs results in duplication.</i></p>	<ol style="list-style-type: none"> <i>1. Has the Department of Health and Environment exercised sufficient regulatory oversight of child care facilities and family day care homes to ensure the safety and well-being of children cared for in those facilities?</i> <i>2. Are there ways KDHE could refocus its efforts and available resources to increase the effectiveness of its regulation of child care facilities?</i> <i>3. Is there duplication in the regulatory responsibilities and activities of the Departments of Social and Rehabilitation Services and Health and Environment related to facilities, homes, and programs that provide care for children?</i> 	<p><i>Not yet started.</i></p>
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**LEGISLATIVE DIVISION OF POST AUDIT
SUMMARY OF PERFORMANCE AUDIT REPORTS
Calendar Years 2001 - 2003**

Agriculture

03PA04	Meat Processing Plants: Factors Contributing to Decline of Small Plants and Impact on State's Economy	November 2002
02PA18	Animal Breeders & Sellers in Kansas: Determining Whether Improvements Have Been Made in Industry Regulation	August 2002
02PA06	Dept. of Agriculture: A K-GOAL Audit of the KS Pesticide and Fertilizer Program	November 2001

Computers/DP

03-H	KDHE Information Systems: Reviewing the Department's Management of Those Systems	October 2003
03PA14	Information Network of Kansas: Reviewing Revenues, Expenditures, and Administrative Structure (100-hour audit)	April 2003

Corrections & Juvenile Justice

03-G	Juvenile Justice Authority Information Systems: Reviewing the Authority's Management of Those Systems	March 2003
03PA05	Juvenile Justice Prevention Programs: How Well the Juvenile Justice Authority is Overseeing Those Programs	January 2003
01PA18	Lansing Correctional Facility: Reviewing Issues Related to Overtime and Staffing (100-hour audit)	March 2001

Courts

04PA03	Costs Incurred for Death Penalty Cases: A K-GOAL Audit of the Department of Corrections	December 2003
04PA07	Kansas Sentencing Commission: Reviewing Organizational and Funding Issues (100-hour audit)	December 2003
03PA11	Diversion Agreements: Reviewing Their Impact on State Revenues (100-Hour audit)	February 2003
01PA23	Assessing the Effect of Moving Certain Child Support Duties to the Kansas Payment Center (100-hour audit)	July 2001

Eco Devo/Commerce/Housing

01PA05	Economic Development in Kansas: A K-GOAL Audit Reviewing Coordination and Effectiveness of Programs	January 2001
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Education (Higher)

02PA15	Proprietary Schools: Reviewing the Board of Regents' Responsibilities and Oversight	April 2002
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Education (K-12)

03PA02	How Previously Unreported Moneys Spent on K-12 Education Affect Kansas' Rankings Nationally	December 2002
02PA10	School District Budgets: Ways to Make the Budget Document More Understandable and Meaningful	March 2002
02PA04	Why Kansas School Districts Spend Less on Instruction Than School Districts in Other States	November 2001
01PA19	Special Education: Are School Districts Accountable for Meeting Goals in Students' IEPs	August 2001
01PA20	Early Retirement Funding in Kansas School Districts	July 2001

Energy/Natural Resources

03PA03	Wildlife and Parks' Disposal of Seized Animals and Other Property	September 2002
02PA03	Department of Agriculture: Reviewing the Water Structures Program	March 2002

Financial Management

04PA15	Reviewing the Operations of the State Treasurer's Office-Fiscal Year 2003 (contracted audit)	December 2003
04PA16	Reviewing the Operations of the Pooled Money Investment Board--Fiscal Year 2003 (contracted audit)	December 2003
03PA22	General Fund Cash Balance: Reviewing the Projected Fiscal Year 2003 Ending Cash Balance	April 2003
03PA23	Reviewing the Operations of the State Treasurer's Office	December 2002
03PA08	Reviewing the Operations of the Pooled Money Investment Board	December 2002
02PA12	Reviewing the Operations of the State Treasurer's Office, FY2001	January 2002
02PA11	Reviewing the Operations of the Pooled Money Investment Board, FY2001	January 2002
01PA21	Determining Whether School Districts Exercise Adequate Oversight Over the Use of District Credit Cards (100-hour)	May 2001

General Government

04PA01	Governmental Ethics Commission: Reviewing Organizational and Funding Issues (100-hour audit)	September 2003
03PA15	Firefighters Relief Fund: Reviewing the Use of Fire Insurance Premium Taxes (100-hour audit)	April 2003
01PA16	Kansas Real Estate Commission: Determining Its Sources of Funding, and How Those Moneys Are Being Spent	March 2001
01PA15	Private-Sector Input: Ways to Foster Such Input If the Kansas Performance Review Board Is Abolished	March 2001

Health/Welfare

03PA19	Food Safety Programs in Kansas: Evaluating Possible Costs and Efficiencies of Combining Them	October 2003
04PA02	CDDOs: Reviewing Issues Related to the Funding of Community Services	October 2003
03PA07	Low-Birthweight and Premature Babies: Reviewing Programs Aimed at Reducing Their Incidence and Costs	June 2003
03PA16	Medicaid: Assessing the Cost-Effectiveness of Current Procedures for Transporting Medicaid Consumers (100-hour)	April 2003
03PA17	Medicaid: Reviewing the Compensation of Payroll Agents for Home & Community-Based Waiver Programs (100-hour)	April 2003

<u>RPT</u>		<u>DATE</u>
02PA01	Verifying Information Provided by SRS with the Terms of Foster Care Lawsuit Settlement Agreement #15	August 2002
02PA16	Medicaid Cost Containment: Controlling Costs of Long-Term Care	August 2002
02PA07	Regulation of Food Service Establishments: Is KDHE Providing Sufficient Regulatory Oversight	April 2002
02PA09	Medicaid Cost Containment: Controlling Costs of Medical Services	March 2002
02PA08	Medicaid Cost Containment: Controlling Fraud and Abuse	January 2002
02PA02	K-GOAL Audit: Determining Whether Nursing Home Inspections Are Carried Out In a Reasonable Manner	December 2001
02PA01.1	Verifying SRS Compliance With the Foster Care Lawsuit Settlement Agreement: Monitoring Report #14	November 2001
01PA01.1	Verifying Information Provided by SRS with the Terms of Foster Care Lawsuit Settlement Agreement #13	April 2001
01PA06	Medicaid for Long-Term Care: Reviewing SRS' Efforts to Identify Sheltering of Assets	March 2001
01PA08	The State's Adoption and Foster Care Contracts: Reviewing Selected Financial and Service Issues	January 2001
	<u>Highways/Motor Vehicles</u>	
04PA05	Highway Construction Change Orders: Reviewing Costs For Construction on Highway 36 Near Marysville (100-hour	December 2003
03PA06	Life-Cycle Analyses of KS Highway Projects: Evaluating KDOT's Process	February 2003
	<u>Local Government</u>	
03PA20	Local Government Reorganization: Assessing the Potential for Improving Cooperation and Reducing	September 2003
03PA13	Financing Local Governments: How to Avoid Future Problems Caused by State Revenue Shortfalls (100-hour audit)	February 2003
	<u>Personnel/State Employees</u>	
04PA06	Department of Transportation: Reviewing Wage Payments to Equipment Operators (100-hour audit)	December 2003
01PA14.2	The State Health Benefits Program, Part 2: Reviewing the Staffing and Structure of the Current Program	July 2001
01PA14	The State Health Benefits Program, Part 1: Reviewing Issues Relating to Premium Costs and Management	April 2001
01PA13	Centralized Administrative Hearings: Reviewing the Advantages and Disadvantages	March 2001
	<u>Public Safety</u>	
01PA17	Methamphetamine Labs: Reviewing Kansas' Enforcement Efforts	July 2001
	<u>Racing & Gaming</u>	
02PA13	Expanded Gaming: Reviewing the Reliability of Estimated Potential Revenues from Slot Machines At Race Tracks	February 2002
	<u>Retirement</u>	
03PA12	Reviewing KPERs Long-Term Funding Plan	February 2003
	<u>Taxation/Revenue</u>	
03PA18	Motor Fuel Tax Refunds: Determining Whether Adjustments Made to Refund Claims Were Handled Correctly (100-hour	June 2003
03PA09	Taxes on Motor Vehicle Sales: Reviewing the Dept. of Revenue's Procedures	April 2003
03PA10	Federal Funds: Determining Whether Opportunities May Exist To Draw Down More Federal Funds	April 2003
03PA01	Valuing Commercial Buildings for Property Tax Purposes: Determining Whether Procedures Ensure Accurate Appraisals	November 2002
02PA17	Corporate Income Taxes: Reviewing Factors Affecting the Recent Steep Drop in Those Tax Receipts	August 2002
02PA05	Bingo Tax Laws: Reviewing the Department of Revenue's Implementation and Enforcement of Those Laws	November 2001
01PA12	Retailer Sales Taxes: Assessing Whether the Amounts Distributed to Localities Have Been Computed Correctly	March 2001
01PA04	Employee Credits Against Premium Taxes: Reviewing Issues Related to Those Credits	February 2001



STATE OF KANSAS
OFFICE OF THE ATTORNEY GENERAL

PHILL KLINE
ATTORNEY GENERAL

120 SW 10TH AVE., 2ND FLOOR
TOPEKA, KS 66612-1597
(785) 296-2215 • FAX (785) 296-6296
WWW.KSAG.ORG

February 4, 2004

TESTIMONY
BEFORE THE HOUSE APPROPRIATIONS COMMITTEE

JARED S. MAAG, DEPUTY ATTORNEY GENERAL
CRIMINAL LITIGATION DIVISION
OFFICE OF THE KANSAS ATTORNEY GENERAL, PHILL KLINE

CONCERNING K-GOAL AUDIT ON COSTS INCURRED
FOR DEATH PENALTY CASES

Members of the Committee:

On behalf of Attorney General Phill Kline, we want to express our appreciation for this committee's consideration of our comments that address the issue of those costs that are incurred in death penalty cases.

Since the Supreme Court's decision in *Furman v. Georgia*, 408 U.S. 238 (1972) a critical legal debate has continued in the United States over the propriety of the death penalty. We do not stand before you today to engage in a prolonged moral or philosophical discussion about the retributive goals of the death penalty but rather to reaffirm our position as prosecutors that the imposition of such a punishment does not present any economic concerns that would warrant a recommendation by this committee for the abolition of our state's death penalty law.

In the coming year, Kansas will have seen a decade pass where its reinstated death penalty law was in effect. To date, the state has had approximately 80 to 85 cases that fall within those statutory requirements for death penalty eligibility; and, has successfully placed 7 men on death row. These low numbers are evidence of a newly-enacted system and, further, one that is tailored to mete out its most severe punishment only to those who commit premeditated murder with attendant factors such as rape. To that end, a cost analysis at this stage cannot be considered hyper-accurate given the limited number of prosecutions that have proceeded through trial and appeal. We submit, therefore, that cases such as *State v. Kleypas* and *State v. Marsh* not be used as guideposts for cost assessments as those cases were prosecuted under a system that was just beginning to establish itself. In the coming

HOUSE APPROPRIATIONS

DATE 2-04-2003
ATTACHMENT 3

months and years prosecutions in this field will progress under increased guidance from our Supreme Court as it continues to release precedent in each and every case that it reviews. As a result, future cases will undoubtedly proceed in a more cost-effective manner given that many of the issues that create prolonged prosecutions will have been answered. To be sure, 700 page briefs before the Kansas Supreme Court will no longer be necessary. In short, as the system becomes more established the associated costs should decrease accordingly.

A cost benefit that we believe was not fully explored through the audit is the collateral benefit that the state receives through the use of the death penalty as plea bargaining leverage towards those defendants who are willing to admit their crimes when facing a potential sentence of death. Time and again the state has had the opportunity to exact appropriate punishment in murder cases when the defendant was death penalty eligible. That leverage would not be available in the absence of such a punishment. The cost benefit is evident where a case that would normally proceed through trial and appeal is resolved through a plea, saving the state countless dollars.

This committee is in a position to recommend any number of changes that could assist in creating a more cost-effective system. Tempering that against the need for a death penalty law is no easy task. The Office of the Attorney General would respectfully submit that the present audit reflects a system that is just now breaking through its infancy and, thus, the state's death penalty law should be given time to mature before a true cost-effective analysis can be achieved.

Lastly, calculating the costs associated with seeking an appropriate consequence for murder can prove difficult. Each case has associated expenses that can run into the tens, if not hundreds, of thousands of dollars. That is not to say that it is only death penalty cases that incur the larger costs. Many times complex criminal matters, such as arson or "white collar" cases will reach the same or higher cost levels than what is seen in a death penalty case. Simply put, we cannot place a price on justice, but we can define ways which seek to lower the attendant expenses while at the same time preserving the rights of the accused and the integrity of the system.

Again, on behalf of the Attorney General Phill Kline, we thank you for the opportunity to submit these brief words for consideration.

**REPORT OF THE JUDICIAL
COUNCIL DEATH PENALTY
ADVISORY COMMITTEE**

(Approved by Judicial Council)

January 29, 2004

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REPORT OF KANSAS JUDICIAL COUNCIL DEATH PENALTY ADVISORY COMMITTEE

BACKGROUND

1 The 1994 Kansas Legislature enacted HB 2578 “. . . creating the crime of capital murder and
2 providing for a sentence of death therefore under certain circumstances. . .” Kansas had not had the
3 death penalty since 1972 when the United States Supreme Court held in *Furman v. Georgia* that the
4 death penalty, as then administered, violated the constitutional prohibition against cruel and unusual
5 punishment.

6 Since July 1, 1994, which was the effective date of HB 2578, there have been over 80
7 potential capital cases in Kansas and seven persons have been sentenced to death. The actual costs
8 of death penalty defense in Kansas from fiscal year 1995 (July 1, 1994) through fiscal year 2003
9 (June 30, 2003) have totaled approximately 10.8 million dollars. Expenditures for death penalty
10 defense in fiscal year 2004 are expected to be two million dollars.

11 With lower State revenue and death penalty costs increasing, the 2003 Legislature requested
12 that the Legislative Division of Post Audit and the Kansas Judicial Council each conduct studies
13 relating to the costs of the death penalty.

14 At its June 20, 2003 meeting, the Judicial Council agreed to undertake the requested
15 assignment. As is its usual manner of operation, the Council appointed an advisory committee made
16 up of persons with experience and expertise in the area of law being considered and who represent
17 a variety of points of view.

1 COMMITTEE MEMBERSHIP

2 The Kansas Judicial Council appointed the following persons to serve on its Death Penalty
3 Advisory Committee:

4 **Stephen E. Robison**, Chairman, Wichita, practicing lawyer in
5 Wichita, Kansas and member of the Kansas Judicial Council.

6 **Ron Evans**, Topeka, Chief Defender, Kansas Death Penalty Defense
7 Unit.

8 **Jeffrey D. Jackson**, Lawrence, consultant on death penalty issues to
9 the Kansas Supreme Court.

10 **Michael Kaye**, Topeka, Professor at Washburn University School of
11 Law.

12 **Stephen Morris**, Hugoton, State Senator from the 39th district and
13 Chair of the Senate Ways and Means Committee.

14 **Donald R. Noland**, Pittsburg, District Court Judge in 11th Judicial
15 District.

16 **Steven Obermeier**, Olathe, Assistant district attorney in Johnson
17 County.

18 **Kim T. Parker**, Wichita, Assistant district attorney in Sedgwick
19 County.

20 **Rick Rehorn**, Kansas City, practicing attorney in Wyandotte County
21 and State Representative from the 32nd district.

22 **Fred N. Six**, Lawrence, retired Kansas Supreme Court Justice.

1 **Ron Wurtz**, Topeka, Deputy Federal Public Defender. Previously
2 Chief Defender, Kansas Death Penalty Defense Unit.

3 In addition, the Committee wishes to acknowledge the assistance of Patricia Scalia,
4 Executive Director of Kansas Board of Indigents' Defense Services, and Chris Clarke of the
5 Legislative Division of Post Audit. Both Ms. Scalia and Ms. Clarke attended the meetings of the
6 Committee and materially aided the Committee in its study.

7
8 **SCOPE AND METHOD OF STUDY**

9 The request that the Judicial Council conduct the study was contained in Senate Substitute
10 for House Bill 2444 and reads as follows:

11 “. . . expenditures shall be made by the judicial council to study the issue of
12 board of indigents defense services expenditures for death penalty defense cases.
13 Such study shall make comparison with other states that have recently executed
14 individuals and include information on the manner in which those states addressed
15 associated indigent defense costs in death penalty cases.”

16 The Judicial Council Committee was aware that the Legislative Division of Post Audit
17 received a similar, but broader, request to study costs in death penalty cases. The request to Post
18 Audit asked that the following questions be addressed:

- 19 1. What are the total State and local costs of the case in which the death
20 penalty was sought?
- 21 2. Are there steps Kansas could take to reduce overall costs in capital
22 punishment cases?

1 3. Are alternative sentences to the death penalty less costly to
2 governmental entities?

3 Because of Post Audit's experience in conducting studies of costs, its resources and access
4 to information, the Council committee decided to defer to Post Audit as the primary source of cost
5 information.

6 The Judicial Council Committee is made up of persons with extensive criminal law and death
7 penalty experience in: defense, prosecution and judging at the trial level; preparation and argument
8 of appeals for both defense and prosecution; hearing death penalty appeals and participating in
9 appellate death penalty decisions; conducting research, teaching and consulting on death penalty
10 issues and participating in the funding of death penalty defense in the legislative process. Because
11 of the experience of the members, it was agreed that the approach of the Committee will be to
12 analyze reports and studies in the area and utilize the members' experience, contacts and analytical
13 abilities to study and report on the following issues:

- 14 1. Why death penalty cases cost more than other types of cases.
15 2. The cost of death penalty cases in Kansas.
16 3. What Kansas has done to contain costs in death penalty cases.
17 4. What death penalty cases cost in other jurisdictions.
18 5. What do other jurisdictions do to contain costs and are these
19 strategies applicable to Kansas?

1 **OBSERVATIONS OF PERSONS INVOLVED IN THE DEATH PENALTY PROCESS**

2 During discussions of death penalty issues by the Committee, it became apparent that the
3 personal experiences of individual Committee Members who have participated in the death penalty
4 process are of value to those informing themselves about the death penalty.

5 Retired Kansas Supreme Court Justice Fred N. Six, defense attorney Ron Evans, prosecuting
6 attorney Steven Obermeier and district court judge Donald R. Noland agreed to put some of the
7 observations they made about the death penalty process in written form for inclusion in the
8 Committee's report. Their observations follow.

9
10 **Observations of an Appellate Judge**

11 The angst that permeates judicial review of a capital murder or "death case" begins and ends
12 with the thought that "death is different". A death case that is reviewed by the Supreme Court arises
13 from a story that has shattered the lives of the victim's family. The telling of the story at the trial
14 court level has also taken its stressful toll on the district judge, defense counsel, the prosecution, and
15 the local community.

16 Anxiety charges the atmosphere surrounding a capital murder case. No member of the
17 judicial system connected with a death case is immune. The responsibility of appellate review weighs
18 heavily on a Supreme Court Justice because of the finality of the ultimate sanction that may be
19 imposed. (The United States Supreme Court (USSC) remains available for *certiorari* review,
20 however, in my opinion, the percent of state death cases accepted by the USSC is so small that in
21 reality the final "death decision" rests with the state's highest court. State and Federal habeas corpus
22 avenues remain, however a death defendant's success through these procedures is doubtful).

1 Whether or not Kansas has “Death” as punishment is a policy matter for the Kansas
2 legislature. A Kansas Supreme Court Justice, in reviewing a death case seeks to apply the law
3 established by the legislature. The Justice looks to the appropriate jurisprudential sources, (i.e.)
4 Constitutions, Federal and State, State legislation and case law.

5 Always in the consciousness of that justice is the question, “do I have it right”? A wrong
6 call is irreversible because “death is different”. The “do I have it right” question travels with you.
7 You carry it with you during the workday, deliberations at case conference, your commute to and
8 from work, before retiring at night, and on weekends. The question shadows you. However, normal
9 shadows disappear at sundown, the “do I have it right” shadow does not. You also carry a brief case
10 filled with death case materials home at night and on weekends. This brief case becomes your
11 “constant companion” until the death case opinion is filed.

12 The Legislature has instructed the Kansas Supreme Court on the public policy of judicial
13 review in death cases by saying in KSA 21-4627 (b):

14 “The supreme court of Kansas shall consider the question of sentence
15 as well as any errors asserted in the review and appeal **and shall be**
16 **authorized to notice unassigned errors appearing of record if the**
17 **ends of justice would be served thereby” (Emphasis added)**

18 Let us take notice of the record in *State v. Kleypas*, 272 Kan. 894 (2001), the only death case
19 submitted to the Supreme Court during my tenure. The opinion is 248 pages with 88 syllabi. (The
20 longest Kansas appellate court decision that I am aware of).

21 The *Kleypas* appellate record consisted of eighty volumes and over 10,000 pages (my
22 recollection). The brief submitted by counsel for *Kleypas* was 588 pages in length. The State’s

1 response brief contained 255 pages. *Kleypas* responded with a reply brief of 136 pages. Four amicus
2 curiae (Friend of the Court) briefs were filed. The four totaled sixty-one pages. (The Supreme Court
3 grants or denies motions to file amicus briefs. The court also grants or denies motions to exceed the
4 number of pages permitted by court rule for death cases). See, Rule 10.02(f), (2003 Kan. Ct. R.
5 Annot. 67, 68). 100 pages for the defendant, 100 pages for the State, and 30 pages for the reply brief.

6 When “death” is in issue usually extra pages are permitted if counsel for the defendant, in
7 good faith, states that he or she cannot present the defendant’s case without more space. Extra pages
8 are also granted to the State to respond.

9 In *Kleypas* each Supreme Court member was presented with 1040 pages of submitted briefs
10 and over 10,000 pages of the record. *Kleypas* had 51 issues submitted for resolution on appeal. The
11 parties, at the appellate level, filed thirty-three motions.

12 *State v. Marsh* (No. 81,135) was argued to the current Kansas Supreme Court in October
13 2003. The brief filed on behalf of *Marsh* consists of 200 pages; the State’s brief has 179 pages. A
14 reply brief and two supplemental briefs from *Marsh* total an additional 68 pages. The *Marsh* record
15 contains 8,447 pages in 92 volumes.

16 Each member of the Kansas Supreme Court has only one law clerk. (Appellate judges
17 similarly situated in our neighboring states and I believe in all states, except Kansas, have two.
18 Federal appellate judges have at their discretion, either three or four. **It should be noted that**
19 **Kansas District judges do not even have one law clerk. “Death qualified” law clerks should be**
20 **funded and provided for trial judges in death cases).**

1 In 1994, the year the death penalty was enacted the Kansas Supreme Court had no central
2 staff. Routinely, each Supreme Court in a death penalty state has a law-trained staff assigned to work
3 on death cases.

4 Over the years from 1994 to 2000 the Kansas Supreme Court developed a one, then two,
5 then three, and finally four person central staff to assist the court in all civil and criminal matters.
6 All of the central staff clerks were assigned to the *Kleypas* case in addition to their normal duties.
7 The Supreme Court has recently created an attorney position to assist in death penalty appeals.

8 KSA 21-4627(a) requires that review of a death case "shall be expedited". Perhaps this is the
9 moment to relate that a "death case" does not exist in a vacuum. On the contrary it flows into the
10 hearing schedule of the Supreme Court along with the other criminal and civil business of the court.
11 The gargantuan dimensions of a death case, the voluminous trial court record, the great number of
12 issues, and the length of the briefs, not only take over your professional life but also occupy
13 "personal family time" during resolution of the issues on appeal.

14 The views expressed herein are mine. I do not speak for the Kansas Supreme Court.

15 **Observations of Defense Counsel**

16 A death penalty case differs from other criminal cases in several ways. Each difference has
17 an impact on the amount of resources a death penalty case requires.

18 As defense counsel on a burglary, or even a homicide in which death is not being sought as
19 a punishment, I do not necessarily need to know my client's life history. In "death" cases it is
20 essential that the defense team know all aspects of the accused's family history (maybe there is a
21 history of substance abuse and/or mental illness), school records (learning disabilities maybe at the
22 opposite end of the spectrum the accused was an excellent student), work history (past employers

1 give good anecdotal accounts of positive aspects of an accused's character), etc. Since anything could
2 be considered "mitigating" by the sentencer I must investigate all aspects of the life the State of
3 Kansas is seeking to take. Sometimes this leads us to people and records that are outside the state,
4 or even the United States.

5 Since the law regulating the imposition of death is much more expansive it requires several
6 dozen motions in each case. Each case is litigated, potentially, literally, to death. If we are taking a
7 position on a point of law in a motion, we try to cite the court all salient authority, whether
8 controlling or not. This simply takes more time for all parties concerned. More motion hearings are
9 required and the hearings take longer than in a non-death case.

10 Death penalty cases require expert witnesses to explain aspects of the accused's character or
11 mental state, or the nature of the offense. We try to find local experts but sometimes this is not
12 possible. Expert witnesses are expensive and their involvement with the evidence or the defendant
13 is often very time-consuming.

14 Potential jurors in death penalty cases must be more extensively questioned than in other
15 criminal cases and this requires a much longer selection process. Jury selection in Kansas has taken
16 as long as a month, although a week is more typical. It rarely takes more than a day to pick a jury in
17 a non-death case.

18 Death is different, and the death penalty will always cost more in money and other resources.
19 As a defender of individuals facing the ultimate penalty I have been honored to work in a system
20 that, up to now, has respect for the resources proper representation requires.

1 **The Prosecution Perspective – Observations**

2 The duty of the prosecution is to seek justice, not merely to convict.¹ This duty is one of the
3 prosecution’s motivations in deciding to endure the long, arduous process of a capital trial.

4 Prosecutors are servants of the law and a representative of the people. They represent a
5 sovereignty whose obligation to govern impartially is as compelling as its obligation to govern at all;
6 and whose interest, therefore, in a criminal prosecution is not that it shall win a case, but that justice
7 shall be done.² Prosecutors have the responsibility of a minister of justice and not simply that of an
8 advocate. This responsibility carries with it specific obligations to see that the defendant is accorded
9 procedural justice and that guilt is decided upon the basis of sufficient evidence.³

10 In capital cases, prosecutors must have absolute certainty of the defendant’s guilt. Prosecutors
11 do not seek the death penalty in every case that technically qualifies as a death penalty case. They
12 must also consider the existence of any mitigating factors in making the charging decision. They
13 should also remember that the victims – for whom no economic analysis or cost comparison is
14 considered – are often overlooked in capital cases. The victims will only be known to the jury as a
15 name. The jury will know little else about the victims’ lives.

16 The guilt phase of a capital trial is different in that voir dire lasts much longer. The
17 prosecution generally has little evidence to present during the penalty phase, as the aggravating
18 circumstances were usually proved during the guilt phase. The appeal phase of capital cases will take
19

¹ ABA Standards for Criminal Justice Standard 3-1.2(c).

² State v. Pabst, 268 Kan. 501, Syl. ¶6, 996 P.2d 321 (2000).

³ Comment to KRPC Rule 3.8 Special Responsibilities of a Prosecutor.

1 longer to address the numerous issues raised by the capital defendant. But this will begin to decrease
2 as Kansas develops a body of case law in such cases.

3 4 **Trial Court Perspective on Death Penalty Litigation**

5 It has been said that, in the context of capital case litigation, "death is different". I agree.
6 Perhaps my most vivid impression of death penalty cases in which I have participated is the
7 inordinate amount of time and the consequent drain on judicial resources a capital case entails. It
8 is certainly not unusual for over 100 motions to be filed in a typical capital case. For example, in
9 the *Kleypas* case over 200 motions were filed by the defendant, which resulted in excess of 30 pre-
10 trial hearing dates. Many, if not most, of capital case motions require significant research and court
11 time. By way of illustration, I estimate that I devoted approximately six full months of my time to
12 the *Kleypas* case until it was concluded. Seldom do the parties agree on pre-trial matters in a death
13 penalty case, which of course necessitates frequent hearings.

14 The trial itself typically involves considerably more time due to the increased complexity of
15 capital case litigation, our bifurcated trial process, and the requirement of "super due process". I
16 suspect that it would be very difficult to completely try any death penalty case from beginning to end
17 in less than one month.

18 It also bears mention that the trial judge's regular court docket needs continued attention
19 during the litigation of a capital case. It is difficult to stay abreast of a regular docket because a death
20 penalty case demands significant court time. During the *Kleypas* case, it became necessary to
21 schedule hearings on weekends and during evening hours so that the regular docket was not
22 neglected. This became a strain on our resources and on the clerks, court reporters, security, and

1 attorneys. Moreover, even though a capital case comprises a significant drain on time and resources,
2 a corresponding increase in funding to assist the judiciary in handling these cases has not been
3 forthcoming.

4 No mention of death penalty litigation from the trial court's perspective can be complete
5 without a reference to other, more intangible dynamics typically at play in a capital case. Capital
6 cases generally entail the "worst of the worst" and they can (and do) exact an emotional toll on many
7 of the participants. Because the defendant's life literally hangs in the balance, tension in the
8 courtroom is at times very palpable. Strain, tension, and raw emotion were very evident in many of
9 the *Kleypas* trial participants. A capital case tends to become "personal" because the death penalty
10 itself is so emotionally-charged and controversial. Accordingly, the trial itself is typically bitter with
11 no quarter asked nor none given.

12 I believe a death penalty case can be particularly difficult on the jury. The trial will typically
13 last for a month or more and during this time jurors are exposed to horrific testimony and
14 photographs. During the *Kleypas* trial I saw jurors become nauseous and then emotional to the point
15 of tears. I am always mindful of the efforts of the *Kleypas* jury as they were placed in an unwanted
16 position and had to make a very difficult decision.

17 One additional issue should be briefly addressed from the trial court's perspective. A death
18 sentence which is affirmed on appeal does not end matters for the trial court. A death sentence
19 which is affirmed on appeal will typically initiate a new round of litigation pursuant to K.S.A. 60-
20 1501 et. seq. This second round of litigation is generally filed pursuant to K.S.A. 60-1507 and will
21 necessitate further hearings (often extensive) in the original trial court. These post-appeal matters

1 will no doubt be very time-consuming and will require additional resources from a judiciary already
2 over-burdened.

3 In retrospect, I was naive and not prepared for the incredible amount of time a capital case
4 entails. It is imperative that the judiciary be afforded adequate resources so that the trial bench can
5 devote the time these cases demand.

6
7 **THE EXPENSE OF THE DEATH PENALTY**

8 Death penalty laws impose substantial added costs on the state taxpayer's legal bill beyond
9 the costs of a penal procedure that does not include the death penalty. Capital punishment laws lead
10 to prosecuting capital cases that are very expensive due to high trial costs, and increased appeals
11 costs, retrial costs, lost opportunity costs, and living costs. Many defendants charged with capital
12 offenses end up living for years in prison, whether or not they are convicted of a capital crime. This
13 also costs the taxpayers more money.

14 Kansas death penalty law contains many untested and unusual legal issues. The first recent
15 death penalty case to be appealed was *State v. Kleypas*, 272 Kan.894 (2001). The sentence of death
16 in that case was reversed and a new sentencing trial was ordered. The case led to very high court
17 costs at the trial and appellate level, and it was extremely time consuming for judges, lawyers, and
18 court personnel. There are six other death penalty cases on appeal at the present time. They are also
19 complex cases.

20 The capital case also consumes more of trial courts' time than the non-capital case. The
21 capital case demands more pre-trial time to prepare than does the non-capital murder case. The
22 capital case often takes a year to come to trial. Even before the prosecutor has given notice that it

4-15

1 will seek the death penalty, experienced defense counsel have begun preparing a capital defense.
2 This defense will be a defense in two eventual trials: a trial on guilt and a penalty trial which, upon
3 conviction in the first trial, will follow immediately.

4 At the earliest stages of the criminal proceedings, competent defense counsel must engage
5 the costly services of investigators, psychological evaluators, and the services of the mitigation
6 specialist: a forensic researcher who will develop an exhaustive “social history” of the accused.
7 This history will be of use to counsel in both the trial of guilt or innocence and in the penalty trial.
8 Last term, the United States Supreme Court ruled in *Wiggins v. Smith*, 539 U.S. _____, 123 S.
9 Ct. 2527(2003), that compiling a social history is a requirement of competent representation in death
10 penalty mitigation proceedings, and that a capital defense lawyer who does not have such a report
11 prepared must show that the report would not have aided in the case or the case may be reversed and
12 a new trial on penalty ordered.

13 The capital case requires more lawyers (on both prosecution and defense sides), more experts
14 on both sides, more pre-trial motions, longer jury selection time, and a longer trial. Researchers at
15 Duke University found that a capital murder case is over three times longer to try than a non-capital
16 murder case. See, Cook and Slawson, “The Cost of Prosecuting Murder Cases in North Carolina,”
17 Duke University, Terry Sanford Institute of Public Policy, (1993). Some consider the capital trial the
18 single most costly element of the capital punishment legal process that extends from arrest through
19 trial to sentencing and possible execution.

20 The lack of certainty surrounding the imposition of the death penalty is frustrating for the
21 families of victims and upsets those who demand prompt and certain punishment of those
22 condemned to death. It may take ten to twelve years from conviction for an execution.

1 The post conviction process is a long process even with changes in federal law intended to
2 streamline it. The process after trial includes appeal to the state supreme court and petition for review
3 in the U.S. Supreme Court. Following denial of Supreme Court review, the inmate may seek state
4 habeas corpus relief. The inmate may challenge his conviction on habeas corpus in order to preserve
5 his right to review again in federal court. The inmate can then appeal a denial of state habeas relief
6 to the state Supreme Court and to the U.S. Supreme Court. After losing again in the U.S. Supreme
7 Court and upon issuance of a state death warrant, the inmate can again initiate federal habeas
8 proceedings to avoid execution. A federal court may then delay state efforts to execute the inmate.
9 If evidentiary hearings are required to decide the issues in the case, the case can be litigated for years.
10 After losing the habeas case in federal district court, the inmate can appeal to the U.S. Circuit Court
11 and to the U.S. Supreme Court. If the inmate loses there, the stay of execution is lifted. A new death
12 warrant is obtained and lawyers again begin to seek to prevent execution in state and then in federal
13 court. These new claims are appealed to the U.S. Circuit Court and eventually to the U.S. Supreme
14 Court.

15 The post-conviction process includes difficult, and time consuming, legal and factual issues.
16 There is also a nation-wide reversal rate of over two out of every three capital judgments due to
17 serious error. See Leibman, et al. "A Broken System, Error Rates in Capital Cases 1973-1995"
18 (Columbia University June 2000 research study). The Leibman study also found that when the cases
19 were retried, over 80% of the defendants received a sentence less than death. See Leibman study
20 cited in "Death Penalty Information Center, Testimony of Richard Dieter, Executive Director, Before
21 the Nevada Legislative Commission's Subcommittee to Study the Death Penalty and Related DNA
22 Testing", Assembly and Senate of Nevada, Las Vegas, Nevada April 18, 2002 on the internet at

1 [http:// www. Deathpenaltyinfo.org/article.php?scid=7&did=258](http://www.Deathpenaltyinfo.org/article.php?scid=7&did=258). And, the costs of the convicted
2 defendant's possible lifetime incarceration must also be included in overall cost considerations.

3 A death penalty process combining high costs of trial, investigation, and appeals with
4 resulting life in prison is very expensive. When a case charged as a death penalty case ends without
5 a death sentence or where, as in most cases, the death sentence is not carried out, the taxpayer pays
6 for a costly criminal trial and for a life sentence, sometimes with years of confinement in maximum
7 security (death row), with added health and medical costs.

8 The more fair and the more reliable the procedures that are used by the state to seek and to
9 impose the death penalty, the higher the costs incurred. Higher legal standards for death penalty
10 defense at trial and on appeal, and for post-conviction proceedings, higher pay for lawyers, more
11 time spent by prosecutors to respond to the defense case, and more thorough review by the appellate
12 courts add to the high cost.

13 Death penalty costs can easily spiral. State criminal justice systems are run economically.
14 Salaries of those working in the criminal justice system are often modest. Jurors are paid a token
15 sum for their service. Court facilities are usually not elaborate. The cost of the death penalty can
16 weigh heavily on this system and weaken it as the recent inadequate BIDS budget for appointed
17 counsel has shown. Courts at the trial and appellate level can become so busy with capital litigation
18 matters, that other court business can suffer from potential neglect due to lack of time and personnel.

19 The ABA *Guidelines for the Appointment and Performance of Defense Counsel in Death*
20 *Penalty Cases*, Revised edition (February 2003) are recommended national standards of practice
21 developed to ensure high quality legal representation for all persons facing the possible imposition
22 or execution of a death sentence in any jurisdiction. The standards apply once a person is taken into

1 custody and extend to all stages of every case in which the state or federal government may seek the
2 death penalty, including initial and ongoing investigation, pretrial proceedings, trial, post conviction
3 review, clemency proceedings, and any connected litigation. In February 2003, these standards were
4 revised upward. They now require membership on the defense team of “at least one mitigation
5 specialist.”

6 The new Guidelines also require “high quality representation” in defense of death penalty
7 cases. This is a more demanding standard than the former Guideline standard: “effective assistance”.
8 The same standards apply whether the capital defense counsel is appointed or retained. The
9 Guidelines seek to apply at “the moment the client is taken in to custody” in a death eligible case,
10 and funding should begin at this time. At the outset of representation a team of two attorneys, and
11 an investigator, and a mitigation specialist should be assembled. One member of the team should be
12 qualified to screen for mental retardation and mental illness. If counsel is retained and lacks funds
13 to hire such assistants, funds should be supplied by the court. All members of the team, including
14 the non-lawyers, must receive death penalty specific training at least every other year.

15 So that clients get the necessary quality of representation, the Guidelines recommend that
16 attorney and other team members should receive “full” funding. Public defenders must receive
17 comparable salaries to the prosecutors’ salaries. For private practitioners, the hourly rate should be
18 the market rate for retained lawyers doing similar work. The commentary to the Guidelines points
19 out that in the criminal justice system, “you get what you pay for” and, therefore, discourages flat
20 fees, caps, and other cost saving methods that could hinder quality representation. The commentary
21 to the Guidelines encourages periodic payment to lawyers rather than requiring counsel to wait until
22 the case is concluded.

1 The United States Supreme Court has reaffirmed recently in *Wiggins v. Smith*, 539 U.S. ____,
2 123 S. Ct. 2527 (2003), that its standard of effective assistance of counsel under the 6th Amendment
3 in death penalty cases is influenced by local community standards and the *ABA Guidelines for the*
4 *Appointment and Performance of Defense Counsel in Death Penalty Cases*.

5 Application this year of ABA Guideline standards to *Wiggins*, a case originally tried in 1989,
6 led to a reversal of the death sentence. Two trial defense counsel had not commissioned a social
7 history mitigation report, even though they had obtained social service records and a psychological
8 evaluation. The Court found that information they had overlooked might have made a difference in
9 the outcome of the death penalty phase of the trial.

10 State lawmakers must be aware of Supreme Court case law and the ABA standards when they
11 enact capital legislation. Types of mitigation evidence: evidence relevant to leniency in sentencing,
12 (which the defendant has an absolute right to present at the penalty hearing) is very broad. See
13 *Lockett v. Ohio*, 438 U.S. 86 (1978). Furthermore, recently, the Supreme Court announced that the
14 mentally retarded are not subject to execution. That case, *Atkins v. Virginia*, 536 U.S. 304 (2002)
15 has led states to modify their capital punishment laws to assure that adequate procedures are in place
16 to determine who is mentally retarded. A new case on these issues, *Tennard v. Dretke*, 124 S.Ct.
17 383 (memorandum opinion granting certiorari review) is pending before the U.S. Supreme Court this
18 term. The Court could expand exemption from execution beyond the mental retardation exemption
19 to include other forms of mental disability.

1 **WHAT THE DEATH PENALTY COSTS IN KANSAS**

2 The Committee agreed that the best information relating to what the death penalty costs in
3 Kansas can be obtained by reading the Legislative Division of Post Audit Performance Audit Report
4 entitled "Costs Incurred for Death Penalty Cases: A K-GOAL Audit of the Department of
5 Corrections", which is dated December, 2003. The report is available upon request from:

6 Legislative Division of Post Audit
7 800 SW Jackson, Suite 1200
8 Topeka, Kansas 66612-2212
9 (785) 296-4482.

10 The report is also available on the Post Audit website which is : <http://kslegislature.org/postaudit>.

11 The following is information taken from the Executive Summary of the Legislative Post
12 Audit Report.

13 Actual cost figures for death penalty and non-death penalty cases in Kansas don't exist.
14 Some information presented here is based on estimates because judges, attorneys, court staff, and
15 local law enforcement officers don't keep case-by-case time records and projections. Other costs
16 had to be projected because most death penalty cases in Kansas are in the early stages of the process,
17 and there's no way to know how many appeals these cases will have.

18 **During this audit, we obtained and compared estimated cost information for 22 cases.**

19 **This included:**

- 20 • 7 cases where the death penalty was sought and given
- 21 • 7 cases where the death penalty was sought and not given
- 22 • 8 first degree murder cases where the death penalty was not sought

1 All 22 cases had gone to trial and resulted in a conviction.

2 **Cases in which the death penalty was sought and imposed could cost about 70% more**
3 **than cases in which the death penalty wasn't sought.** The estimated median cost of a case in
4 which the death sentence was given was \$1.2 million, compared to the same estimated casts for a
5 non-death penalty case of about \$740,000.

6 The State will bear about 85% of the total estimated and projected costs for the 14 cases in
7 which the death penalty was sought.

8 **Death penalty cases tend to have higher costs at the trial and appeal stages.** The median
9 trial cost for cases in which the death penalty was imposed was more than \$500,000, compared to
10 about \$33,000 for the median non-death penalty cases we reviewed. At just over \$400,000, the
11 projected appeal-related costs for the death penalty cases in our sample was more than 20 times the
12 projected cost for cases in which the death penalty wasn't sought. Numerous factors can make death
13 penalty cases more expensive, such as lengthier proceedings, more experts, and more issues to ligate.

14 The Judicial Council Death Penalty Advisory Committee reviewed numerous reports relating
15 to costs in death penalty cases and considers the Post Audit Report to be excellent. The Post Audit
16 Report has the additional advantages of being current and specific to Kansas. The Judicial Council
17 Committee has no criticism of the Post Audit Report.

18

19 WHAT KANSAS HAS DONE TO CONTAIN COSTS

20 This section examines the efforts made by the State of Kansas to contain death penalty costs.
21 In examining these efforts, it is important to keep in mind that death penalty cost containment
22 involves two considerations: containing the costs of the death penalty trial and appellate process in

1 the first instance; and avoiding errors which result in a costly retrial or possibly a civil suit. In some
2 respects, these two interests are competing ones, in that the avoidance of errors will generally be
3 expected to result in more up-front expense, but can also be expected to provide a greater cost
4 savings in the long run in reduction of costly retrials or lawsuits. Conversely, cost containment at
5 the initial proceeding provides more immediate benefits, but care must be taken to ensure that such
6 savings do not lead to increased costs in the long run due to a higher risk of error.

7 With these two considerations in mind, a review of the Kansas death penalty system reveals
8 several areas where attempts have been made to reduce the cost of the death penalty. These areas
9 include: 1) reducing the costs incurred in presenting a defense for indigent defendants at both the
10 trial and appellate level; 2) reducing the costs associated with the processing of appeals; and 3)
11 systemic features which have the effect of containing the cost of the death penalty.

12 1. Reducing the Costs Incurred in Presenting a Defense for Indigent Defendants at Both
13 the Trial and Appellate Level.

14 One of the significant costs involved in death penalty cases is the expense the State incurs
15 in presenting a defense for indigent defendants. At the same time, failure to provide an adequate
16 defense is a factor which results in reversals of convictions and expensive retrials.

17 For indigent defendants, representation in death penalty cases at the trial level is provided
18 by the Board of Indigent Defense Services' Death Penalty Defense Unit. At the appellate level,
19 representation is provided by the Capital Appellate Defense Office and the Capital Appellate
20 Defense and Conflicts Office. These offices are staffed with attorneys who meet the criteria for
21 experience and training established by the American Bar Association for death penalty cases. The

1 use of specialized trial and appellate staff reduces the possibility of errors in representation that
2 would require an expensive retrial of the case.

3 The separate appellate conflicts office has been set up for use in those cases with multiple
4 defendants. Funds have been requested for a similar conflicts office at the trial level. Absent such
5 offices, representation in cases involving multiple defendants would have to be sent out to private
6 counsel. Such private counsel is in most instances more expensive than representation by in-house
7 counsel. The use of an in-house conflicts office reduces the need for the hiring of private counsel,
8 with a resulting cost savings to the taxpayers.

9 The trial-level death penalty defense unit also includes a mitigation specialist among its
10 professional staff. The American Bar Association's Guidelines for the Appointment and
11 Performance of Counsel in Death Penalty Cases provides that investigations into mitigating evidence
12 "should comprise efforts to discover all reasonably available mitigating evidence and evidence to
13 rebut any aggravating evidence that may be introduced by the prosecutor." ABA Guidelines for the
14 Appointment and Performance of Counsel in Death Penalty Cases 11.4.1(C), p. 93 (1989). The
15 United States Supreme Court has reversed cases in which defense counsel failed to provide adequate
16 mitigation services. See *State v. Wiggins*, __ U.S. __, 156 L. Ed. 2d 471, 123 S.Ct. 2527 (2003).
17 The use of an in-house mitigation specialist to perform mitigation services insures that such services
18 will be provided in accordance with ABA standards, thus reducing the possibility that failure to
19 provide adequate mitigation services will be the basis for an expensive retrial. Further, the use of
20 an in-house mitigation specialist provides cost-savings over the alternative of retaining private
21 mitigation specialists.

1 In addition, the Board of Indigent Defense Services applies other methods to reduce the cost
2 to taxpayers in individual cases. In cases where it is necessary for courts to appoint private attorneys,
3 the Board furnishes to the court a list of attorneys qualified and willing to accept death penalty
4 defense cases for reduced fees. Where outside experts are necessary, the Board negotiates for
5 reduced fees from the experts when possible.

6 2. Reducing the Costs Associated with Appeals

7 Although the bulk of costs in a death penalty case are incurred at the trial court level, there
8 are also significant costs associated with appeals in death penalty proceedings. Under Kansas law,
9 a sentence of death is automatically reviewed by the Kansas Supreme Court. Even if the sentence
10 is affirmed on appeal, a defendant may file a state habeas proceeding alleging that his or her
11 constitutional rights were violated. These appeals create a strain on the judicial resources of the
12 Kansas Supreme Court.

13 Given the requirements imposed by the United States Supreme Court, there is very little that
14 can be done to contain costs at the appellate level. Nevertheless, the Kansas Supreme Court is
15 actively involved in attempting to find ways to improve its efficiency in handling such cases. One
16 method employed has been the creation of an attorney position dedicated to death penalty appeals
17 to advise the justices on the nuances associated with such cases. It is hopeful that this position will
18 ultimately result in substantial cost savings in attorney-hours involved in death penalty cases.

19 3. Systemic Features of the Kansas Death Penalty Scheme

20 In addition to the above cost-containment measures, the makeup of the Kansas Death Penalty
21 scheme has the effect of promoting some cost containment. First, the class of murders which are
22 eligible for the death penalty is a narrow one. Pursuant to K.S.A. 21-3439, a defendant may only be

1 eligible for the death penalty if he or she is convicted of capital murder. That statute defines capital
2 murder as: 1) the intentional and premeditated killing of any person in the commission of
3 kidnapping or aggravated kidnapping with the intent of holding such person for ransom; 2) the
4 intentional and premeditated killing of any person pursuant to contract or agreement; 3) the
5 intentional and premeditated killing of any person by an inmate or prisoner; 4) the intentional and
6 premeditated killing of the victim of rape, criminal sodomy, or aggravated criminal sodomy; 5) the
7 intentional and premeditated killing of a law enforcement officer; 6) the intentional and premeditated
8 killing of more than one person as a part of the same act or transaction or in two or more acts or
9 transactions connected together or constituting parts of a common scheme or course of conduct; or
10 7) the intentional and premeditated killing of a child under the age of 14 in the commission of
11 kidnapping or aggravated kidnapping where such crime was committed with the intent to commit
12 a sexual offense upon or with the child or with intent that the child commit or submit to a sex
13 offense. The effect of this narrow eligibility for the death penalty results in fewer death eligible
14 cases than in those states which make all premeditated murders death eligible.

15 In addition, the Kansas death penalty scheme further narrows the class of defendant subject
16 to the death penalty by requiring the State to establish at least one statutory aggravating factor
17 contained in K.S.A. 21-4625 before the death sentence may be imposed. These statutory aggravating
18 factors are: 1) the defendant was previously convicted of a felony in which the defendant inflicted
19 great bodily harm, disfigurement, dismemberment or death on another; 2) the defendant knowingly
20 or purposely killed or created a great risk of death to more than one person; 3) the defendant
21 committed the crime for the defendant's self or another for the purpose of receiving money or any
22 other thing of monetary value; 4) the defendant authorized or employed another person to commit

1 the crime; 5) the defendant committed the crime in order to avoid or prevent a lawful arrest or
2 prosecution; 6) the defendant committed the crime in an especially heinous, atrocious or cruel
3 manner; 7) the defendant committed the crime while serving a sentence of imprisonment on
4 conviction of a felony; and 8) the victim was killed while engaging in or because of the victim's
5 performance or prospective performance as a witness in a criminal proceeding. These aggravating
6 factors are then weighed against evidence in mitigation in order to determine whether the death
7 sentence will be imposed. K.S.A. 21-4624. The effect of this further narrowing of those defendants
8 who are death eligible is to help insure that the death sentence will be reserved for those defendants
9 to which it is most warranted. While this secondary narrowing does not serve to contain costs at the
10 trial level, it narrows the persons subject to the death penalty and thus contains costs at the appellate
11 level, as well as costs connected with state habeas corpus petitions.

12
13 **DEATH PENALTY COSTS IN OTHER JURISDICTIONS**

14 News reports and scholarly studies from various states agree that a sentence to death is many
15 times more expensive than a sentence to natural life in prison. The most comprehensive report, a
16 10-year-old study of the North Carolina death penalty, places the cost of each execution at \$4
17 million. A 1998 study of capital trials in federal courts was limited to the trial of capital cases (not
18 the costs of appeals and the execution itself). The federal study found that capital case defense costs
19 alone were nearly four times higher than in non-capital homicide cases. It also found that
20 prosecution costs, on average, were even higher than defense costs.

21 Because of the variable quality of reports and different statutory schemes it is difficult to
22 precisely determine the cost of death penalty cases anywhere. For example, the North Carolina

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1 Study⁴ is probably the most comprehensive study published in the past, but applying its findings
2 wholesale to Kansas is not possible for several reasons. First, the North Carolina death penalty⁵
3 results in many more cases than the more limited Kansas law. Second, at the time of the study,
4 North Carolina's death penalty had been in force for 18 years. Therefore, much of the initial and
5 more time-consuming litigation incurred by a new law was already settled at the time of this study.
6 For these reasons this committee finds that a review of other states' procedures provides valuable
7 background and benchmarks with which to evaluate Kansas' system, but there is no simple
8 conclusion to be drawn from such a review.

9 Additionally, the reports of the various states do not lend themselves to precise comparison
10 because each covers a different part of the legal process, *i.e.*, the Federal study considers only trial
11 costs and does not address post-conviction or imprisonment costs. So too, some studies concentrate
12 only on defense costs, finding the prosecution and court expenses too difficult to quantify. Thus one
13 must be careful when generalizing regarding other states' experience.

14 The following summarizes conclusions in death penalty cost literature by state:

15 **California.** California's death penalty costs the state \$90 million more annually over
16 ordinary costs of the justice system. \$78 million of that total is incurred at the trial level.⁶
17 "Elimination of the death penalty would result in a net savings to the state of at least several tens of
18 millions of dollars annually, and a net savings to local governments in the millions to tens of millions

⁴P. Cook, "The Costs of Processing Murder Cases in North Carolina," Duke University (May 1993).

⁵N.C.G.S.A. § 15A-2000.

⁶Sacramento Bee, March 18, 1988.

1 of dollars on a statewide basis.” quoting the Joint Legislative Budget Committee of the California
2 Legislature, Sept. 9, 1999.⁷

3 **Connecticut.** Public defender services was the only agency which had arguably reliable cost
4 data comparing capital and non-capital cases. Defense costs in cases receiving a sentence of life
5 without parole costs ranged between \$85,540 and \$320,580 for an average of \$202,365. Of seven
6 cases on death row, costs ranged between \$101,870 to \$1,073,922 for an average of \$380,000 per
7 case. On average, costs of death case defense are 88% higher than cases with sentences of life
8 without parole.⁸

9 **Florida.** In 1988 Von Drehle estimated that each execution cost the state \$3.2 million. In
10 2000 the Palm Beach Post estimated that Florida would save \$51 million each year by punishing all
11 first-degree murderers with life in prison without parole. Based on the 44 executions Florida has
12 carried out between 1976 and 2000, that equates to about \$24 million per execution. This finding
13 takes into account the relatively few inmates who are actually executed, as well as the time and effort
14 expended on capital defendants who are tried but convicted of a lesser murder charge, and those
15 whose death sentences are overturned on appeal.⁹

16 **Georgia.** The Atlanta Journal-Constitution detailed some of the costs of a capital trial which
17 resulted in a life sentence. Prosecutors’ salaries exceeded \$74,000 for the two months of trial and
18 jury selection, and they spent approximately \$34,000 for equipment, court exhibits, and expert

⁷The Catalyst, February 22, 2000.

⁸State Commission on the Death Penalty, *Study Pursuant to Public Act No. 01-151 of the Imposition of the Death Penalty in Connecticut*, submitted to the Connecticut General Assembly January 8, 2003.

⁹Palm Beach Post, January 4, 2000.

1 testimony. An additional \$43,000 was spent on overtime for investigators. Defense fees and
2 expenses were expected to exceed \$364,000, and it cost more than \$87,000 to select and sequester
3 the jury.¹⁰

4 **Indiana.** The death penalty costs 38% more than total cost of life without parole sentences.
5 The study assumed that 20% of death sentences are overturned and resented to life.¹¹

6 **Nebraska.** After a global study of Nebraska death penalty law and practice, including the
7 costs of housing a prisoner for life without parole compared to a death-sentenced prisoner, the
8 legislature's study concluded that, "... there is sound basis to conclude that the argument that the
9 death penalty provides Quantifiable Benefits to the state in the form of taxpayer savings is incorrect.
10 Adjudication of capital cases incurs additional costs that are significantly greater than the savings
11 in incarceration costs realized from execution as opposed to life imprisonment."¹²

12 **New York.** New York passed a death penalty shortly after Kansas. The New York Law
13 Journal reports that the defense team spent approximately \$1.7 million to mount the defense in one
14 case, and the state's Capital Defender Office invested \$1.2 million into producing the team's
15 779-page brief. The budget for the New York Court of Appeals has increased by more than
16 \$533,000 annually to enable each of the Court's seven judges to have an additional clerk for capital
17 cases. The Brooklyn District Attorney's office was reimbursed \$707,259 to cover the personnel cost
18 of one case, and the Queens District Attorney's Office estimates that seeking the death penalty

¹⁰Atlanta Journal-Constitution, May 12, 2002.

¹¹Indiana Criminal Law Study Commission, January 10, 2002.

¹²Judiciary Committee, Nebraska Legislature, "*An Interim Study to Gather Information As to Policy Considerations Relating to Legislation that would Repeal the Death Penalty,*" (1997)

1 translates into 300% to 500% more work than for a non-capital murder trial. Additionally the State
2 Department of Correctional Services spent \$1.3 million to construct New York's death row for 12
3 inmates and it pays nearly \$300,000 per year to guard the unit.¹³

4 **North Carolina.** An execution costs \$2 million more than a non-death homicide, including
5 costs of imprisonment for a presumed 20 years. A trial which goes through penalty phase (regardless
6 of whether death is imposed) costs \$55,000 more than a non-capital murder trial. Appeals of death
7 sentences cost \$7,000 more than the appeals of life sentences, and the average cost of death penalty
8 post-conviction proceedings is \$255,000. Incarceration of a death-sentenced inmate who is executed
9 10 years after sentencing costs the state \$166,000 less than a prisoner paroled after 20 years.
10 Combining all costs and savings, excluding non-attorney investigative costs, the costs of experts
11 employed as government workers, or other assistance provided by law enforcement agencies, the
12 death penalty costs North Carolina \$4 million per year.¹⁴

13 **Ohio.** The Columbus Dispatch estimated that the execution of a mentally ill man who
14 wanted to be executed cost the state at least \$1.5 million. The attorney general reported that five to
15 15 prosecutors who worked on the case spent between five and ten percent of the capital crimes
16 section's budget over the five years the case was litigated.

17 **Oklahoma.** The Associated Press reports that a legislative committee was told that the cost
18 of an Oklahoma execution is \$1.2 million, or \$222,200 more than it would have cost to house the

¹³New York Law Journal, April 30, 2002.

¹⁴Using a hypothetical case of execution after 10 years compared to non-death-sentenced convict released at 20 years, and adding in the extra costs of cases tried as capital but resulting in life sentences.

1 inmates in prison through 2003, and the cost was expected to climb when cost figures are received
2 from prosecutors.¹⁵

3 **Texas.** A journalist has estimated that a death penalty case costs Texas taxpayers on average
4 \$2.3 million, about three times the cost of imprisoning someone in a single cell at the highest
5 security level for 40 years. The Wall Street Journal reports, "Just prosecuting a capital crime can
6 cost an average of \$200,000 to \$300,000, according to a conservative estimate by the Texas Office
7 of Court Administration." This does not include defense costs of trial and appeal.¹⁶

8 **United States Courts.** A 1998 study by the Judicial Conference of the United States
9 examined trial costs of federal death penalty cases and compared those costs to federal homicide
10 cases in which the death penalty was not sought. The result was consistent with the state system
11 studies except that the federal study did not include costs of appeals, post-conviction actions and
12 incarceration. In the federal system the average cost of defense representation alone in cases where
13 death was not authorized was \$55,772, while in cases where death was authorized the average cost
14 per case was \$218,112. Average prosecution costs for both tried and non-tried death penalty cases
15 was reported by the Department of Justice to be \$365,000 which did not include non-attorney
16 investigative costs, the costs of experts employed as government workers, or other assistance
17 provided by law enforcement agencies. The report indicates that the defense cost figure may be a
18 bit low due to record-keeping anomalies. This report is notable, however, because it contains a
19 number of recommendations for cost control in these expensive cases.

¹⁵Ron Jenkins, Associated Press, October 16, 2003.

¹⁶The Wall Street Journal, January 9, 2002.

1 In summary, it is relatively difficult to precisely calculate the cost of the death penalty. The
2 studies differ widely in the assumptions made and in sophistication, however they all conclude that
3 the death penalty is more expensive than justice systems without capital punishment. When
4 examining the various studies, the reader must always be mindful that many costs are not included
5 in budget line items. Claims by government agencies (prosecutors, public defenders, courts) that no
6 additional salaries are incurred whether they are working on a death penalty case or a burglary should
7 be discounted simply because the extra hours spent on a death penalty case necessarily take time
8 from other productive and necessary pursuits.

9 Conclusions

10 The following conclusions may be gleaned from the study of other states' reported costs of
11 operating a criminal justice system which imposes a death penalty.

- 12 • Trial in death penalty costs at least 30 to 50 percent more than a non-capital homicide
13 trial.
- 14 • Only 11.3 % of those who were sentenced to death between 1973 and 2002 have
15 been executed.¹
- 16 • 68% of death penalty cases are overturned on appeal, so the additional costs of re-
17 trial of either or both phases must be included in any survey of death penalty costs.
- 18 • The cost of the death penalty has risen as years have passed, and thus can be expected
19 to continue to increase in the future.

¹ Bureau of Justice Statistics, "Capital Punishment 2002," Appendix, Table 3 (Nov. 2003)

1 It is highly questionable whether these caps are desirable. First, there is a question as to their
2 constitutionality. The American Bar Association has taken the position that "Flat fees, caps on
3 compensation, and lump-sum contracts are improper in death penalty cases." 2003 ABA Guidelines
4 for the Appointment and Performance of Defense Counsel in Death Penalty Cases, Guideline
5 9.1(B)(1). While the ABA Guidelines are not binding law, they have been cited by the United States
6 Supreme Court as instructive in considering the question of whether a defendant's attorney have met
7 prevailing professional standards, and thereby provided effective assistance of counsel. See *Wiggins*
8 *v. Smith*, ___ U.S. ___, 156 L. Ed. 2d 471, 123 S. Ct. 2527 (2003). The imposition of such caps
9 without a mechanism for allowing them to be exceeded when circumstances warrant is almost
10 certainly unconstitutional. (Both Missouri and Oklahoma allow defense attorneys to request greater
11 fees if warranted). Because there must be a mechanism to allow the caps to be exceeded, it is
12 questionable whether they actually operate to contain cost. The dubious constitutionality of the caps
13 combined with their limited utility appear to make caps of limited value in containing costs. It
14 appears that the current cost-saving measures employed by the Board of Indigent Defense Services,
15 including negotiating with private attorneys and experts for reduced fees where possible and
16 employing an in-house mitigation specialist are more promising cost containment devices than caps
17 on services.

18 B. Adding Life Without Parole as the Alternate Sentence for Capital Murder When the
19 Death Penalty Is Not Imposed.

20 One option implemented by other states that could potentially save on death penalty costs is
21 that of making the alternate sentence for capital-eligible crimes in which the death sentence is not
22 imposed be life imprisonment without the possibility of parole, or at the very least presenting life

1 imprisonment without parole as a sentencing option. Of the 38 states which have capital
2 punishment, 13 states have established life without parole as the sentence in capital cases where the
3 death penalty is not imposed, and an additional 20 states include life without parole as a sentencing
4 option. An additional state, Texas, considered a bill adding life without parole as a sentencing
5 option in 2003. However, the bill failed to receive enough votes in the Texas Senate to allow it to
6 come to the floor for a full debate. See "Texas Senate Rejects Life-Without-Parole Option", Houston
7 Chronicle, April 22, 2003.

8 The imposition of life in prison without the possibility of parole as the sentence to be given
9 if death is not imposed has the potential to contain death penalty costs associated with trials, in that
10 prosecutors might be more unlikely to seek the death penalty where the default sentence is life
11 without possibility of parole. This would eliminate the penalty phase in those capital murder trials,
12 along with the associated costs of screening jurors for death eligibility. Further, even if prosecutors
13 continued to seek the death penalty in such cases, there is at least some evidence that jurors are less
14 likely to impose the death penalty where they know that life without parole is an option. See Alex
15 Kotlowitz, "In the Face of Death", New York Times Magazine, July 6, 2003 (citing the increasing
16 availability of life without parole as a factor in decreasing the number of death sentences imposed
17 since 1996). This would not only ensure that the death penalty in Kansas is reserved only for the
18 most deserving defendants, but also lower the costs associated with appeals and post-conviction
19 proceedings.

20 Establishing life without parole as the alternate sentence is particularly suited to states such
21 as Kansas which apply the death penalty to a narrow subsection of murders rather than all intentional
22 murders in general. Because Kansas "narrows" the class of defendants eligible for the death penalty

1 by limiting it to those convicted of capital murder, imposing an alternate sentence of life without
2 parole does not cause the problems that such a sentence would if it applied to all first degree
3 murders. Currently, in Kansas, if a defendant is convicted of capital murder and the jury decides not
4 to impose the death penalty, the defendant is sentenced by the judge to either life in prison with
5 parole eligibility in 25 years ("life in prison") or to life in prison with parole eligibility in 50 years
6 ("the hard-50"). In practice, every defendant in Kansas that has thus far been convicted of capital
7 murder but spared the death penalty has been sentenced to the "hard-50" or its predecessor the "hard-
8 40" (life with parole eligibility in 40 years). As a result, the default sentence is in practical effect
9 already life without the possibility of parole. However, because even the "hard 50" sentence is not
10 a "true" life sentence, and further is not automatically imposed, jurors are left with uncertainty as to
11 when the defendant might become eligible for parole. Establishing life without parole as the
12 alternative sentence will put an end to this uncertainty.

13 By establishing life without parole as the sentence for capital murder in cases in which the
14 death sentence is not imposed, Kansas will not only be bringing its sentencing scheme in line with
15 the actual practice, but also will realize substantial savings if prosecutors seek or jurors impose the
16 death penalty less frequently as a result.

17 C. Unitary Appeals System

18 Another manner in which other states have sought to reduce or contain the cost of the death
19 penalty is through a "unitary" appeals system. In such a system, a defendant, with very limited
20 exceptions, is required to file his or her state petition for post-conviction relief at or near the same
21 time as his or her direct appeal, or see any issues which could have been raised considered waived.
22 Oklahoma has such a system, and Texas is considering its adoption. In contrast, Kansas allows for

1 the filing of petition for post-conviction relief with the district court subsequent to the direct appeal.
2 If the petition is denied, then the denial may be appealed to the Kansas Court of Appeals.

3 From a state standpoint, there are some potential savings, in that many issues which Kansas
4 now addresses would be considered waived, and Kansas courts would not have to address them. The
5 practical effect of this unitary system is to abdicate the state's responsibility for providing meaningful
6 post-conviction relief, and to instead shift the responsibility for addressing post-conviction issues
7 to the federal courts.

8 This practice is questionable from a fairness standpoint and puts the trial court in a difficult
9 position. In addition to causing a strain on federal-state relations, its utility as a cost savings or
10 containment device may be marginal. While the federal courts appear to be willing, at this point,
11 to allow states to abdicate any responsibility for post-conviction relief, it is quite possible that, as
12 more states attempt to shift to this system, the federal courts will be more willing to send cases back
13 to the states, thus negating any potential savings.

14 D. Trial Support and Education for District Court Judges

15 The greatest expense in a death penalty case occurs at the trial court level. Further, due to
16 the complexity of the procedure as well as the high level of scrutiny applied in death penalty cases,
17 the likelihood that appellate courts will find reversible trial error and require the trial to be done
18 again is much higher than in a normal murder case. Thus, strategies to reduce the possibility of
19 reversible error at trial have great cost-savings potential.

20 Arizona has sought to reduce the possibility of error at the trial level through the use of the
21 Arizona Death Penalty Judicial Assistance Program, which began as a pilot project in 1996. This
22 program establishes a staff of attorneys

1 who provide assistance to district court judges in death penalty cases. The attorneys provide case-
2 specific research, advice and counsel at all stages of district court involvement in capital cases,
3 including pretrial, trial, sentencing and post-conviction relief. In addition to this direct support in
4 death penalty cases, these attorneys research, analyze, and educate the district court of Arizona
5 concerning death penalty decisions of the United States Supreme Court and other State courts and
6 their possible effect on Arizona's death penalty scheme. Further, the attorneys prepare and teach
7 continuing legal education classes for judges to help keep them up to date on death penalty issues,
8 and provide orientation for new judges. Finally, the attorneys publish a Capital Litigation Report
9 on both local and national death penalty issues that is available to both judges and practitioners.

10 It has proven difficult for Arizona to objectively measure the effectiveness of this program.
11 In 2002, the United States Supreme Court decided *Ring v. Arizona*, 536 U.S. 584 (2002), which
12 invalidated Arizona's judge-based death penalty sentencing scheme. This decision overruled the
13 United States Supreme Court's earlier decision in *Walton v. Arizona*, 497 U.S. 639 (1990), which
14 found such a system to be constitutional. This decision resulted in the overruling of a great number
15 of cases, thus making it difficult to determine whether the program itself reduced the number of
16 cases reversed and sent back for new trial. However, the subjective view of judges in Arizona is that
17 the program is very helpful and reduces the error rate at all stages of the litigation.

18 A program such as the one in Arizona could be implemented without difficulty in Kansas.
19 Arizona has approximately 96-98 active death-eligible cases in a given year. The original staffing
20 aspiration for the Arizona program was to allocate one attorney per 25 cases. Due to budget
21 limitations, the actual staffing was three attorneys, with additional support staff. In April of 2003,
22 budget cuts reduced this staff to two attorneys plus support staff.

1 In contrast, the average number of death eligible cases in Kansas averages less than 20 per
2 year. As a result, it is estimated that one full-time, experienced attorney would be able to provide
3 adequate research support.

4 E. Amendment of K.S.A. 21-4627 to Remove Language Regarding Unassigned Errors

5 K.S.A. 21-4627, regarding the Kansas Supreme Court's review of cases in which the death
6 penalty is given, provides that:

7 "The supreme court of Kansas shall consider the question of sentence as well as any
8 errors asserted in the review and appeal and shall be authorized to notice unassigned
9 errors appearing of record if the ends of justice would be served thereby".

10 The practice of authorizing the Kansas Supreme Court to notice unassigned errors, which is
11 also contained in the "hard 50" legislation, is in contrast to the Court's usual rule which requires
12 errors on appeal to be raised by the appellant in order to be considered. Although the language used
13 in K.S.A. 21-4627 is permissive rather than mandatory, the Kansas Supreme Court has taken the
14 position that such language requires the justices to comprehensively search the entire record in order
15 to make sure that it is free of significant trial error.

16 However, while it might be thought that amending K.S.A. 21-4627 to remove this language
17 might be a potential cost-savings in appellate court resources, it is the opinion of the committee that
18 this will probably not occur. Given the serious nature of the review of a capital case, it appears that
19 appellate courts generally feel the obligation to conduct a comprehensive review of the record
20 whether expressly mandated or permitted to do so by statute. As a result, any cost savings are likely
21 to be illusory.

1 Conclusion

2 Given the nature of the death penalty and the requirements imposed by the United States
3 Supreme Court, there is really very little that states can do to contain or reduce death penalty costs.
4 Of methods which other states have attempted, only two: the establishment of life without parole
5 as the alternative sentence for capital murder; and the establishment of a staff attorney to assist
6 district judges in death penalty cases, appear likely to generate any significant cost savings in Kansas.

7 **RECOMMENDATIONS**

8 **Life Without the Possibility of Parole Instead of the "Hard 50" for Persons Convicted of**
9 **Capital Murder Who Do Not Receive the Death Penalty**

0 The Committee recommends that K.S.A. 21-4635 and 21-4638 be amended to provide that
1 life without the possibility of parole instead of the "hard 50" be the sentence for persons who are
2 convicted of capital murder but who do not receive the death penalty.

3 As part of its study the Committee agreed to make recommendations which it believes could
4 result in cost savings. It is the opinion of the Committee that if life without the possibility of parole
5 is an option that in some cases prosecutors may not seek the death penalty because a conviction will
6 result in the convicted person never again being a threat to society. In addition it is the opinion of
7 the Committee that if juries know that there is an alternative to the death penalty that guarantees the
8 person convicted will not ever leave prison, they may be more willing to impose such a sentence.
9 It is the opinion of the Committee that these amendments could save costs. The Committee noted
0 that 46 of the 50 states have a life without parole sentence and of the 38 states that have the death
1 penalty, 35 have a life without parole sentence.

1 **The Supreme Court establish a position which will provide an experienced death penalty clerk**
2 **to district judges who are trying death penalty cases.**

3 The Committee reviewed an Arizona program that provides law clerks with death penalty
4 experience to trial judges hearing death penalty cases. The Committee was also aware of the
5 tremendous workload death penalty cases cause the trial court. Because such cases are often the only
6 death penalty case a judge will hear in his or her career, the Committee is of the opinion that
7 providing an experienced death penalty clerk to district judges trying death penalty cases could be
8 a cost saving measure, if error is thereby avoided.

9 The Committee is of the opinion that the objectives of the Arizona program, which are to
0 reduce the number of appeals and reversals from the Arizona Supreme Court, increase the fairness
1 and efficiency in processing the cases and reduce findings of constitutional error upon federal habeas
2 corpus review are applicable to Kansas.

3 **Further Recommendations**

4 The Committee calls attention to the fact that the Judicial Council Criminal Law Advisory
5 Committee recently concluded a study of the Atkins v. Virginia case, which holds that it is
6 unconstitutional to execute developmentally disabled persons. The Judicial Council has approved
7 introduction of a proposed amendment which, among other changes, will move the determination
8 of whether a person suffers from a cognitive disability from after conviction to prior to the trial. If
9 such cases arise, the statute could provide some cost savings and this Committee supports its
0 passage.