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REPORT ON A PERFORMANCE AUDIT OF THE PENNSYLVANIA DEPARTMENT OF CORRECTIONS

111012

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I. INTRODUCTION

A performance audit of the Department of Corrections was adopted as a staff project at a meeting of the Legislative Budget and Finance Committee held on April 22, 1987. The purpose of this project is to audit the overall operations and administration of the Department of Corrections with particular emphasis on efficiency and effectiveness, program results, compliance with applicable laws and regulations and the presence of appropriate administrative control systems. Consideration has also been given to the potential benefits of possible alternative approaches to correctional programs/activities.

Initial "pre-audit" survey information was requested of the Department of Corrections in May 1987 and actual full-time activity began in mid-June with an entrance conference meeting between the LB&FC audit teams and key staff contact persons within the Department of Corrections. From mid-June 1987 through mid-March 1988 audit staff has been involved in intensive information gathering and issue identification regarding the Department of Corrections.

On October 21, 1987, an interim report on a performance audit of the Pennsylvania Department of Corrections was released at a public meeting of the Legislative Budget and Finance Committee. The purpose of the interim report was to provide the members of the General Assembly and other interested persons with information on the progress and status of the staff's work as well as provide financial, programmatic, and other descriptive statistical information on the Department of Corrections and the system of correctional facilities it administers. A summary of potential audit issues which were identified by the auditors for attention during the "detailed audit" phase of the project was also presented.

This report of the Legislative Budget and Finance Committee on a performance audit of the Department of Corrections presents findings and recommendations on 10 issue areas including a summary of the status of corrective actions or initiatives taken by the Department in response to the report of the Governor's Interdepartmental Task Force on Corrections which was released in October 1987 (see Finding J). Additionally, data developed by the auditors primarily from information provided by the Department is presented in the form of tables and exhibits for the purpose of supporting the various findings. Certain updated statistical information which was initially prepared for the October 1987 interim report is also included in this report. Another report which will present additional findings and recommendations regarding Department of Corrections operations is scheduled for public release in early summer 1988.

This report document consists of five sections: Section I provides introductory information, Section II consists of performance audit findings and recommendations, Section III presents general background descriptive information on the Department of Corrections, Section IV provides a description of the methodology used by the auditors in the conduct of this audit, and Section V consists of appendices to the report.

Development of this report was greatly facilitated by cooperation and assistance which was received from the Pennsylvania Department of Corrections. The LB&FC staff expresses its appreciation to the Honorable David S. Owens, Jr., Commissioner of Corrections, to Mr. Lee T. Bernard, II, Deputy Secretary for Administration, and to other officials and staff of the Department of Corrections who assisted in the audit effort, including central office staff and the superintendents and staff at the state correctional institutions, community service centers and group homes which were visited. Appreciation is also extended to legislative staff members, officials and staff of the PA Commission on Crime and Delinquency, the PA Commission on Sentencing, the PA Board of Probation and Parole, the Governor's Interdepartmental Task Force on Corrections, and the PA Departments of Education, Labor and Industry, Public Welfare, Environmental Resources and Health. Gratitude is also expressed to the various respondents to the LB&FC questionnaires which were distributed as part of the audit process and to all other organizations and individuals who gave generously of their time and knowledge.

Two LB&FC audit teams assigned to the project worked under the direction of the LB&FC Executive Director, Richard D. Dario, and Chief Analyst John H. Rowe and Assistant Chief Analyst Robert C. Frymoyer. Audit team leaders involved in the development of this report were Mark Stine and Tamara Truskey. Karen Ashman, Charles Covage, Richard George, Peter Halvorsen, Christopher Morehouse and Laurel Yates, Analysts, also were assigned to the project. Counsel Susan Simms and Attorney Leslie Bichner, and Krista Williard, Paralegal, provided legal support services and also assisted in the development of certain findings contained in the report. Susan Bruhn, Beverly Brown, Anne Gange and Shannon Opperman provided secretarial assistance, and Charles Saia and Kathryn Wilson provided additional staff assistance in the development of the report.

Any questions or comments regarding this report should be directed to Richard D. Dario, Executive Director, Legislative Budget and Finance Committee, Room 400, Finance Building, P.O. Box 8737, Harrisburg, PA 17105-8737.

II. PERFORMANCE AUDIT FINDINGS AND RECOMMENDATIONS

This section presents findings resulting from a performance audit of the PA Department of Corrections. The audit findings are divided into 10 subject areas. Information presented within a subject area is not intended to be inclusive of the subject area.

Not all information in regard to matters Committee staff investigated is included as a formal finding in subsections A through J of this report. Only those items are included that are supported by information obtained and verified by the auditors and in which the elements of a finding have been addressed. In general, each finding will include the following elements: (1) condition (the problem), (2) criteria (measurement standard), (3) cause (underlying reason why condition occurred), (4) effect (what resulted), and, if appropriate, (5) recommendation (possible corrective action). Please see Section IV for a discussion of the specific methodology used in auditing the Department of Corrections.

IMPORTANT NOTE REGARDING RESPONSIBILITY
FOR FINDINGS AND RECOMMENDATIONS OF THIS REPORT

This report contains information developed by the Legislative Budget and Finance Committee (LB&FC) staff. The release of this report by the LB&FC should not be construed as an indication that the Members of the Committee necessarily concur with all the report findings and/or the recommendations. The LB&FC as a body, however, supports the publication of the information within this report and believes it will be helpful to the Members of the General Assembly by promoting improved understanding of the issues.

A. IMPROVEMENT IN THE MAINTENANCE OF PRISON SECURITY AND PROTECTION OF SOCIETY

FINDING: Perhaps the most important responsibility of the PA Department of Corrections (DOC) is to protect society through the secure confinement of offenders committed by the courts to its custody. In spite of the substantial increase occurring in inmate population levels, the DOC appears in recent years to have been generally successful in its efforts to securely house inmates at its 13 state correctional institutions (SCIs). Such success is not, however, as evident with respect to escapes from the DOC's 15 Community Service Centers (CSCs).^{1/} The total number of inmate escapes from all facilities (SCIs and CSCs) has been reduced from a high of 112 in CY 1983 to 77 in CY 1987; a 31% reduction (see Table A-1). This reduction in escapes has been accompanied by an increase in correctional officer staffing; while the inmate population rose statewide by 38% from CY 1983 to CY 1987, correctional officer positions increased by 64% (see Table A-2). The ratio of correctional officer positions to inmates thereby dropped from 6.7 inmates per custody officer in 1983 to 5.6 inmates per custody officer in 1987.^{2/} Probably the most significant development in the reduction of escapes are the Department's efforts during recent years to construct fences and other physical security improvements at its institutions. As depicted in Graph A.A and Table A-3, the total number of escapes occurring from within institution security perimeters (breaches) decreased 89% from CY 1980 to CY 1987.^{3/} For example, SCI Muncy reported the highest number of escapes among all institutions prior to the installation of a perimeter razor-wire fence during the summer of 1985. Prior to installation of this fence, SCI Muncy experienced, for example, 16 breach escapes during CY 1983 and four breach escapes during CY 1984; subsequent to the installation of this fence SCI Muncy experienced no escapes from within its institutional perimeter (see Table A-1). By contrast, SCI Waynesburg, which does not have a security perimeter, experienced two escapes during the period of this audit (see Table A-1). At the time of the audit, SCI Waynesburg was in the architectural phase for installation of a perimeter fence. The auditors noted other security improvements in recent years at several correctional facilities, including (in addition to fencing improvements) im-

^{1/}The Department currently operates 15 Community Service Centers (CSC) located in urban communities throughout the Commonwealth. The Centers provide initial support to screened inmates who are preparing for parole and thus returning to society.

^{2/}According to The Corrections Yearbook (1987) the national ratio of correctional officers to inmates was 5.4 inmates to each correctional officer as of January 1, 1987.

^{3/}The auditors note this reduction occurred while the institutional population increased from 7,989 in 1980 to 15,905 as of December 31, 1987, a 100% increase.

proved lighting installations and alarm sensors being installed to detect intrusion of certain institutions' security perimeters; additionally, the Department plans further security improvements such as an additional correctional officer tower and installation of metal detectors. (Exhibit A-A provides a listing of example security improvements implemented and planned by DOC.) In an effort to obtain input from local police officials concerning their views of the DOC's efforts to provide community security, the auditors disseminated a questionnaire to officials located in the proximity of the state correctional institutions; Exhibit A-B provides a list of some of their responses, including DOC improvements in recent years noted by the respondents. As can be seen from Exhibit A-B, most local police officials were satisfied with their present relationship with the state correctional facility. In certain cases, however, concern was expressed about inadequate communication regarding escapes. A remaining issue in this important area of securing inmates is the growing number of escapes from the CSCs. Fifty-one percent (357 of 694) of all Departmental escapes were from CSCs during CY 1980 through CY 1987 (see Table A-4 and Graph A.B).^{4/} The number of escapes per year from CSCs has grown from 35 in 1980 to 51 in 1987, a 46% increase. While recognizing that the CSC population also increased over the period (254 in 1980 to 425 in 1987, a 67% increase), such an increase in CSC escapes contrasts with the significant reduction in escapes from the Department's institutions. The eligibility criteria for inmate participation in a CSC include completion of at least one-half of the minimum sentence, being within one year of completing minimum sentence, having no outstanding detainers and having served at least nine months in a State institution. A CSC director indicated to the auditors that the screening process currently in use by institutional staff varies among the institutions and that this creates use of subjective criteria that an inmate must meet for CSC referral.

RECOMMENDATION: IT IS RECOMMENDED THAT:

THE DEPARTMENT OF CORRECTIONS CONDUCT A FORMAL ANALYSIS TO DETERMINE THE REASONS THAT PERSONS WALK-AWAY (ESCAPE) FROM COMMUNITY SERVICE CENTERS AND WHAT STEPS (IF ANY) CAN BE TAKEN TO REDUCE THE NUMBER OF SUCH WALK-AWAYS. THIS ANALYSIS SHOULD PAY PARTICULAR ATTENTION TO ANY RELATED WEAKNESSES THAT MAY EXIST IN THE SCREENING PROCESS FOR CSC PARTICIPANTS. IN THIS ANALYSIS, THE DEPARTMENT SHOULD ALSO CONSIDER THE POSSIBLE RELATIONSHIP BETWEEN WALK-AWAYS AND THE PRESENCE OF ALCOHOL/CHEMICAL DEPENDENCIES AMONG CSC PARTICIPANTS. BASED ON ITS ANALYSIS THE DEPARTMENT SHOULD DEVELOP AND IMPLEMENT A PLAN TO REDUCE WALK-AWAYS FROM CSCs.

^{4/}The intended purpose of the community service center program is to provide less restricted housing of inmates who are preparing for parole through dormitory style settings within communities and to provide increased living/working privileges and the opportunity for monitored freedom of movement within the community.

TABLE A-1

Number of Escapes from State Correctional Facilities Operated by the
Department of Corrections for Calendar Years 1980 to 1987, by Facility and Type

<u>Facility</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>Total</u>
Camp Hill									
Breach ^{a/}	0	0	13	3	0	0	0	0	16
Others ^{b/}	1	6	5	16	6	0	0	0	34
Dallas									
Breach.....	0	0	2	0	0	0	0	0	2
Others.....	5	4	3	1	2	3	2	0	20
Graterford									
Breach.....	2	0	1	3	0	0	0	1	7
Others.....	15	4	2	2	4	7	4	9	47
Greensburg									
Breach.....	2	0	0	0	0	1	2	0	5
Others.....	0	6	1	4	8	1	3	2	25
Huntingdon									
Breach.....	1	0	2	0	0	2	2	1	8
Others.....	0	2	1	4	1	2	0	2	12
Mercer									
Breach.....	3	1	0	0	2	2	2	0	10
Others.....	0	0	0	1	2	1	0	1	5
Muncy									
Breach.....	16	15	12	16	4	2	0	0	65
Others.....	2	1	2	2	2	1	3	0	13
Pittsburgh									
Breach.....	0	0	0	0	0	0	1	0	1
Others.....	0	1	1	4	0	3	2	3	14
Rockview									
Breach.....	3	2	6	0	0	0	1	1	13
Others.....	6	2	5	6	6	4	3	2	34
Waynesburg									
Breach.....	-	-	-	-	0	0	0	0	0
Others.....	-	-	-	-	1	0	1	2	4
Community Svc. Ctrs.	<u>35</u>	<u>33</u>	<u>53</u>	<u>50</u>	<u>38</u>	<u>46</u>	<u>51</u>	<u>51</u>	<u>357</u>
Total Escapes.....	<u>91</u>	<u>77</u>	<u>109</u>	<u>112</u>	<u>76</u>	<u>75</u>	<u>77</u>	<u>75^{c/}</u>	<u>694</u>
Total Escapees Still at Large.....	<u>2</u>	<u>0</u>	<u>5</u>	<u>3</u>	<u>4</u>	<u>2</u>	<u>5</u>	<u>14</u>	<u>35</u>

a/A breach is defined by the PA Department of Corrections as an escape from within the wall or fence of a facility.

b/Others include escapes that occurred outside the wall/fence while on work detail, work and/or educational release and furlough.

c/Total does not include one escape each from new SCIs Cresson and Frackville. Total escapes for 1987 are therefore 77.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

TABLE A-2

Number of Correctional Officer Staff
Compared to Inmate Population from CY 1983 thru CY 1987

<u>Calendar Year</u>	<u>Number of Inmates</u> ^{a/}	<u>Number of Correctional Officer Staff</u> ^{b/}	<u>Ratio of Correctional Officers to Inmates</u>
1983.....	11,798	1,755	6.7 Inmates per Corr Off.
1984.....	13,126	1,986	6.6 Inmates per Corr Off.
1985.....	14,260	2,216	6.4 Inmates per Corr Off.
1986.....	15,227	2,402	6.3 Inmates per Corr Off.
1987.....	16,330	2,886	5.6 Inmates per Corr Off.

a/From CY 1983 thru CY 1987 the inmate population increased 38%.

b/From CY 1983 thru CY 1987 correctional officer staff increased 64%.

Source: Developed by LB&FC staff from information provided by the PA Department of Corrections.

TOTAL NUMBER OF ESCAPES, 1980-1987, SHOWING ORIGINATION OF ESCAPES

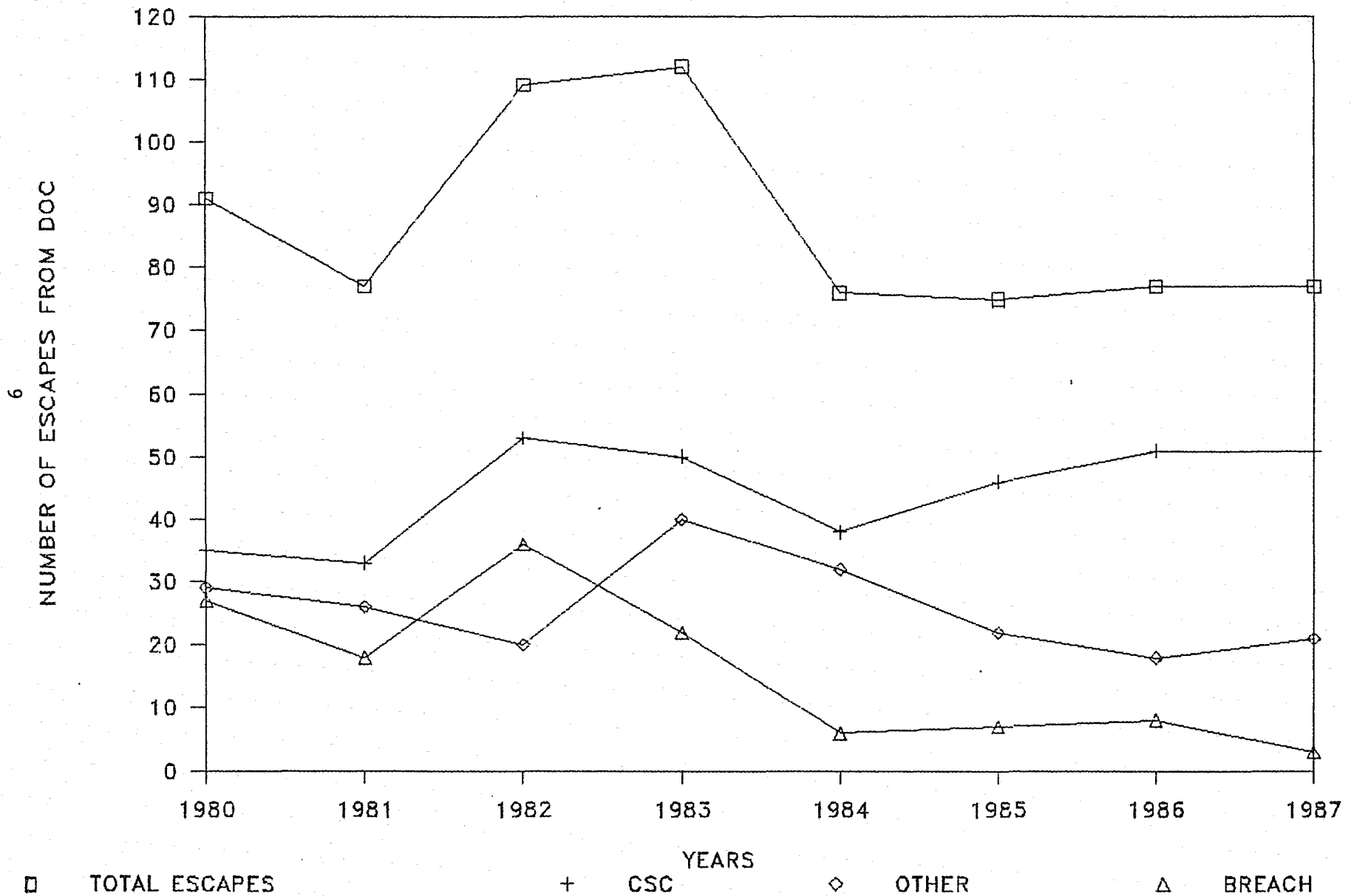


TABLE A-3

Escapes from the Department of Corrections
CY 1980 through CY 1987 (By Source)

<u>Calendar Year</u>	<u>Total Escapes</u>	<u>CSC</u> ^{a/}	<u>Other</u> ^{b/}	<u>Breach</u> ^{c/}
1980.....	91	35	29	27
1981.....	77	33	26	18
1982.....	109	53	20	36
1983.....	112	50	40	22
1984.....	76	38	32	6
1985.....	75	46	22	7
1986.....	77	51	18	8
1987.....	77	51	21	3
PERCENT CHANGE				
FROM CY 1980				
TO CY 1987:	-15%	+46%	-28%	-89%

a/Escapes from Community Service Centers.

b/Other includes escapes that occurred outside the wall/fence while on work detail, work and/or educational release and furlough.

c/A breach is defined by the PA Department of Corrections as an escape from within the wall or fence of a facility.

Source: Developed by LB&FC staff from information provided by the Department of Corrections.

EXHIBIT A-A

Selected Examples of Department of Corrections Security Improvements at State Correctional Institutions^{1/}

<u>Security Improvements During CY 1986 and CY 1987</u>	<u>Institution</u>
1. Installed 45 light standards around the perimeter of the institution to increase visibility.	Camp Hill
2. Installed 7,000 feet of fence on the perimeter of the institution. The fence is 14 feet high with an additional 2 feet of razor ribbon at the top.	Camp Hill
3. Installed a walk-through metal detector at the Guest House for visitors.	Camp Hill
4. Renovated the infirmary to provide much better security and control of psychiatric and medical isolation cases.	Camp Hill
5. Two 4,900 feet double fences, each of which are 14 feet high and 20 feet apart. A concertino style razor ribbon is located on the inner fence.	Cresson
6. Construction of a macadam roadway around the outer perimeter of the institution.	Cresson
7. Construction of a double fence with intrusion system and three remote sirens.	Dallas
8. Installed a fence around the outside visiting area.	Huntingdon
9. Installed bars on all cell windows on the street side of E Block.	Huntingdon
10. Installed television cameras and monitors in the the visiting rooms.	Huntingdon
11. Installed concertino wire on two cell blocks and the auditorium roofs and the East Wall.	Huntingdon
12. Installed additional razor wire at the top of the fence around the perimeter.	Mercer
13. Installation of a metal detector in the lobby.	Mercer
14. Installation of razor ribbon wire on top of buildings to prevent escape from covered walkway area.	Mercer
15. Installed perimeter lighting around modular housing unit.	Muncy

EXHIBIT A-A

Selected Examples of Department of Corrections
Security Improvements at State Correctional Institutions^{1/}
(Continued)

<u>Security Improvements During CY 1986 and CY 1987</u>	<u>Institution</u>
16. Constructed four fire towers in three housing units.	Muncy
17. Installed new metal detector.	Pittsburgh
18. Sealed off old main entrance.	Pittsburgh
19. Installed additional lighting in North Block.	Pittsburgh
20. Installed fencing in a new cell block area.	Pittsburgh
21. New cell lights installed.	Rockview
22. Installed control fence and walkway outside dispensary.	Rockview
23. Installed security alarm systems in education building.	Rockview
<u>Planned</u>	
1. Installation of a perimeter intrusion detection system.	Camp Hill
2. Security renovation of the Main Gate.	Camp Hill
3. Installation of razor ribbon wire on interior fence.	Camp Hill
4. Addition of a perimeter intrusion detection system on the inner fence.	Cresson
5. Additional Correctional Officer Tower.	Dallas
6. Construction of perimeter fence with lighting.	Waynesburg

1/Not all security improvements are included in this exhibit.

Source: Developed by LB&FC staff from information compiled by Department of Corrections staff.

EXHIBIT A-B

Selected Comments from Local Police Officials in Selected Municipalities Located Adjacent to or Near State Correctional Facilities Concerning Their Experiences with the Department of Corrections' Management of Inmate Escapes

Escapes have always posed a threat, but again over the past few years it has not been a problem. As soon as institution becomes aware of an escape or other incident involving our area, we were advised.

We are always notified of an escape through the County Police communications system.

Much improved in recent years. Fewer escapes it seems.

Pennsylvania State Police apparently contacted, and then notification of incident to this department left up to them. Few escape attempts made - all captured (to my knowledge) in short period of time.

There is a strong lack of communication between the correctional facility and neighboring police agencies which are part of their escape and emergency plan. ... have never been advised of what the plan actually entails. Yet when there have been escapes, we have been called upon to assist. Escape routes from the institution come into this agencies jurisdiction. On past occasion there have been delays of up to one hour before this agency was notified of an escaped prisoner.

This area is of vital concern. Usually we find out an escape long after it occurs.

Usually the subjects are located and returned soon after the escape is discovered. I recall that on one occasion an escaped inmate stole a vehicle in the Borough, but was found and convicted. Notification and cooperation has always been exceptionally good.

Occasionally we do have an escape from the institution, but the combined efforts of all local authorities usually brings about a quick recovery of the escapee. I am one of the first people notified when an escape occurs. This department always takes a part in searches, providing additional manpower and vehicles in the effort, and we also maintain two K-9 dogs.

A call from the Penitentiary is usually received within a five (5) minute period.

There have been two incidents in the past ten years. Kidnapping of a guard and his family by an escapee and one murder by an escapee.

Source: Developed by LB&FC from information provided by selected municipal police officials in response to a survey questionnaire.

TABLE A-4

Total Escapes from CY 1980 through CY 1987 and the Percentage
of Escapes from Community Service Centers (CSCs)

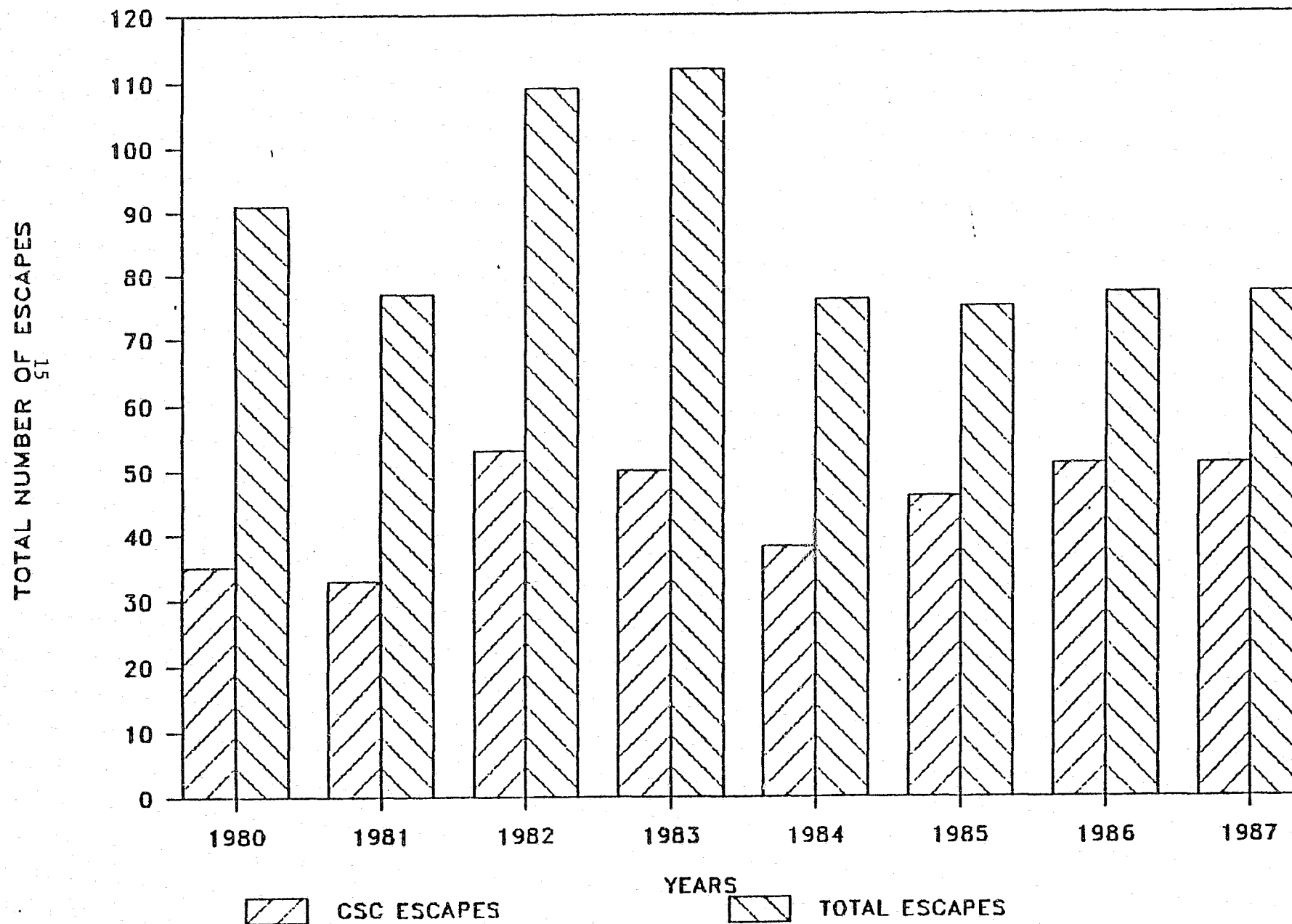
<u>Calendar Year</u>	<u>Total Escapes</u>	<u>CSC Escapes</u>	<u>CSC Escapes as a % of Total Escapes</u>
1980.....	91	35	38%
1981.....	77	33	43
1982.....	109	53	49
1983.....	112	50	45
1984.....	76	38	50
1985.....	75	46	61
1986.....	77	51	66
1987.....	<u>77</u>	<u>51</u>	<u>66</u>
TOTALS.....	<u>694</u>	<u>357</u>	<u>51%</u> ^{a/}

a/Percentage of total escapes that were by inmates assigned to CSCs occurring during CY 1980 through CY 1987.

Source: Developed by LB&FC staff from information provided by DOC.

ESCAPES FROM CSCs AS COMPARED TO TOTAL

ESCAPES; 1980-1987



B. INADEQUACY OF INMATE REHABILITATION/TREATMENT PROGRAMS

FINDING: Correctional standards indicate that correctional agencies should seek to reform incarcerated individuals through the provision of rehabilitation and treatment services such as counseling, academic and vocational education, substance abuse treatment and psychological and other special needs programs. The National Institute of Justice states that the importance of such programs lies in their ability "to bring about changes in individual offenders which will facilitate (their) acceptable reintegration into society and which will ideally result in individuals being less susceptible to criminal or anti-social behavior upon release." A number of Pennsylvania judges surveyed by the LB&FC staff also emphasized the importance of adequate and effective correctional rehabilitation programming. One judge, for example, advocated the commitment of additional financial resources to increase capabilities within state correctional facilities from "mere warehousing" to a system which counsels, supervises and treats in addition to punishing. Commenting on this subject, a Department of Corrections (DOC) institutional superintendent noted that the adequacy of rehabilitation programs has a direct effect upon the "climate" of the institution, inmate and staff morale, humaneness of incarceration and facility safety. Among the rehabilitation and treatment programs provided within Pennsylvania's state correctional institutions are basic and vocational education programs, drug and alcohol treatment, individual and group counseling services and sex offender therapy. While the DOC is operating a variety of programs in these areas, program capacities are seriously deficient in relation to current inmate population levels. A 1985 study indicated that 37% of the state inmate population was enrolled in treatment programs, 32% in education programs and 16% in vocational programs. Comparable data for the present time is not available, however, since uniform statistical data is not centrally maintained by the DOC on the extent of inmate participation in rehabilitation and treatment programs. Likewise, the DOC does not systematically assess and compile information on the extent of rehabilitation and treatment programming needs within the state correctional institutions. In the absence of such information, the auditors attempted to develop proxy measures of program need and participation in two selected areas: substance abuse and sex offender programs. From analysis of these measures it appears that particularly acute deficiencies exist in the availability of slots in these programs. Information collected from the individual institutions as of November 1987 indicated that the state inmate population included approximately 2,300 individuals sentenced for sex offense violations and that it is estimated that approximately 9,700 or about 60% of the inmate population require drug and/or alcohol counseling and treatment. Compilation by the auditors of program data developed by the SCIs for purposes of this performance audit indicates that as of November 1987 531 inmates or 23%

of the convicted sex offender target group were receiving sex offender programming and several hundred inmates were on program waiting lists. Information received by the auditors from the DOC correctional institutions indicates that all have some type of drug and alcohol abuse treatment programs and that aggregate waiting lists for participation in these programs total several thousand inmates.a/ Input received from various parties (e.g., judges, institutional superintendents and inmates) involved in the state correctional system regarding rehabilitation programs was also analyzed as a proxy measure of current programming. Exhibits B-C through B-F provide selected comments submitted to the LB&FC staff in this regard, including indications of program shortages and deficiencies. In the education area, programming varies in availability and type from institution to institution. The DOC reports that the typical inmate has "a sixth grade education, little or no job skills, and a desperate need to participate in therapeutic treatment programs." A May 1987 report by the PA Department of Education stated that the increasing number of inmates who want to participate in educational programs, inadequate space for educational programming and too few staff have resulted in extended waiting lists at most institutions for basic and vocational education programs. Specific instances of programming deficiencies in these and other related areas were also noted in a 1987 report issued by the Governor's Interdepartmental Task Force on Corrections. (See Exhibit B-G for a listing of Task Force recommendations related to rehabilitation and treatment areas.) While the DOC acknowledges that the correctional system which it administers suffers from shortages of rehabilitative programs, it does not appear that the Department has yet undertaken a comprehensive and planned approach to addressing this need. For example, included in internal written objectives recently developed to guide Department operations is a statement that indicates that the DOC's goal is "to provide treatment and classification services which are maintained at professionally accepted standards" (see Exhibit B-A). The DOC has not, however, comprehensively assessed and quantified the current need for rehabilitation/treatment programs within the state inmate population. The DOC additionally has not formally defined the nature of the programs to be offered within the system and has not identified what constitutes "professionally accepted standards" for such programs. The Department also has not estab-

a/Information on sex offender and drug and alcohol treatment programs and participation was not available at the DOC central office and had to be collected from the individual institutions. The information collected in this manner was not uniformly reported and, therefore, could not be aggregated with preciseness.

lished detailed goals and objectives for programs and does not have information and evaluation systems in place which allow for the compilation of uniform system-wide data which is needed for program management and evaluation purposes. It appears evident that the deficiencies which exist relative to treatment and rehabilitative programming relate directly to the conditions of overcrowding and understaffing which are dealt with in other sections of this report. Staffing of treatment and rehabilitation programs has not kept pace with increases in inmate population levels. While positions classified as treatment have increased 22% since 1983, inmate population levels have risen by 38%. Education staffing has also not kept pace with increases in inmate population. Since 1979 inmate population has increased by 109%. During the same period the number of education staff assigned to the state correctional institutions has remained practically unchanged (a 2% increase). Further indication of understaffing is illustrated on Table B-2 which shows that relatively high ratios of inmates to treatment personnel (e.g., counseling, psychologist and activities staff) are commonplace within the system. The availability of and participation of inmates in rehabilitation and treatment programs are closely related to the reduction and control of inmate idle time and, in certain cases, are a precondition for probation or parole. The American Correctional Association states that over 95% of all confined persons are scheduled for discharge from supervision or confinement. This statistic highlights the need for effective rehabilitation, education, and treatment programs which are geared to resocialization and the reduction of inmate recidivism rates.b/

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC'S BUREAU OF TREATMENT SERVICES DEVELOP WRITTEN STATEMENTS DESCRIBING EACH OF THE PROGRAMS AVAILABLE WITHIN THE VARIOUS STATE CORRECTIONAL INSTITUTIONS, INCLUDING CLEARLY STATED PROGRAM GOALS, OBJECTIVES AND INMATE PARTICIPATION AND SELECTION CRITERIA. THE "PROFESSIONALLY ACCEPTED STANDARDS" WHICH THE DEPARTMENT HAS ESTABLISHED AS OBJECTIVES FOR ITS PROGRAMS SHOULD BE SPECIFICALLY DEFINED FOR APPLICATION IN EACH OF THESE PROGRAM AREAS. A CENTRAL WRITTEN INVENTORY OF REHABILITATION/TREATMENT PROGRAMS AND INMATE PARTICIPATION LEVELS IN EACH INSTITUTION SHOULD BE MAINTAINED BY THE BUREAU OF TREATMENT SERVICES.

b/The Department of Corrections does not maintain data on recidivism rates (or the extent to which offenders, after the imposition of punishment, continue to engage in crime and are reincarcerated) among the state correctional system inmate population. Recidivism data is maintained by the PA Board of Probation and Parole. (See Appendix B-1.)

2. THE DOC'S BUREAU OF TREATMENT SERVICES, IN CONJUNCTION WITH PERTINENT STAFF AT EACH DOC-OPERATED FACILITY, UNDERTAKE A COMPREHENSIVE ASSESSMENT OF THE CURRENT PROGRAM NEEDS OF THE INMATE POPULATION.^{c/} A WRITTEN PROGRAM NEEDS ASSESSMENT DOCUMENT SHOULD BE DEVELOPED FOR EACH DOC FACILITY. THIS DOCUMENT SHOULD BE PERIODICALLY REVIEWED AND UPDATED.
3. THE DOC DESIGN AND IMPLEMENT AN AUTOMATED REHABILITATION/TREATMENT PROGRAM MANAGEMENT INFORMATION REPORTING SYSTEM. SUCH A SYSTEM SHOULD BE CAPABLE OF PROVIDING INFORMATION ON BOTH A DEPARTMENT-WIDE AND INSTITUTION BASIS FOR MANAGEMENT, PLANNING, BUDGETING AND EVALUATIVE PURPOSES. INFORMATION DERIVED FROM THE NEEDS ASSESSMENT DISCUSSED ABOVE SHOULD BE INCORPORATED INTO THIS SYSTEM AS SHOULD INFORMATION ON INMATE PARTICIPATION LEVELS, WAITING LISTS AND PROGRAM OUTCOMES.^{d/} (A CHANGE IN EXISTING STATE LAW WOULD BE NECESSARY FOR DOC IMPLEMENTATION OF THIS RECOMMENDATION; PLEASE SEE RECOMMENDATION #8 OF THIS FINDING FOR FURTHER DISCUSSION.)
4. THE DOC UNDERTAKE A SYSTEMATIC EFFORT TO UPGRADE AND EXPAND THE TOTAL REHABILITATION PROGRAM WHICH IS AVAILABLE TO INMATES HOUSED IN STATE CORRECTIONAL FACILITIES. THIS PROCESS SHOULD RECEIVE CENTRAL ORGANIZATION, COORDINATION AND DIRECTION FROM THE DOC'S BUREAU OF TREATMENT SERVICES. WHERE APPROPRIATE (I.E., IN EDUCATION PROGRAM AREAS) THE PA DEPARTMENT OF EDUCATION (PDE) SHOULD ALSO BE INVOLVED IN THE PROCESS. IT IS RECOMMENDED THAT THE FOLLOWING STEPS BE TAKEN:
 - a. THE GENERAL ASSEMBLY PROVIDE FUNDING FOR IMPLEMENTATION OF THE RECOMMENDATIONS MADE BY THE GOVERNOR'S INTERDEPARTMENTAL TASK FORCE ON CORRECTIONS WHICH RELATE TO REHABILITATION/TREATMENT PROGRAMMING. (SEE TABLE J-1 IN FINDING J FOR DOC ESTIMATES OF THE IMPLEMENTATION COSTS FOR THESE RECOMMENDATIONS.) PRIORITY ATTENTION SHOULD BE GIVEN TO EXPANDING THE PROVISION OF INTENSIVE DRUG AND ALCOHOL TREATMENT PROGRAMS THROUGHOUT THE SYSTEM, EVALUATING AND EXPANDING SEX OFFENDER TREATMENT PROGRAMS AND UPGRADING JOB TRAINING AND BASIC AND VOCATIONAL EDUCATION PROGRAMMING.
 - b. USING THE "INSTITUTIONAL PROGRAM NEEDS ASSESSMENTS" RECOMMENDED ABOVE, THE DEPARTMENT SHOULD DEVELOP A SYSTEM-WIDE MASTER PLAN FOR IMPROVING/EXPANDING REHABILITATION AND TREATMENT SERVICES. THIS PLAN SHOULD BE LONG-RANGE IN NATURE AND SHOULD ESTABLISH A TIMETABLE FOR PROGRAM CHANGES/EXPANSION AT INDIVIDUAL INSTITUTIONS. THE

c/Standards developed by the American Correctional Association indicate that it is essential that "the collective service and program needs" of the inmate population be assessed at least biennially and that necessary changes or updates in programs and services be made.

d/American Correctional Association standards pertaining to management information systems state that it is essential that the correctional agency's information system "is sufficient to continuously evaluate the overall performance of the correctional enterprise, to conduct specific program reviews and to assess immediate program goal achievement."

PLAN SHOULD ALSO SET FORTH ESTIMATES OF THE FUNDING WHICH WILL BE REQUIRED FOR IMPLEMENTATION.

- c. EDUCATION PROGRAMS (BOTH ACADEMIC AND VOCATIONAL) UNDERGO EVALUATION AGAINST NATIONAL STANDARDS WHICH HAVE BEEN DEVELOPED BY THE CORRECTIONAL EDUCATION ASSOCIATION (CEA) FOR ASSESSING ADULT CORRECTIONAL EDUCATION PROGRAMS.^{e/} IT IS ALSO RECOMMENDED THAT THE REPORT WHICH RESULTS FROM THE ASSESSMENT OF THE CORRECTIONS EDUCATION PROGRAM AGAINST THE CEA STANDARDS BE MADE AVAILABLE TO BOTH THE SECRETARY OF EDUCATION AND THE COMMISSIONER OF CORRECTIONS AS WELL AS TO INTERESTED MEMBERS OF THE GENERAL ASSEMBLY. IT IS ALSO RECOMMENDED THAT THE DOC AND PDE JOINTLY DEVELOP PLANS AND TIMETABLES TO BRING THE CORRECTIONS EDUCATION PROGRAM INTO COMPLIANCE WITH CEA STANDARDS.
- d. AS SUGGESTED IN FINDING D OF THIS REPORT, FUNDING SHOULD BE PROVIDED TO ENABLE ADEQUATE STAFFING LEVELS IN DOC INSTITUTIONS AS CALLED FOR BY THE DOC'S TABLE OF ORGANIZATION STAFFING FORMULA. THIS WOULD INCLUDE FUNDING FOR NECESSARY REHABILITATION AND TREATMENT PROGRAM SPECIALIST POSITIONS WHICH ARE NOT CURRENTLY AUTHORIZED DUE TO BUDGET LIMITATIONS. IT IS ALSO RECOMMENDED THAT THE DOC CONSULT WITH THE PA DEPARTMENT OF EDUCATION'S DIVISION OF CORRECTION EDUCATION IN ORDER TO ARRIVE AT A SYSTEMATIC MEANS OF DETERMINING THE NUMBER OF ADDITIONAL POSITIONS NEEDED TO ENSURE ADEQUATE STAFFING OF ACADEMIC AND VOCATIONAL EDUCATION PROGRAMMING WITHIN THE SCIS.^{f/} FUNDING FOR ADDITIONAL CORRECTIONS EDUCATION POSITIONS SHOULD ALSO BE REQUESTED BASED ON THE RESULTS OF THIS ANALYSIS.

e/The Director of the PA Department of Education's Division of Correction Education informed the auditors that it is planned that the Commonwealth's corrections education program will undergo evaluation against these standards later this year. The auditors endorse this evaluation process and note that specific standards exist in the CEA manual, the evaluation of which will address a number of important unresolved corrections education issues which were observed during this audit process. These include, for example, system-wide chain of command and organizational roles and responsibilities, uniformity of educational programs and curricula, adequacy of educational staffing, educational staff turnover and comparable pay and inmate classification procedures.

f/The DOC's "Table of Organization" process does not take into account educational instructor positions (these positions are on the complement of the PA Department of Education). Standards established by the National Correctional Education Association (CEA) call for the establishment of student/teacher ratios for correctional settings. The CEA states that "teaching loads for each position and the student/teacher ratio for each class must be based on careful analysis of each program area, type of facility setting, degree of individual attention required by different types of inmates, and allow for additional, non-instructional duties and preparation time." (Quotation used by permission of Correctional Education Association.)

5. THE DOC SHOULD INITIATE A CENTRAL MONITORSHIP AND EVALUATION FUNCTION TO ASSESS REHABILITATION/TREATMENT PROGRAM PERFORMANCE AND RESULTS.
6. IN CONJUNCTION WITH THE PREVIOUS RECOMMENDATION, THE DOC SHOULD DEVELOP AND MAINTAIN RECIDIVISM DATA.^{g/} THE SYSTEM WHICH IS DEVELOPED SHOULD BE CAPABLE OF ASSESSING THE IMPACT OF SPECIFIC REHABILITATION/TREATMENT PROGRAMS ON RECIDIVISM RATES. THIS FUNCTION SHOULD BE DEVELOPED AS A COMPONENT OF THE AUTOMATED REHABILITATION/TREATMENT MANAGEMENT INFORMATION SYSTEM RECOMMENDED IN #3 ABOVE.
7. THE GENERAL ASSEMBLY CONSIDER DEFINING IN LAW THE SCOPE AND RESPONSIBILITIES OF THE DOC FOR PROVIDING REHABILITATION/TREATMENT PROGRAMS TO PERSONS INCARCERATED IN THE DEPARTMENT'S FACILITIES.^{h/}
8. THE GENERAL ASSEMBLY CONSIDER AMENDING THE CRIMINAL HISTORY RECORD INFORMATION ACT (CHRIA), 18 Pa.C.S.A. §9101 et seq., TO EXCLUDE THE DOC FROM THE ACT'S PROHIBITION THAT TREATMENT INFORMATION^{i/} BE COLLECTED IN AN AUTOMATED CRIMINAL JUSTICE INFORMATION SYSTEM.^{j/} SUCH ACTION TO AMEND THE CHRIA WOULD BE NECESSARY FOR THE IMPLEMENTATION OF THE AUTOMATED REHABILITATION PROGRAM MANAGEMENT INFORMATION REPORTING SYSTEM PROPOSED IN RECOMMENDATION #3 OF THIS FINDING. (SUCH AMENDMENT WOULD ALSO APPEAR TO BE NECESSARY FOR IMPLEMENTATION OF CERTAIN OTHER RECOMMENDATIONS IN FINDINGS E, F, AND H OF THIS REPORT.)

g/In carrying out this recommendation, the DOC should make full use of data available from the Board of Probation and Parole and any other available sources and should attempt to work with the Board (and any other available sources) to develop procedures for the generation of improved recidivism data.

h/ACA standards state that, at a minimum, correctional agencies provide the programs and services mandated by its statute. Current PA state law relating to the Department of Corrections does not specifically define the scope and objectives of programs to be provided by the Department.

i/"Treatment information" is defined in the CHRIA as "information concerning medical, psychiatric, psychological or other rehabilitative treatment provided, suggested or prescribed for any individual."

j/In May 1987, the PA Commission on Crime and Delinquency sponsored a workshop on the CHRIA. This workshop, which was attended by various persons who are involved in the state criminal justice system, resulted in a report which included a number of proposed revisions to the Act. The report recommends, among other things, the repeal of Section 9106 which prohibits the collection of intelligence, investigative and treatment information "in any automated or electronic criminal justice information system."

EXHIBIT B-A

DOC Goals and Objectives for
"Treatment and Classification Services"

Goal: To provide treatment and classification services which are maintained at professionally accepted standards.

A. Short-term Objectives

1. To determine, within 15 working days of their reception, the operational and programmatic needs of inmates committed to this department by the courts.
2. To develop a prescriptive program plan for each inmate to meet his or her needs.
3. To develop four additional mental health units to provide short-term treatment for 35 additional inmates on a daily basis. These units will be located at SCIs Cresson, Frackville and Retreat.
4. To develop two more drug and alcohol therapeutic communities, located at SCIs Graterford and Pittsburgh. Each of these will provide intensive treatment to 50 inmates at any one time.

B. Long-range Objectives

1. To develop 200 additional mental health unit beds by expanding SCI Graterford's unit and adding units at SCIs Rockview, Pittsburgh, Camp Hill, Dallas and Smithfield.
2. To develop and implement additional resources for special-needs inmates, such as AIDS victims, the elderly, retarded, handicapped, those with long-term sentences and sex offenders.

Source: PA Department of Corrections "Goals and Objectives - Final Revisions," December 1987.

TABLE B-1

Student Enrollments in Educational Programs and Number of PA Department of Education
Correction Education Staff by State Correctional Institution

<u>Institution</u>	<u>Total 12/31/87 Inmate Population</u>	<u>Number of Education staff^{a/}</u>		<u>Education Program Enrollments^{b/}</u>					
		<u>Full-Time</u>	<u>Part-Time</u>	<u>Basic</u>	<u>Secondary</u>	<u>Vocational</u>	<u>Post Secondary</u>	<u>Special</u>	<u>Other^{c/}</u>
Camp Hill.....	2,559	14	11	166	120	152	65	44	127
Cresson.....	585	4	0	80	140	209	30	55	125
Dallas.....	1,983	12	9	269	343	364	484	81	60
Frackville.....	629	3	0	43	26	15	32	0	0
Graterford.....	2,451	12	9	130	45	85	130	9	21
Greensburg.....	788	8	7	181	75	125	39	0	22
Huntingdon.....	2,053	10	12	75 ^{d/}	400 ^{d/}	268 ^{d/}	40 ^{d/}	0 ^{d/}	0 ^{d/}
Mercer.....	678	9	7	140	44	332	46	0	0
²³ Muncy.....	517	12	10	188	81	723	0	0	0
Pittsburgh.....	1,568	8	1	130	60	60	480	85	0
Retreat ^{e/}	38	1	0	0	0	0	0	0	0
Rockview.....	1,921	10	13	161 ^{d/}	222 ^{d/}	147 ^{d/}	32 ^{d/}	18 ^{d/}	170 ^{d/}
Waynesburg.....	135	5	4	46	43	83	23	4	110
Central Office.....	--	9	1	--	--	--	--	--	--
Total.....	<u>15,905^{f/}</u>	<u>117</u>	<u>84</u>	<u>1,609</u>	<u>1,599</u>	<u>2,563</u>	<u>1,401</u>	<u>296</u>	<u>635</u>

a/Reflects number of filled positions as of February 29, 1988. Does not include Department of Corrections education staff or account for enrollment overlap between programs.

b/Enrollment figures are reported as "actual" in institutional "Planned Education Programs" reports as of January, 1988.

c/Students who already have high school diploma or GED.

d/Reflects average daily attendance.

e/SCI Retreat reported that no enrollment figures were available but because of the lack of institutional jobs or correctional industries, they anticipate student enrollment levels will be high. SCI Retreat opened in January 1988.

f/Does not include 425 inmates assigned to community service centers or group homes.

Source: Developed by LB&FC staff from information provided by the PA Department of Education, Division of Correction Education.

TABLE B-2

DOC Staff/Inmate Ratios in Selected Treatment Staff Positions
(Counseling, Psychologist and Activities)
By State Correctional Institution as of February 1988^{a/}

<u>Institution</u>	<u>Counseling Staff/ Inmate Ratio</u>	<u>Psychologist Staff/ Inmate Ratio</u>	<u>Activities Staff/ Inmate Ratio</u>
<u>Camp Hill</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:174	1:697	1:515
<u>CDCC</u> ^{b/}			
Recommended.....	1:360	1:300	N/A
Actual.....	1:339	1:339	N/A
<u>Dallas</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:200	1:499	1:666
<u>Graterford</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:129	1:237	1:504
<u>EDCC</u> ^{b/}			
Recommended.....	1:360	1:300	N/A
Actual.....	1:268	1:268	N/A
<u>Greensburg</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:123	1:369	1:369
<u>Huntingdon</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:186	1:512	1:512
<u>Muncy</u>			
Recommended.....	1:75	1:150	1:250
Actual.....	1:105	1:175	1:263
<u>Pittsburgh</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:129	1:289	1:405
<u>WDCC</u> ^{b/}			
Recommended.....	1:360	1:300	N/A
Actual.....	1:554	1:369	N/A
<u>Rockview</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:175	1:385	1:481

TABLE B-2

Staff/Inmate Ratios in Selected Treatment Staff Positions
(Continued)

<u>Institution</u>	<u>Counseling Staff/ Inmate Ratio</u>	<u>Psychologist Staff/ Inmate Ratio</u>	<u>Activities Staff/ Inmate Ratio</u>
<u>Waynesburg</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:132	0:300	1:132
<u>Mercer</u>			
Recommended.....	1:75	1:150	1:250
Actual.....	1:95	1:332	1:332
<u>Frackville</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:212	1:635	1:318
<u>Cresson</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:196	1:589	1:295
<u>Retreat</u>			
Recommended.....	1:150	1:300	1:250
Actual.....	1:32	1:95	-0-
<u>SCI Totals</u>			
Recommended.....	1:175	1:300	1:250
Actual.....	1:170	1:414	1:502

a/Ratios were computed on the basis of filled positions in the DOC Bureau of Treatment Services and SCI inmate populations as of January 31, 1988.

b/Diagnostic and Classification Center ratios based on total cases processed yearly.

Source: PA Department of Corrections, Bureau of Treatment Services.

EXHIBIT B-B

Selected Weaknesses in State Correctional System Treatment and Rehabilitation Programs

1. The Governor's Interdepartmental Task Force on Corrections reported in October 1987 that the inmate assessment and placement process employed by the Department of Corrections (DOC) "does not provide sufficient information to determine the appropriate placement of inmates in educational programs." The report stated that the DOC diagnostic and classification process is not adequate to identify inmates with either learning disabilities or vocational aptitude.
2. The DOC Diagnostic and Classification Centers do not utilize systematic methods of assessing inmate vocational ability or interest. According to the Governor's Interdepartmental Task Force on Corrections, this information should be collected before inmates are assigned to specific correctional institutions "so that the Department can more effectively match an inmate with the most appropriate vocational program offered by the Department of Corrections."
3. It appears that there is an insufficient number of academic educational programs available to inmates incarcerated in the state correctional institutions and that the distribution of these programs lacks uniformity. For example, the auditors determined that SCI Pittsburgh which had a December 31, 1987 inmate population of 1,568 has only two full-time academic education programs (Adult Basic Education and General Education Development Preparation) and no part-time academic programs.
4. A 1987 report prepared by the PA Department of Education indicated that the increasing numbers of inmates who want to participate in educational programming has resulted in extended waiting lists in most institutions, especially for vocational and basic skills programs. This condition is the result of too few instructional staff as well as limited space available for educational programming.
5. It was concluded by the Governor's Interdepartmental Task Force on Corrections that "only a small percentage of inmates participate in basic education programs despite the fact that most inmates are significantly under-educated." It was pointed out that additional teachers and an increase in the number and size of classes would be needed to expand inmate participation in these programs.
6. There does not currently exist uniform academic and vocational curricula developed specifically for inmates. Resultingly, each correctional institution develops its own curricula thereby causing the content of educational programming to vary from one institution to another.

EXHIBIT B-B

Selected Weaknesses in State Correctional System
Treatment and Rehabilitation Programs
(Continued)

7. It was concluded by the Governor's Interdepartmental Task Force on Corrections that "the basic skills and vocational education programs offered within the corrections system do not meet the needs of the inmate population." Significant expansion and improvement of the basic and vocational education programs which are available to inmates was recommended.
8. The Governor's Interdepartmental Task Force on Corrections determined that "there are not enough vocational education programs to meet the needs of the inmate population and that the quality of existing programs needs to be improved." The Task Force also pointed out that much of the equipment used in the DOC vocational education programs has become obsolete and many of the job training programs do not provide competitive skills in promising job fields.
9. The Department of Corrections' job placement efforts appear to be inadequate to assist the volume of inmates released from the state correctional system and those efforts that do exist are not coordinated with similar efforts of other state agencies.
10. The Governor's Interdepartmental Task Force on Corrections concluded that the drug and alcohol services provided to inmates "differ in quality and comprehensiveness from one institution to another." While comprehensive, detailed information is not compiled by the DOC Bureau of Treatment Services on inmate participation, the Department's FY 1988-89 budget request estimates that 100 inmates were enrolled in intensive drug and alcohol "therapeutic communities" in FY 1986-87.
11. The auditors determined that problems exist in the availability of sex offender programs for inmates incarcerated in the state correctional system. Intensive sex offender programs are available at SCIs Graterford and Pittsburgh through contracts with outside agencies and a therapeutic community sex offenders program is provided at SCI Rockview. Other institutions provide sex offense counseling services for inmates.
12. The PA Department of Education (PDE) estimated that as of May 1987, approximately 60% of the inmates incarcerated in the state correctional system were functioning below eighth grade levels in reading and math.
13. PDE estimates that only 17% of the state correctional system inmates participate in vocational education programs (not including Correctional Industries).

EXHIBIT B-B

Selected Weaknesses in State Correctional System
Treatment and Rehabilitation Programs
(Continued)

14. A 1987 study by the PA Department of Education indicated that the job placement program should be expanded so that inmates in all adult correctional institutions can be afforded assistance in finding employment or training programs upon release. The DOC indicated that it is seeking to obtain authorization to hire one job placement officer at each institution.

Source: Developed by LB&FC staff from review of information provided by the Departments of Education and Corrections and the Governor's Interdepartmental Task Force on Corrections.

EXHIBIT B-C

Selected Comments Submitted by State Correctional Institution Superintendents Regarding Staffing and Impact on Rehabilitation/Treatment Programs

1. Additional inadequacies have been created because of overcrowding. The Social Services area, Education area, and Inmate Activities area are examples of this problem.
2. PA Department of Education employees have been understaffed since this facility opened in February of 1987. The problem hasn't been what positions they planned, but the delay by PDE in filling these positions. For instance while 10 positions were planned, after one year of operation and while operating at or over capacity for almost 8 months, only 3 positions are filled - 1 teacher and 2 vocational instructors. While more positions will be filled shortly, the delay has had an adverse affect on our ability to provide education and vocational programming to our population.
3. The Inmate Activities Department is not staffed adequately enough to run the full gamut of recreation programs needed for our inmate population. A staff of three in this Department is not adequate to supervise activities that should take place on a 7 day a week basis. Personal services is inadequately staffed in that there is no provision for relief during absences for annual or sick leave or time away from the job for training. When a staff member is away from the job, another staff member must be worked out-of-classification. This responsibility usually falls on the Corrections Officer force. The Food Service Department has just enough staff to cover for minimal supervision. Scheduling of vacations and training time becomes difficult because there is not enough staff to cover all areas.
4. The increase in counselor caseloads to approximately 200 inmates has cut into long term counselor/inmate contact. This makes it difficult to deal with the many problems inmates present.
5. Although we have a fairly adequate maintenance staff, there are some specialties that are not being met at this point such as masonry, roofing, and a locksmith. There are also inadequate jobs available for the inmate population, and an increase in maintenance staff would allow for more jobs to be performed by the inmate population.
6. Inmate employment and activities would be significantly enhanced by at least meeting DOC Table of Organization figures.
7. Staffing is adequate for inmate job placement, overcrowding creates problems in providing full-time inmate employment.
8. We simply do not have a sufficient amount of tradesman-instructor positions to be able to assign a majority of the inmates to a meaningful job. Positive job skills learned while incarcerated would be of real value to an individual upon his release.

EXHIBIT B-C

Selected Comments Submitted by State Correctional
Institution Superintendents Regarding Staffing
and Impact on Rehabilitation/Treatment Programs
(Continued)

9. We must be able to provide meaningful programs and constructive activity. This includes adequate levels of counseling and psychological services, jobs, education, vocational training and activities. Not only do the programs have a direct effect on rehabilitation, but they also have a direct effect upon the climate of the facility, the morale of staff and inmates, the humaneness of incarceration and the safety of our facilities. Consequently, such services impact directly upon our ability to fulfill our mission of safe, secure and humane confinement for the offender.
10. Because of the increased population, we have greatly expanded programs for inmates, and in doing so, we have expected more of all staff. There is a limit to what current staffing patterns can effectively cover or provide. The Department of Corrections cannot be expected to continue to expand programs and demands of staff without increasing the number of personnel as well as the resources that they need to get the job done!
11. An additional Activities Specialist is needed to provide coverage now. We have a wide range of (inmates) with a wide range of needs. Additional staff would not necessarily rectify the problems, but would remedy the current situation.
12. We need a Librarian Assistant so the Library can be opened seven days a week. Too many of our PA Department of Education staff are part-time and their positions change from year to year. We also need a full time education counselor.
13. We are expected to continue our quality of care for the inmates and provide a safe and secure atmosphere, develop prescribed treatment programs, quality educational classes and run a strong activities program with our current resources. Creative management and the theory that you can do more with less has its limitations within the correctional setting.
14. We currently have only three counselors for over 600 inmates, which is at least 40% higher than the 150 case loads stated as a standard. With the potential for expanding our population to over 900 inmates within the next year and no new positions authorized this ratio may possibly rise to 325 or 116% higher than the normal correctional standard.
15. In the Treatment area it is also noticeable that backlogs of work in the processing of pre-release applications and referrals are creating problems and eventually we will be looking at the cost effectiveness of overtime for counselors and our clerical staff in this area.

EXHIBIT B-C

Selected Comments Submitted by State Correctional Institution Superintendents Regarding Staffing and Impact on Rehabilitation/Treatment Programs (Continued)

16. At the present time there at least 220 inmates who have no full time work here at the institution. Therefore, they are constantly requesting more inmate jobs, educational opportunities, vocational training and increased activities. These concerns eventually have to affect our inmate and employee morale.
17. We are all aware that overcrowding influences negative institutional behavior. Therefore, to prevent that we need to maximize inmate participation in supportive programs to better prepare them for their eventual return to the community. Additional Treatment and Correctional Officer staff would play a significant role in helping reduce the likelihood that many of our inmates would return to criminal activity upon their release.
18. Current staffing levels in all areas are insufficient for more than a bare bones maintenance of critical delivery systems.
19. The situation with the providing of Educational services has become intolerable. In January 1977, the institution had approximately 862 inmates and 53 full and part-time educators. In January 1988, the institution had approximately 2,600 inmates and 25 full and part-time educators.
20. Enormous frustration is being experienced by inmates who know education is their only hope, but who also know they will not receive it at _ . The waiting list for entrance into vocational and educational programs continues to grow.
21. As important as additional positions are, the manner in which they are managed is critical. The dual chain of command between the Department of Corrections and Pennsylvania Department of Education must be abolished and the Department of Corrections given the positions and funds to manage all vocational and educational programs with the Pennsylvania Department of Education having an advisory function only.
22. We need additional vocational educational programs in the major marketing areas for our parole ready population.

Source: Developed by LB&FC staff from information provided by DOC correctional institution superintendents in response to a survey questionnaire.

EXHIBIT B-D

Selected Comments Regarding Inmate Rehabilitation/
Treatment Programs Submitted to LB&FC Staff by a Sampling
of PA Trial Court Judges

1. I believe rehabilitation has to begin with a motivated individual. For those persons, programs are adequate.
2. I am not sure with the volume of people in prison that we can effectively rehabilitate but we are not doing enough toward this end.
3. Rehab is all important, but crime cannot go unpunished. Punishment has a place in rehab.
4. Although I believe in rehabilitation as a purpose of the system, I think it is accomplished through punishment. In other words, if the punishment is bad enough, then the person will want to change so as to avoid future punishment. I don't much believe in counseling and therapy.
5. Punishment is a recognizable purpose and it is often effectively made. I believe, however, that rehabilitation is more important except with criminals who must be isolated from society. Those criminals who must be isolated from society present serious problems and must be otherwise dealt with.
6. Punishment and Rehabilitation seem to be ineffective - there are a large number of repeat offenders.
7. The incidents of recidivism are high and one must conclude that the institutional rehabilitative process is either inadequate or antiquated and in either case ineffective.
8. I do believe the primary purposes of the institutions are to punish individuals for the violations against society, and that is being effectively met as well as the rehabilitation efforts.
9. The problem of sexual problems inherent in an all male society are not met. There seems almost to be a denial of the existence of the problem.
10. It is obvious that it would be the hope of the Court and the public that, if rehabilitation can be accomplished, steps should be initiated towards this end while the defendant is incarcerated. The longer one continues in the area of dealing with people, who violate the laws of our society, the more skeptical one becomes concerning the rehabilitation efforts since we see repeatedly individuals who have appeared before us on numerous prior occasions still committing the same kind of offenses. Still the human mind and heart is uplifted on the occasion, although more rare than we would like, to find that a person, who has committed an offense, has been rehabilitated to the point where he is a compliment to our society.

EXHIBIT B-D

Selected Comments Made by Judges Regarding Inmate
Treatment/Rehabilitation Programs
(Continued)

11. I believe more, by way of rehabilitation programs, is needed. But I do believe that the Bureau of Corrections is doing the best job it can with the resources available. It is simply not enough.
12. I differ with many of the behavior science specialists who set up programs to rehabilitate residents. Some residents do rehabilitate themselves because it comes from within them. I do not have confidence with programs ordained by management.
13. I think it desperately important for unskilled residents to be taught a saleable skill while incarcerated. Improved and more intensive drug and alcohol treatment programs are necessary. Educational opportunities - especially literacy - should be improved.

Source: Selected by LB&FC staff from comments received in response to an LB&FC questionnaire sent to all PA Trial Court Judges.

EXHIBIT B-E

Examples of Comments Received from Inmates Regarding Rehabilitation/Treatment Programs*

1. Drug & alcohol counseling - counseling is available but inmates (like myself) who have large sentences are denied access to needed treatment programs.
2. Counseling N.A. & A.A. - The programs are very limited and often times there is a very long waiting list you must be put on. Consequently, the parole board is reluctant to release you unless you participate in these programs. Causing you to remain incarcerated over your minimum because of the waiting list to get into the program.
3. Alcohol and drug treatment - in need of more mandatory programs other than AA or NA.
4. New Values/NA, AA and Sex Offenders program - I think all of the above programs are excellent. Overcrowding prevents a great number of people from participation.
5. Sex offenders should be given more counseling throughout the week, and this here particular program should be more closely monitored by the correctional facility administration staff. (I personally think more must be done here.)
6. Counseling - I had a crisis, serious one whereas I didn't care about tomorrow. Through my counselor and work supervisor, I got a grip on reality and dealing with my problem.
7. All are good if you can get into them, some such as AA and NA are really a joke unless you are very serious about quitting alcohol or drugs permanently.
8. Counselors don't help you because they're understaffed and they're inexperienced. No drug and alcohol programs, etc. No inmate support groups or pre-release programs set up.
9. No programs to be involved in such as drug and alcohol abuse programs or anything at all!
10. I don't think anyone really cares. I have an alcohol problem and have been here 2 years and I keep telling my counselor and he just say you'll get help. But I can't get into a program.

*Source: Represents selected comments submitted by inmates of state correctional institutions in response to an LB&FC survey questionnaire.

EXHIBIT B-E (Cont.)

Examples of Comments Received from Inmate
Regarding Rehabilitation/Treatment Program

11. There is not counseling other than AA & NA programs - alcoholics anonymous and narcotics anonymous.
12. I volunteered to take a course in alcohol and received a certificate from it, and also sex offenders too, and I've learned a lot from both programs, which shows me where I went wrong, and I know I'll never be back.
13. NA, AA substance abuse. A waste of time. Most inmates go to fill parole criteria. Because they are in effect forced to go they make it impossible for a guy who wants to go to accomplish anything.
14. Programs are too short and a long waiting period to before one can attend.
15. Drug and Alcohol Abuse Program - Mon-Yough is currently here but is not adequate to handle 1600 inmates.
16. There should be more good treatment like the Drug & Alcohol classes offered.
17. Overpopulation has caused the treatment department to be overworked and less caring of inmate needs. Yet as a member of the sex offender program my opinion is treatment is "extremely" well put together, and the staff is excellent.
18. But the prison is very overpopulated and the educational programs is a long waiting list.
19. Anyone who wants to continue his education, has the opportunity to do so.
20. Due to the overcrowding and limited space for this, they are hard to get into.
21. More educational programs is need, GED and literacy are not enough, it's too many uneducated here.
22. Very good but it takes too long to get into a vocational program.
23. High school GED can be achieved but not enough teachers when it comes for help for one on one help.
24. Not enough programs for population as a whole and basically, nothing for long term inmates.
25. They are very good toward GED but past that we are very limited (too crowded).

EXHIBIT B-E (Cont.)

Examples of Comments Received from Inmates
Regarding Rehabilitation/Treatment Programs

26. Need more advance classes such as SAT testing and college courses.
27. They have a waiting list that's long and not enough teachers.
28. Very, very limited. School building is much too small.
29. Need more and better funding programs to support them and more room to advance in them instead of being limited.
30. Overtaxed, understaffed, underbudgeted. Facilities need expansion and monetary assistance needed for college students for purchase of books.
31. Lack of space limits the number of classrooms and, therefore, the number of classes and number of individuals helped. There is no study-release program.
32. There is no books that are up to date, also the school staff is very limited here.
33. It's not enough programs for people to get involved in, not enough programs for the number of inmates interested.
34. Needs improvement, there are less now than before. People here enforce working not education.
35. When attempting to enter programs, I have been informed that you must either have more (or less) time to serve before becoming eligible to enter the program offered.
36. Of the educational programs I have participated in I accomplished a great deal such as my GED. The staff were very concerned and patient in helping me.
37. The program's are good, but again because of the growing number of inmates there is a waiting list for all programs.
38. Hard to say, waiting lists are six(6) months to two(2) years behind.
39. Overcrowded conditions make programs inaccessible for many inmates.
40. Although programming is good overpopulation presents a problem to enroll.
41. Existing programs are fair, but inadequate funding unable to handle population size.
42. Naturally the classes are very limited here. Too many inmates remain illiterate - that is sad!

EXHIBIT B-F

Selected Comments Submitted to LB&FC Staff By Inmates Regarding Vocational Programs Available at State Correctional Institutions

1. There are a good variety of them for anyone interested in getting involved.
2. Waiting list years long.
3. Some programs you can't get into because you either have too much time or not enough time to get into the programs.
4. Unable to comment due to overcrowding and lack of courses for short timers left me out in the cold.
5. I feel that all the vocational programs here are very good.
6. The programs are out of date and need to be more updated so you can learn them.
7. Good. The circle above is deceptive, in that these programs are good, but many certain parts of the population are excluded for reasons related to their sentence (lifer inmates) those who are in for life.
8. These programs are excellent, but again only if you can get into them.
9. It's over 1500 inmates here and about 2 vocational programs, maybe 3.
10. There are only a few programs which teach and give credit, certificates in which one can apply to a trade. Also other shops only teach what is needed to keep the prison running.
11. If you are not doing a lot of time, you don't get in - too many inmates - not enough programs or staff.
12. If you successfully complete the training program in the Dental Lab., I believe you might be able to get a similar job on the street. Other than that, I know of no genuine on-the-job training here. The Weave Shop prepares you for nothing. All equipment like our old looms have long since been scrapped in the real work world and the three new looms will train just three men. Operations such as ours actually exist only abroad. They would not be competitive here in the states. The same is true of the Shoe Shop and Hosiery Shop, etc. The press is full of stories documenting the shift in

EXHIBIT B-F

Selected Inmate Comments Regarding
Institutional Vocational Programs
(Continued)

the most marketable job skills from industrial to service-type skills, so the prisons should be concentrating on preparing a job force that is trained to compete for such service sector jobs. Of course, this means first teaching literacy, and that's part of the rub. There is however, no reason why inmates couldn't learn how to program in COBAL, or PL-1, or RPG II & III, as well as they could learn to keep inventory ledgers for Correctional Industries. There is a strong demand now for computer operators and programmers, and all indications are that it will remain so into the foreseeable future. That's the kind of program we should be moving into. Present on-the-job training here is virtually useless.

13. Again, need more classes such as TV repair, welding, etc.
14. Should be more programs and better equipped with materials to function.
15. There are no vocational programs available unless inmate has outside approval and even then, it's too late in most cases because inmates approved are ready to go home.
16. Resident population makes this area poor! Most vocational training here is of no importance in society!
17. We need what the market requires upon release not so much as to what the institution has to offer or needs but the needs of the man.
18. This area also has a need for expansion due to increase of population.
19. You have to have a minimum of less than two years to enter the program.
20. I learned brick laying, house wiring, carpentry and computer. Plus I received my barber's license from barber school.
21. The education is here if you want it. No reason not to at least have a GED.
22. Once again there is a great lack of interesting programs such as welding, brick masonry, carpentry, etc. These skills would be of great value to parolees.
23. There are not too many vocational programs here plus it's too hard to get into a vocational program.

EXHIBIT B-F

Selected Inmate Comments Regarding
Institutional Vocational Programs
(Continued)

24. The vocational programs do not provide the proper training needed to further a career in a certain field. But they are fair.
25. Antiquated equipment.
26. When attempting to enter programs, I have been informed that you must either have more (or less) time to serve before becoming eligible to enter the program offered.
27. This is a wonderful program, however it must be expanded so that it can reach more inmates, new monetary funds are needed so that more inmates can participate.
28. Could not participate in program due to being in parole status for all but 1 week of my incarceration.
29. But at the present time, there are only two (auto & plumbing) more are needed.
30. Very limited - needs expansion to more than auto repair or plumbing or manufacturing of brooms.
31. The vocational programs is good, however I think that more inmates should be allowed to attend these programs.
32. There is too much reliability on inmate teaching inmate.
33. The only vocational training I've had was meat cutting but I didn't get any real credit for that because they didn't offer it for credit at this institution.
34. My only complaint is that there is not more and vocational training that can be put to use in today's job market.
35. Overcrowded conditions make programs inaccessible for many inmates.
36. Programs offer a training that have little benefit preparing for actual job situations.
37. Poor - I say that because I haven't seen anything a guy can do here to get licensed for his release so he can pursue the trade except barber shop.
38. More programs are needed in marketable areas.

EXHIBIT B-F

Selected Inmate Comments Regarding
Institutional Vocational Programs
(Continued)

39. Limited programs, no modern technological programs and inordinate delays for ones available.
40. Prison industries don't train for outside work force jobs.
41. The prison system as a whole needs more vocational programs toward responsible career objectives.
42. They need more Vocational Programs that can guarantee jobs when an inmate leaves this institution.
43. Not enough training to gain employment upon release, constant cancellations of classes.
44. About 1/4 of the jail's population is working, and these jobs range from maintenance to mechanics, yet, so very few of us are working.
45. Fair because of the overcrowding there are not many jobs available.
46. 90% of the job's here at -- are unskilled unnecessary jobs.
47. This is an area that could use some upgrading.
48. When attempting to enter programs, I have been informed that you must either have more (or less) time to serve before becoming eligible to enter the program offered.
49. Modern techniques and equipment needed as well as professional staff. Poor training and lack of instructions.
50. There is no such program only detail work such as laundry, mopping, cleaning windows, etc.
51. Again, too much overcrowding, more inmates than jobs.
52. Unless you choose to learn on antiquated equipment. Or make license plates.
53. Training is basically in fields which are outdated and virtually obsolete.

EXHIBIT B-G

Listing of Recommendations Related to Inmate Rehabilitation/Treatment Programs
Made by Governor's Interdepartmental Task Force on Corrections
October 1987*

A. Education

1. The Department of Corrections should employ certified school psychologists to ensure that inmates requiring special education are referred to the appropriate programs.
2. The Department of Corrections should employ one Vocational Counselor at each Diagnostic and Classification Center.
3. The Department of Education should hire additional teachers to provide all inmates with basic education skills in reading, math, and language arts.
4. The Department of Education should expand and improve vocational education programs available to inmates.
5. The Departments of Education and Corrections should undertake a comprehensive review of the academic and vocational curricula.

B. Job Training

1. Increase inmate participation in job training programs.
2. Provide additional job training programs and upgrade existing programs.
3. Improve coordination of job-related information.

*/ Note: Information on the DOC's response to the Governor's Task Force recommendations is provided in Finding J.

Source: Reprinted from The Report of the Governor's Interdepartmental Task Force on Corrections, October 21, 1987.

EXHIBIT B-G (Cont.)

Governor's Task Force Recommendations Related to Inmate Treatment/Rehabilitation Programs

4. Improve job placement programs and provide at least one job placement officer in every institution.
5. Implement a job training demonstration project.

C. Health Care Services

1. A Medical and Dental Advisory Committee should be established to advise the Department on the development of clinical medical policy.
2. The Department of Corrections should review its health care staffing deficiencies, determine the most critical needs, and develop and implement a staffing plan.
3. The Department of Corrections should establish a health care survey to evaluate the delivery of health care in state prisons.
4. The Department of Corrections should provide expanded opportunities for in-service training for health care staff and correctional officers.
5. The Department of Corrections should improve its medical statistical reporting system to provide morbidity reports which focus on diagnostic groups.
6. The Corrections Department should establish a comprehensive health education program for inmates.
7. Pregnant inmates should be encouraged to report their suspected pregnancy immediately so that early and regular prenatal care and health education can begin and so that prescribed drugs which are harmful during pregnancy can be stopped.

D. Drug and Alcohol Treatment

1. The Department of Corrections should develop comprehensive drug and alcohol treatment programs at every correctional institution.
2. Greater emphasis should be placed on drug and alcohol treatment programs during pre-release and parole.

EXHIBIT B-G (Cont.)

Governor's Task Force Recommendations Related to Inmate Treatment/Rehabilitation Programs

E. Mental Health Services

1. The Department should hire additional mental health professionals.
2. The Department should implement a pilot program for comprehensive mental health care.
3. The sex offender treatment programs should be evaluated to determine whether additional or alternative programs should be developed.
4. The Departments of Corrections, Public Welfare, and Health should establish programs for inmates with a dual diagnosis of mental illness and substance abuse.
5. The coordination of discharge and aftercare planning between correctional and forensic facilities should be improved.
6. Correctional Officers should receive mental health training on an annual basis.
7. Community mental health services for persons on state parole should be increased.

F. Social Services

1. The one visit per week restriction should be eliminated.
2. Extended family visits should be permitted.
3. The Department of Corrections should develop programs to increase the availability of transportation to state correctional institutions.
4. The Department of Corrections should advise inmates of the new federal law concerning child support orders and provide inmates with assistance as needed in filing petitions to modify child support orders.
5. The Department of Corrections and the Board of Probation and Parole should assist eligible inmates in obtaining public assistance benefits by processing applications for pre-release grants and arranging follow-up application interviews for post-release benefits and services.

C. OVERCROWDED PENNSYLVANIA PRISONS^{1/}

FINDING: One of the most difficult problems confronting the Pennsylvania Department of Corrections (DOC) is the extent to which the inmate population is surpassing its institutional capacity.2/ This problem has resulted in seriously crowded conditions within the institutions and is negatively impacting (as discussed in other findings of this report) on the infrastructure of Pennsylvania's correctional system. Moreover, while there is wide recognition of this problem among Pennsylvania criminal justice agencies and proposals to alleviate overcrowding have been recommended, the various actors having impact on the overcrowding situation are not formally coordinated, and decision-making and planning to deal with this "issue" is fragmented. As of January 31, 1988, the DOC's inmate population of 16,498 exceeded its rated housing capacity of 12,466 by 4,032 (see Table C-1); the DOC was, therefore, operating systemwide at 132% of capacity, and one of its institutions (Greensburg) was operating at 160% of capacity. The auditors further noted that while a widely accepted standard of the American Correctional Association (ACA) is that no more than one inmate be placed in a cell overcrowded conditions have resulted in the DOC double-celling inmates despite its goal to comply with this standard. DOC statistics (as of early January 1988) indicate 50% of the inmates systemwide are double-celled and at two institutions (Mercer and Rockview) double-celling was occurring at rates of 71% and 69%, respectively (see Table C-2).3/ Included in the DOC's current capacity of 12,466 are recently constructed institutions;4/ also, funding has been approved for additional construction which will increase capacity from 12,466 to 13,669 by 1991 (see Exhibit C-A). The DOC's inmate population is projected to reach 18,670 by 1991 and the DOC reports that if further actions to either expand capacity and/or implement certain alternatives to incarceration are not taken a cell shortage of 5,001 by 1991 is anticipated. The DOC proposed expanding its housing capacity through new construction projects and certain other initiatives in its FY 1988-89 Budget Request (see Exhibit C-B); such proposals and initiatives (excepting one) were not,

1/The auditors recognize that overcrowding also exists in county jails and that this may impact on the state correctional system; this audit and finding do not address the issue of county jail overcrowding.

2/Capacity is defined, according to the Department of Corrections, as "the number of inmates who can reside in a housing area consistent with generally accepted correctional standards." The terms "design capacity," "housing capacity" and "rated capacity" are all synonymous with the term "capacity."

3/Additionally, SCI Graterford reportedly had 61 inmates housed in its gymnasium.

4/These recently constructed institutions and their respective capacity levels are as follows: Cresson - 499; Frackville - 540; and Retreat - 480.

however, included in the Governor's Budget proposal.5/6/ These initiatives would have increased the DOC's housing capacity from 13,669 to 15,172, thus reducing the anticipated 1991 cell shortage to 3,498.7/ The issue of prison overcrowding has become a widely recognized problem as is evidenced by the fact that representatives of a number of Pennsylvania agencies, including the courts, the General Assembly and other entities responsible for criminal justice have joined to address the issue of prison overcrowding. Specifically, the Pa Commission on Crime and Delinquency (PCCD) established a Prison and Jail Overcrowding Task Force in 1983 which included criminal justice practitioners, judges, Executive Branch officials, legislators and academics.8/ Through this effort several alternative programs to incarceration and other proposals were recommended which were intended to alleviate correctional overcrowding.9/ Some of the not yet implemented recommendations have been identified by the DOC as necessary actions to reduce the current and worsening cell shortage; for example, implementation of a system of earned time credit and expansion of community service centers (CSCs).10/11/ The Governor's Interdepartmental Task Force on Corrections recognized the overcrowding problem and included recommendations concerning overcrowding in its October 1987 report, including pursuit of the "one man/one cell" goal and the development of a comprehensive

5/Approved proposed funding includes expansion of therapeutic communities to provide for segregation and treatment of 104 inmates needing drug and alcohol rehabilitation. Approval of this initiative will, therefore, increase capacity from 13,669 to 13,773.

6/Although not a program initiative, the DOC proposed full funding of one of its newly constructed institutions (SCI Smithfield) as well as the new addition to the Diagnostic and Classification Center (DCC) at SCI Graterford for full fiscal year operation in its FY 1988-89 Budget Request; the Governor's Proposed Budget does not, however, include such full funding. A DOC official indicated that full year funding would enhance housing capacity and hence impact on reducing the current crowded conditions earlier.

7/The Department also indicates additional plans to request further capital expansion in future fiscal years, adding an additional 306 cells and reducing the cell shortage to 3,192.

8/Please see Appendix C.1 for a complete listing of the Task Force membership.

9/Most of these recommendations have not been implemented. See Exhibits C-C and C-D for the initial recommendations and a late February 1988 implementation status report.

10/Please see Exhibit C-E for the impact of pending earned time legislative proposals on the inmate population.

11/Group Home pre-release housing arrangements are associated with CSCs and are also an area of pre-release program expansion.

plan which addresses earned time legislation, intensive parole and expansion of CSCs and prisons (see Exhibit C-F). Beyond these special efforts resulting in identification of possible solutions to alleviate crowded conditions, the auditors identified other possible mechanisms and alternatives to incarceration which impact on overcrowding. These include, for example, an intensive parole supervision program for parolees with chemical dependencies and a community service work program for parolees, both of which are currently being implemented on a pilot basis by the PA Board of Probation and Parole (PBPP) (see Exhibit C-G). A recent development pertaining to this overcrowding issue is that in early March 1988 the PCCD held a meeting with various representatives of PA criminal justice agencies and other interested persons to discuss, among other topics, the current overcrowding situation and implementation status of its 1985 Task Force recommendations; certain new proposals to alleviate the overcrowded conditions were presented. (See Exhibit C-H; Appendix C.2 also includes selected information presented at this meeting.) Included, for example, is that inmate population levels be considered when revising sentencing guidelines.^{12/} (See Exhibit C-I for information on Pennsylvania's and selected other states' sentencing commission mandates.) Another proposal is to expand the PBPP's Intensive Supervision Program to reduce the number of parole violators returned to prison.^{13/} Other than informal contacts among the various agencies involved in implementing and/or coordinating the various proposals, this March 1988 meeting was unique and no ongoing group or mechanisms exist to provide planning and monitoring of these or other initiatives.^{14/}

^{12/}House Resolution 200, P.N. 2554, directs the Joint State Government Commission to undertake a review of the PA Commission on Sentencing to evaluate the efficacy of the guidelines and the Sentencing Commission. As of late March the Resolution was pending in the Rules Committee.

^{13/}Funding for one type of intensive parole program is included in the Governor's Budget Request for FY 1988-89. The Governor's Budget proposes funding for participation by 200 low-risk general population parole violators. This initiative had originally been proposed by the PA Board of Probation and Parole to be funded to divert 1,000 such parolees for the upcoming fiscal year.

^{14/}S.B. 405 P.N. 437 would create a Select Oversight Committee on Corrections. The purpose of the Committee would be "...to improve planning for correctional facilities and programs, and to ensure implementation of proposed improvements in the correctional system...." As of late March 1988 no action had been taken on this bill. This bill was referred to the Senate Judiciary Committee on February 23, 1987.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. IN RECOGNITION OF THE SEVERITY OF OVERCROWDING IN PA'S STATE CORRECTIONAL SYSTEM AND THE VARIOUS AGENCIES INVOLVED IN RELATED DECISION-MAKING, THE GOVERNOR APPOINT VIA EXECUTIVE ORDER A STATE COORDINATING COUNCIL ON PRISON OVERCROWDING.^{15/} THE COUNCIL SHOULD BE COMPOSED (AT LEAST) OF REPRESENTATIVES OF THE PA DEPARTMENT OF CORRECTIONS, PA COMMISSION ON CRIME AND DELINQUENCY, PA BOARD OF PROBATION AND PAROLE AND THE PA COMMISSION ON SENTENCING. ADDITIONALLY, CONSIDERATION SHOULD BE GIVEN TO INCLUDING REPRESENTATIVES OF OTHER AGENCIES AS APPROPRIATE; FOR EXAMPLE, THE PA STATE POLICE, GENERAL ASSEMBLY AND JUDICIARY. THE COUNCIL SHOULD BE CHARGED WITH RESPONSIBILITY FOR IMPROVED COORDINATION, PLANNING AND MONITORING OF EFFORTS TO ALLEVIATE OVERCROWDING IN THE COMMONWEALTH'S CORRECTIONAL FACILITIES. THE COUNCIL SHOULD DEVELOP AND MAINTAIN AN OVERALL PLAN FOR REDUCING OVERCROWDING IN THE STATE CORRECTIONAL SYSTEM. IT SHOULD RECEIVE STAFF SERVICES FROM THE PA COMMISSION ON CRIME AND DELINQUENCY AND SHOULD WORK THROUGH ALL OF THE REPRESENTATIVE AGENCIES TO DEVELOP AND IMPLEMENT, IN SOME CASES ON A PILOT BASIS, VARIOUS ALTERNATIVES TO INCARCERATION AND OTHER INITIATIVES AIMED AT REDUCING PRISON OVERCROWDING.

AMONG THE ALTERNATIVES AND INITIATIVES THAT SHOULD BE CONSIDERED ARE THE FOLLOWING:16/17/

- EXPANSION OF INTENSIVE PAROLE SUPERVISION PROGRAMS, INCLUDING THOSE RELATED TO DRUG DEPENDENCY, COMMUNITY SERVICE WORK, PAYMENT OF FINES AND OTHERS;
- COMMUNITY SERVICE CENTER/GROUP HOME EXPANSION;
- PRISON HOUSING CAPACITY ENHANCEMENTS, INCLUDING ADDITIONAL CELLS AND TEMPORARY EXPANSIONS SUCH AS MODULAR CELLS;
- RELATING SENTENCING GUIDELINES TO CORRECTIONAL POPULATION LEVELS;
- SENTENCES OF COMMUNITY SERVICE WORK;
- PLACEMENT OF PAROLE VIOLATORS IN HALF-WAY HOUSES;
- SENTENCES OF HOUSE ARREST FOR CERTAIN FIRST TIME OFFENDERS WITH NO RECORD OF PRIOR CRIMINAL ACTIVITY;
- SEE EXHIBITS C-C, C-G AND C-H FOR FURTHER INFORMATION ON THESE AND OTHER INITIATIVES.

^{15/}The Governor has acted in the past through use of the Executive Order when a special effort and/or entity has been needed to respond to an identified area of concern or similar "crisis". For example, Executive Orders have created the Governor's Traffic Safety Council (GTSC), Drug Policy Council and the PA Judicial Reform Commission in recognition of identified problems and need for a coordinated strategy.

^{16/17/}(See Footnotes on the following page.)

2. THE COUNCIL RECOMMENDED ABOVE MONITOR THE IMPACT THAT IMPLEMENTATION OF ANY OF THE ABOVE LISTED ALTERNATIVES HAVE ON THE OVERCROWDING SITUATION AS WELL AS ON THE PUBLIC HEALTH, SAFETY AND WELFARE. THE COUNCIL SHOULD REGULARLY REPORT TO THE INVOLVED AGENCIES, MEMBERS OF THE GENERAL ASSEMBLY AND INTERESTED PERSONS ON THE SUCCESS OR FAILURE OF IMPLEMENTATION OF THE VARIOUS INITIATIVES.
3. LEGISLATION BE ENACTED TO ALLOW FOR THE EARLY RELEASE OF INMATES UNDER CERTAIN CONDITIONS (i.e., A CONDITIONAL FORM OF "EARNED TIME" LEGISLATION). AMONG CONDITIONS THAT SHOULD BE CONSIDERED FOR INCORPORATION IN SUCH LEGISLATION (IN ADDITION TO THE TRADITIONAL REQUIREMENT OF "GOOD BEHAVIOR" WHILE INCARCERATED) ARE (1) COULD BE APPLICABLE ONLY TO PERSONS CONVICTED OF CERTAIN TYPES OF CRIMES (e.g., NON-VIOLENT CRIMES), (2) COULD BE EFFECTIVE ONLY WHEN THE STATE CORRECTIONAL SYSTEM IS AT A SUBSTANTIALLY OVERCROWDED LEVEL (e.g., ONLY WHEN IT IS MORE THAN 10% OVER CAPACITY), AND (3) COULD BE CONTINGENT UPON COMPLETION OF CERTAIN EDUCATION OR REHABILITATION PROGRAMS AS APPROPRIATE (e.g., INMATES WITH A HISTORY OF DRUG OR ALCOHOL ABUSE COULD BE REQUIRED TO COMPLETE A DRUG OR ALCOHOL REHABILITATION PROGRAM). IF SUCH LEGISLATION IS ENACTED, THE COUNCIL RECOMMENDED ABOVE SHOULD MONITOR IMPLEMENTATION OF THE EARNED TIME PROGRAM AND INCLUDE IN ITS REGULAR REPORTING SYSTEM (RECOMMENDED ABOVE) INFORMATION ON THE IMPACT OF THE EARNED TIME PROGRAM ON PRISON OVERCROWDING AND PUBLIC SAFETY.

16/While the LB&FC staff became aware of many types of alternatives that impact on prison overcrowding, the audit staff does not claim that the initiatives and alternatives set forth in this report are all inclusive.

17/The auditors recognize that many of the possible suggested alternatives and initiatives will require legislative action through the provision of additional funding and/or amendments to current law. Where such requirements exist, the Council should communicate the need for legislative involvement to appropriate committees of the General Assembly.

TABLE C-1

Inmate Population vs. Capacity
(as of January 31, 1988)

<u>Institution</u>	<u>Housing Capacity</u>	<u>1/31/88 Population</u>	<u>Percent of Capacity</u>
Camp Hill.....	1,826	2,573	140.9%
Cresson.....	499	589	118.0%
Dallas.....	1,457	1,997	137.1%
Frackville.....	540	635	117.6%
Graterford.....	2,144	2,522	117.6%
Greensburg.....	461	738	160.1%
Huntingdon.....	1,347	2,048	152.0%
Mercer.....	464	664	143.1%
Muncy.....	344	526	152.9%
Pittsburgh.....	1,140	1,620	142.1%
Retreat.....	480 ^{**/}	95	19.8%
Rockview.....	1,250	1,924	153.9%
Waynesburg.....	144	132	91.7%
Community Service Centers.	370	366	98.9%
Group Homes ^{*/}	<u>N/A</u>	<u>69</u>	<u>N/A</u>
TOTAL.....	<u>12,466</u>	<u>16,498</u>	<u>132.3%</u>

^{*/}Group Homes are facilities operated by private contractors. The Department of Corrections does not include them in its capacity.
^{**}/The institution at Retreat is not fully operational at this point.

Source: PA Department of Corrections

TABLE C-2

Percentage of Inmates Housed in Double Cells and Housed Dorm Style
(as of January 31, 1988)

<u>Institution</u>	<u>Inmate Population 1/31/88</u>	<u>Inmates Double Celled</u>	<u>Percent of Inmates Double Celled</u>	<u>Inmates Housed Dorm Style</u>	<u>Percent of Inmates Housed Dorm Style</u>
Camp Hill.....	2,573	1,378	54%	465	18%
Cresson.....	589	280	48	0	0
Dallas.....	1,997	830	42	246	12
Frackville.....	635	280	44	0	0
Graterford.....	2,522	746	30	206	8
Greensburg.....	738	340	46	250	34
Huntingdon.....	2,048	1,101	54	235	11
Mercer.....	664	472	71	86	13
Muncy.....	526	344	65	120	23
Pittsburgh.....	1,620	968	60	0	0
Retreat.....	95 ^{*/}	0	0	0	0
Rockview.....	1,924	1,318	69	281	15
Waynesburg.....	<u>132</u>	<u>0</u>	<u>0</u>	<u>125</u>	<u>95</u>
TOTAL.....	<u>16,063</u> ^{**/}	<u>8,057</u>	<u>50%</u>	<u>2,014</u>	<u>13%</u>

^{*/}The institution at Retreat was not fully operational at the time of the audit.

^{**/}Does not include Community Service Centers/Group Homes.

Source: PA Department of Corrections

EXHIBIT C-A

Department of Corrections' Currently Funded Construction Projects and Impact on Housing Capacity thru 1991^{*/}

DEPARTMENT OF CORRECTIONS' HOUSING CAPACITY	
AS OF JANUARY 31, 1988.....	12,466
SCI Graterford (Expansion).....	418
SCI Smithfield (New Institution).....	<u>484</u>
	13,368
Net loss of cells at SCI Pittsburgh due to renovation of North Cell Block.....	<u>- 156</u>
	13,212
SCI Smithfield (Phase II).....	64
SCI Greensburg (New cell block).....	154
SCI Rockview (Mental Health Unit).....	23
SCI Graterford (RHU).....	<u>104</u>
Subtotal....	<u>345</u>
TOTAL.....	<u>13,557</u>
SCI Retreat (New cell block) ^{**/}	<u>112</u>
TOTAL APPROVED DEPARTMENT OF CORRECTIONS'	
HOUSING CAPACITY BY 1991.....	<u>13,669</u>

*/These projects were in various stages of construction at the time of this audit.

**/Funding for this project is included in House Bill 1743 (providing for the capital budget for FY 1987-88) which, as of late March 1988, had been passed by the House of Representatives but required Senate action.

Source: Developed by LB&FC from information provided by the Department of Corrections.

EXHIBIT C-B

Department of Corrections' Plans for Reducing Overcrowding

ANTICIPATED CELL SHORTAGE IN 1991.....	5,001 ^{a/}
FY 1988-89 Budget Requests: ^{b/}	
Therapeutic Communities.....	- 104
Community Service Center Expansion.....	- 175
SCI Camp Hill DCC Annex.....	- 30
SCI Muncy Protective Custody Unit.....	- 44
SCI Smithfield Additional Cells ^{c/}	- 150
Two New Institutions (500 Cells each) ^{c/}	-1,000
	1,503
REVISED ANTICIPATED CELL SHORTAGE IF DOC	
FY 1988-89 BUDGET REQUESTS APPROVED.....	3,498 ^{d/e/}

a/This figure represents the difference between 18,670 (the projected 1991 inmate population) and 13,669, the approved housing capacity by 1991.

b/The following is a list of items that would increase existing housing capacity at State Correctional Institutions and for which funding was requested in the DOC Budget Request for FY 1988-89. The Governor's 1988-89 Budget Document only includes funding for expansion of Therapeutic Communities among this list of requested items.

c/Capital budget request.

d/Additionally, the Department of Corrections' FY 1988-89 Agency Budget Request indicates planned Capital budget funding requests of additional cell blocks (increasing total capacity by 306) at SCIs Frackville and Cresson for the FY 1989-90 planning year. If such requests are approved, this would further reduce the anticipated cell shortage to 3,192.

e/The Department also reported that the shortage of cells can be further reduced by using alternatives to incarceration such as intensive probation, restitution, electronic monitoring and community service work.

Source: Department of Corrections, including Agency Budget Request.

EXHIBIT C-C

PA Commission on Crime and Delinquency's Prison and Jail Overcrowding Task Force
Recommendations to Alleviate Overcrowding

PROGRAM INITIATIVE	TARGET GROUP	COST	START-UP TIME	IMPACT OR BEDS SAVED
A. Implement a system of earned time credits for state inmates and encourage the usage of a similar system at the local level.	Incarcerated inmates serving state sentences (except those under sentence of death or serving a mandatory or life sentence).	Low — primarily some increased administrative costs for Department of Corrections and increased costs for parole supervision.	Department could implement within 30 days of enactment.	Reduce ADP in Department of Corrections by 10% over the next 10 years, with a 6% reduction occurring in the first year (about 900 inmates in first year). A somewhat similar system could reduce county ADP by 3%.
B. Implement a program of intensive supervision for the release of selected state inmates to parole.	Sentenced state inmates past their minimum parole eligibility date, state recommended technical parole violators, and detained state parole violators in county jails.	Medium — additional parole agents would be required to reduce caseloads to acceptable levels. Estimated costs \$1,500,000-\$2,000,000.	Start program 7-1-85.	Reduce ADP in Department of Corrections by 3% (about 300 inmates). Would be minimal impact on county jails for state parole violators.
C. Expand and upgrade the Department of Corrections' community service centers to establish a program of graduated release for all inmates expected to be paroled.	Incarcerated state inmates eligible for parole release.	Low to medium — If Department of Corrections is able to contract for existing space, costs would be low, but if Department of Corrections must expand its own capacity, est. costs could be \$2,600,000.	Could start 7-1-85.	Reduce ADP in Department of Corrections by 3% (about 300 inmates).
D. Establish a 600-bed correctional facility for the southeast to house inmates with maximum sentence of from 2 years or more to less than 5 years.	Sentenced inmates and convicted offenders not yet incarcerated with maximum sentences of 2-5 years from the southeast.	High — \$30,000,000 construction costs plus yearly operating costs of approximately \$3,000,000.	Complete construction 1988.	Reduce ADP in Department of Corrections about 3% (250 inmates). Reduce impact on ADP in southeast county jails by 250 inmates.
E. Increase the capacity of our present correctional system through the use of capacity enhancements (temporary expansion including modulars) and use of available vacant space.	Incarcerated county and state inmates (primarily low-risk).	Low to High — Costs depend on approach ranging from use of existing vacant space (costs could be minimal) to purchasing modulars (costs could be \$20,000-\$30,000 per bed).	Commence immediately.	1 for 1 reduction.
F. Implement a system of pre-trial mechanisms to control the county jail detention population.	Arrestees and pre-trial detainees.	Low — may involve at the most, hiring of personnel (\$20,000-\$100,000 per county).	Commence immediately.	Reduce ADP in county jails by 10-15% (about 1,000 inmates).
G. Provide technical assistance to county jails to advise them regarding methods to reduce or control their populations.	Primarily arrestees and pre-trial detainees.	Low — may involve at the most, hiring of personnel (\$20,000-\$100,000 per county).	Now in process.	Incorporating impact in pre-trial mechanisms.
H. Establish a State Subsidy Program to assist county jails in defraying the costs of housing DUI offenders.	Incarcerated DUI offenders in county jails.	Medium — an allocation formula providing \$7,500 x avg. daily DUI population would cost approximately \$1,800,000.	Start program 7-1-85.	Could provide alternative housing or transfer to other facilities for a reduction in ADP of 1.5%, or 100 inmates.
I. Implement fiscal and programmatic impact analysis of proposed legislation affecting correctional facilities.	State and county correctional systems.	Low	Commence immediately	No direct impact on current population, but can influence level of future population or budget to accommodate changes.
J. Establish mechanism to oversee, monitor, and evaluate implementation of initiatives.	All components of the criminal justice system.	Low	Commence immediately.	No direct impact on current population but can influence level of future populations.

Source: Report of the Pennsylvania Commission on Crime and Delinquency, A Strategy To Alleviate Overcrowding In Pennsylvania's Prisons and Jails, February 12, 1985.

EXHIBIT C-D

Description and Status of PCCD
Task Force Recommendations of February 1985
(Status as of February 1988)

<u>Recommendation</u>	<u>Status as of February 1988</u>
1. Implement system of earned time credits for state inmates and encourage use at local level.	S.B. 424 introduced by Senators Fisher & O'Pake. Now contained in H.B. 668 which passed Senate February 1988 and awaiting House concurrence. Contains six days/month, not retroactive, excludes mandatories and lifers.
2. Implement intensive parole supervision for selected state inmates.	PBPP (PA Board of Probation and Parole) has established, using NCAP (the Federally funded Narcotics Control Assistance Program) funds, units for high risk drug offenders in Philadelphia and Pittsburgh with a total caseload of 450 effective 2/88. Also, PBPP's FY 1988-89 request for state funds to establish units supervising a caseload of 200 low risk technical parole violators has received Governor's Office approval.
3. Expand and upgrade DOC's community service centers.	Still 15 CSCs - no new centers. Received some funding to expand but could not select sites. Two centers expanded increasing capacity of CSCs from 325 (in 1985) to 370 (in 1988). No new CSCs proposed for FY 1988-89. 54
4. Establish 500-bed correctional facility in Southeast.	No progress.
5. Increase the capacity of our state system through use of capacity enhancements.	DOC has renovated cells wherever possible. Modulars have been increased from 944 in 1/85 to 1301 in 1/88. Over the next several years, approved additions will be made at SCIG, Greensburg & Retreat. Overall capacity has increased from 9,863 in 2/85 to 13,313 currently. An additional 1,709 cells and 175 CSC beds were requested for FY 1988-89, but were not approved.
6. Establish a state subsidy program to assist county jails in defraying housing of DUI offenders.	H.B. 596 introduced by Rep. Sweet 3/85. Current H.B. 1012 reported from House Judiciary Committee 4/87. Re-referred to House Appropriations Committee 5/87. No further action.
7. Provide technical assistance to county jails regarding methods to reduce their populations.	Technical Assistance Advisory Committee created. Established Alternative Housing Program. Have provided assistance to 13 counties since 2/85. Currently working with four counties. \$225,000 available yet for funding project. PRR for FY 1988-89 funding not approved.

Source: Developed by the Pennsylvania Commission on Crime and Delinquency.

EXHIBIT C-E

Estimated Impact of Earned Time Legislation

Description: An earned time credit system allows for a reduction in offenders' minimum sentences as an award for abiding by rules of the correctional institution. According to a 1985 report by the Pennsylvania Commission on Crime and Delinquency, "...'earned time' is a population management and control tool as well as a system to provide inmates with an incentive for good behavior."

During the 1987-1988 legislative session a number of earned time bills have been under consideration by the General Assembly. While similar in many respects, there have been key differences, particularly in the number of days which could be earned per month toward reducing the length of sentence and the maximum number of days lost through rule infractions.

One proposal would provide for six days of earned time credit per completed calendar month without infraction^{1/} and a maximum of 72 days forfeiture as a result of a rule infraction. Another proposal would provide for four days of earned time credit per completed calendar month and a maximum of 96 days forfeiture as a result of a rule infraction.^{2/}

The following are Department of Corrections' estimates of the potential impact of these two proposals on decreasing state prison populations.

Population Decreases from Earned Time

	<u>6 days per month/ up to 72 days forfeited</u>	<u>4 days per month/ up to 96 days forfeited</u>
After 1 year	82	53
After 2 years	305	198
After 3 years	602	391
After 4 years	809	526

1/This proposal had been included in HB 668 which became law without the inclusion of any earned time provisions.

2/This proposal is included in SB 424, P.N. 1710.

Source: Developed by LB&FC staff from analyses of legislative proposals for earned time legislation. Computations of earned time impact were obtained from the Department of Corrections.

EXHIBIT C-F

Summary of Recommendations of the "Governor's Interdepartmental
Task Force on Corrections" to Alleviate Overcrowding^{*}

1. The Department of Corrections should continue to pursue its goal of "one man/one cell."

Although the Task Force recognizes that budgetary constraints make the elimination of double celling an impossibility in the relatively near future, it hopes that the Department can begin to move toward the one-man/one-cell standard by developing a comprehensive plan to deal with prison overcrowding (see recommendation number 2 below).

2. The Department of Corrections should develop a comprehensive plan to address overcrowding in the state correctional system.

The Task Force recommends that the following four options be pursued as part of a comprehensive plan to reduce overcrowding in the state prison system:

- (a) Earned time
- (b) Intensive parole
- (c) Community Service Center expansion
- (d) Prison expansion

^{*}/Please see Finding J for the implementation status as of March 1988 of the Task Force's recommendations by the Department of Corrections.

Source: The Report of the Governor's Interdepartmental Task Force on Corrections, October 21, 1987.

EXHIBIT C-G

Selected Alternatives to Incarceration and Other Initiatives Which May Impact on Reducing Pennsylvania's Prison Population

* Special intensive parole supervision program for clients with histories of drug dependency - This is a PA Board of Probation and Parole program implemented in January 1988 to increase supervision control of approximately 450 clients in densely populated areas of Philadelphia and Pittsburgh where neighborhood drug usage is high. Objectives are to impact on drug abuse and to reduce crime caused by drug abuse. Program methods include weekly urinalysis testing and selective use of electronic monitoring.

* Proposed general intensive parole supervision program for parole violators - This is a program proposed by the PA Board of Probation and Parole which was included in the Governor's Budget Proposal for FY 1988-89 for \$299,000 to divert 200 low risk parole violators annually from the State prison system. The parole violator would be placed on intensive parole as a sanction for violating certain parole conditions. Currently, these parole violators are returned to prison which exacerbates the prison overcrowding problem. Program features include night time curfews and use of electronic monitoring for house arrest and maximum community security. (Note: As originally proposed in the PBPP Agency Budget Request for FY 1988-89, the Board requested \$1.408 million to divert 1,000 low risk parole violators annually.)

* Payment of Costs and Fines through Community Service - Currently, a pilot program operating out of the PA Board of Probation and Parole's Chester and Erie District Offices. It is for the purpose of requiring parolees/probationers to perform work in the community to compensate the county for fines and costs imposed with the sentence on which offender is serving probation or parole.

* Community Service Work - Currently, a pilot program operating out of the PA Board of Probation and Parole's Chester District Office. It is for the purpose of requiring parole violators to perform work for the benefit of the community as an alternative to reincarceration. One program objective is to provide a cost-effective, community oriented program for parole violators who would otherwise be reincarcerated.

* Placement of Parolees in Community Service Centers - In 1974 and again in 1976, the Pennsylvania Board of Probation and Parole entered into agreements with the Bureau (now Department) of Corrections, whereby inmates would be housed under certain conditions temporarily in the Bureau's Community Service Centers. The agreement indicated that this could be done when there was a need to remove a parolee temporarily from his present living situation or in an instance when community placement for a parolee was not feasible due to housing problems. These agreements have reportedly, however, never been implemented.

EXHIBIT C-G

Selected Alternatives to Incarceration and Other Initiatives Which May Impact on Reducing Pennsylvania's Prison Population (Continued)

* Reduction of "Street Time" - Section 21.1a of the Act of August 6, 1941, P.L. 861, as amended, 61 P.S. §331.21a, requires that the person who receives a new conviction while on parole and may be recommitted by the Board, and if so, must "...be reentered to serve the remainder of the term which said parolee would have been compelled to serve had he not been paroled, and he shall be given no credit for the time at liberty on parole." According to an official of the Pennsylvania Board of Probation and Parole, Pennsylvania is one of only four states which requires persons who were on parole to lose their "street time" once they are returned to prison.

* House Arrest - An intensive program of monitoring and surveillance designed to control an offender's behavior by keeping him at home. It has been suggested that such a program may be appropriate for non-violent first-time offenders who are thought to be unlikely to repeat criminal activity.

* Weekend Sentence - Such an alternative would involve the decision of a presiding judge to approve a sentence to be served on weekends or other times in cases where long-term continuous imprisonment would disrupt an offender's employment or family.

Source: Developed by LB&FC staff from various published materials as well as information provided by representatives of certain agencies associated with criminal justice.

EXHIBIT C-H

Initiatives to Alleviate Overcrowded Prisons
Compiled and Presented by Staff of the PA Commission on Crime
and Delinquency at a March 1988 Meeting of PA Criminal Justice Agencies
and Other Interested Persons for a Discussion on Prison Overcrowding

1. INCREASE SYSTEM CAPACITY THROUGH THE USE OF MODULARS, ADDITIONAL CELLS, NEW FACILITIES, AND ADDITIONAL CSCs.
2. IMPLEMENT EARNED TIME CREDIT SYSTEM FOR STATE INMATES.
3. PROVIDE PBPP WITH THE NECESSARY RESOURCES TO ENABLE IT TO RELEASE MORE INMATES AT THE EXPIRATION OF THEIR MINIMUM.
4. EXPAND PBPP INTENSIVE SUPERVISION PROGRAM TO REDUCE THE NUMBER OF PAROLE VIOLATORS RETURNED TO PRISON.
5. INCREASE COMMUTATIONS FOR LIFERS.
6. PLACE CONTROLS ON THE ENACTMENT OF MANDATORY SENTENCE LAWS.
7. REVISE SENTENCING GUIDELINES OR TIE THEM TO CORRECTIONAL POPULATION LEVELS. (See Exhibit C-I for a statement of the statutory intent of the PA Commission on Sentencing and selected other state sentencing commissions in this regard.)
8. DEVELOP MORE SENTENCING ALTERNATIVES FOR LOW RISK OFFENDERS, PARTICULARLY DUIs. ALSO, DEVELOP MORE PRE-TRIAL OPTIONS.

Source: PA Commission on Crime and Delinquency.

EXHIBIT C-I

Information on Specific Statutory Provisions of the PA Commission on Sentencing and Selected Other State Sentencing Commissions as Pertain to Prison Capacities and/or Resource Considerations

PENNSYLVANIA

Adoption of Guidelines for Sentencing

(a) General rule. -- The commission shall adopt guidelines for sentencing within the limits established by law which shall be considered by the sentencing court in determining the appropriate sentence for defendants who plead guilty or nolo contendere to, or who were found guilty of, felonies and misdemeanors. The guidelines shall:

- (1) Specify the range of sentences applicable to crimes of a given degree of gravity.
- (2) Specify a range of sentences of increased severity for defendants previously convicted of or adjudicated delinquency for one or more misdemeanor or felony offenses committed prior to the current offense. For purposes of this section "previously convicted or adjudicated delinquent" shall include any finding of guilty or adjudication of delinquency whether or not sentence has been imposed or disposition ordered prior to the commission of the current offense.
- (3) Specify a range of sentence of increased severity for defendants who possessed a deadly weapon during the commission of the current conviction offense.
- (4) Prescribe variations from the range of sentences applicable on account of aggravating or mitigating circumstances.

MINNESOTA

...In establishing the sentencing guidelines, the commission shall take into substantial consideration current sentencing and release practices and correctional resources, including but not limited to the capacities of local and state correctional facilities.

TENNESSEE

...In adopting sentencing guidelines the commission shall take into account characteristics of offenses and of defendants that relate to the sentencing considerations and the available resources and constitutional capacity of the department of correction.

EXHIBIT C-I

Information on Specific Statutory Provisions of the PA Commission
on Sentencing and Selected Other State Sentencing Commissions
as Pertain to Prison Capacities and/or Resource Considerations
(Continued)

WASHINGTON

...Make frugal use of the state's resources.

...The commission shall conduct a study to determine the capacity of correctional facilities and programs which are or will be available. While the commission need not consider such capacity in arriving at its recommendations, the commission shall project whether the implementation of its recommendations would result in exceeding such capacity. If the commission finds that this result would probably occur, then the commission shall prepare an additional list of standard sentences which shall be consistent with such capacity.

Every two years, the commission may recommend to the legislature revisions or modifications to the standard sentence ranges and other standards. If implementation of the revisions or modifications would result in exceeding the capacity of correctional facilities, then the commission shall accompany its recommendation with an additional list of standard sentence ranges which are consistent with correction capacity.

D. INADEQUACIES IN DOC STAFFING

FINDING: In addition to being overcrowded with inmates (see Finding C.), Pennsylvania's state correctional system is severely understaffed. The correctional facilities have budget authorization for only 89% of their minimum required staff and, according to December 1987 personnel complement figures, had only 84% of the minimum staff level actually filled with employees. The Department's staffing formula (based on inmate population and other factors) indicates that a total of 585 additional authorized positions were needed for the correctional facilities to have adequate levels of authorized staff. This shortage, when combined with vacancy levels, was resulting in a day-to-day shortfall of over 850 employees on the job, including over 550 correctional officers.a/ The understaffing problem is particularly acute at certain institutions. For example, as of December 31, 1987, SCI Graterford had only 76% of its needed staffing, and SCIs Dallas, Huntingdon, Mercer, and Greensburg were all staffed at about 80% to 82% of the minimum required staffing level. This understaffing problem results from the failure of the Commonwealth to increase staff in the correctional facilities at a growth level commensurate with the growth in inmate population. This is illustrated by statistics which show that the state inmate population on December 31, 1987, was 238% of the inmate population on December 31, 1975, while total filled positions in the correctional system on December 31, 1987, was 195% of filled correctional staff on December 31, 1975. This represents a shortfall in staffing growth of over 40%. Stated directly, sufficient funding has not been requested by the Governors and provided by the General Assembly over the years to finance adequate

a/Since the early 1980s the PA Department of Corrections has had a formula based mechanism for determining the number of employee positions needed for proper staffing of each correctional facility. Such a formula is called for in accreditation standards of the American Correctional Association. The staffing formula used by the PA Department of Corrections results in a staffing document referred to as the Table of Organization, or T/O. According to the Department, this document is developed "by using a formula or method of review upon which the number and occupational titles of positions (are) determined to adequately provide for inmate care, custody and control, inmate services, plant maintenance, administration, and other program requirements." As shown on Table D-2, the T/O specifies "adequate" staffing levels in seven areas: Superintendent's Office, Programs, Security (i.e., correctional officers), Personal Services, Food Service, Maintenance and Construction and Community Service Centers. The T/O does not include staffing of the DOC Central Office or of the DOC's Correctional Industries Program.

complement levels as defined by the Department's staffing formula. Other reasons for the current understaffing are difficulty in recruitment of certain types of personnel (such as psychologists, nurses, and tradesmen instructors) and in certain areas of the Commonwealth (e.g., difficulty in filling correctional officers positions at Dallas, Graterford and Camp Hill). Having understaffed correctional facilities hampers the Department of Corrections in its attempts to fully meet some of its responsibilities. Despite a shortage of personnel, the Department has performed adequately in its important responsibility of maintaining inmates in confinement (i.e., preventing escapes from secure institutions, see Finding A). However, other aspects of the Department's programs have suffered from the lack of personnel and related problems are apparent. For example, efforts at rehabilitating inmates while they are incarcerated are inadequate (see Finding B). There are serious shortages of personnel needed for inmate counseling, drug and alcohol treatment and inmate work activity. Also, physical maintenance of the facilities has in some cases suffered, and, according to the Department, clerical and administrative work difficulties have occurred. Another result of the insufficient staffing has been the need for extensive overtime work by existing correctional system staff. This has been costly to the Commonwealth and physically and emotionally demanding for many system employees. During fiscal year 1986-87, the Department of Corrections spent \$9 million on overtime costs, a 69% increase over such costs in fiscal year 1982-83. This \$9 million in overtime amounted to about \$2,100 per Department employee (more per employee than any other state agency). The average overtime cost in fiscal year 1986-87 per correctional officer was \$3,342, with SCI Graterford having the highest overtime rate per correctional officer (\$6,700 per correctional officer). Recent audits conducted by the Office of the Auditor General at SCIs Pittsburgh and Camp Hill reported that staff complement restrictions in the correctional officer job classifications have resulted in "excessive" overtime costs and "may have resulted in unsafe conditions" at the institutions. Shown on Exhibit D-B a listing of what the DOC identified in its FY1988-89 budget request as the "negative consequences" of understaffing. Exhibits D-C and D-D display certain comments received from superintendents of the various state correctional facilities regarding the effects of the staffing shortages on their programs and institutions and selected comments regarding DOC staffing which were submitted by DOC employees. During FY1986-87, the Department began a special pilot project to demonstrate the impact on overtime costs that would result from having full correctional officer staffing at correctional facilities. The pilot project involves having full correctional officer (CO) staffing at SCI Cresson and SCI Frackville. According to the Department, full CO staffing at Cresson resulted in a reduction of 89% in overtime costs (amounting to over \$250,000 in cost savings during the first five months of FY1987-88). See Exhibit D-A for further information on this pilot project. In addition to the pilot

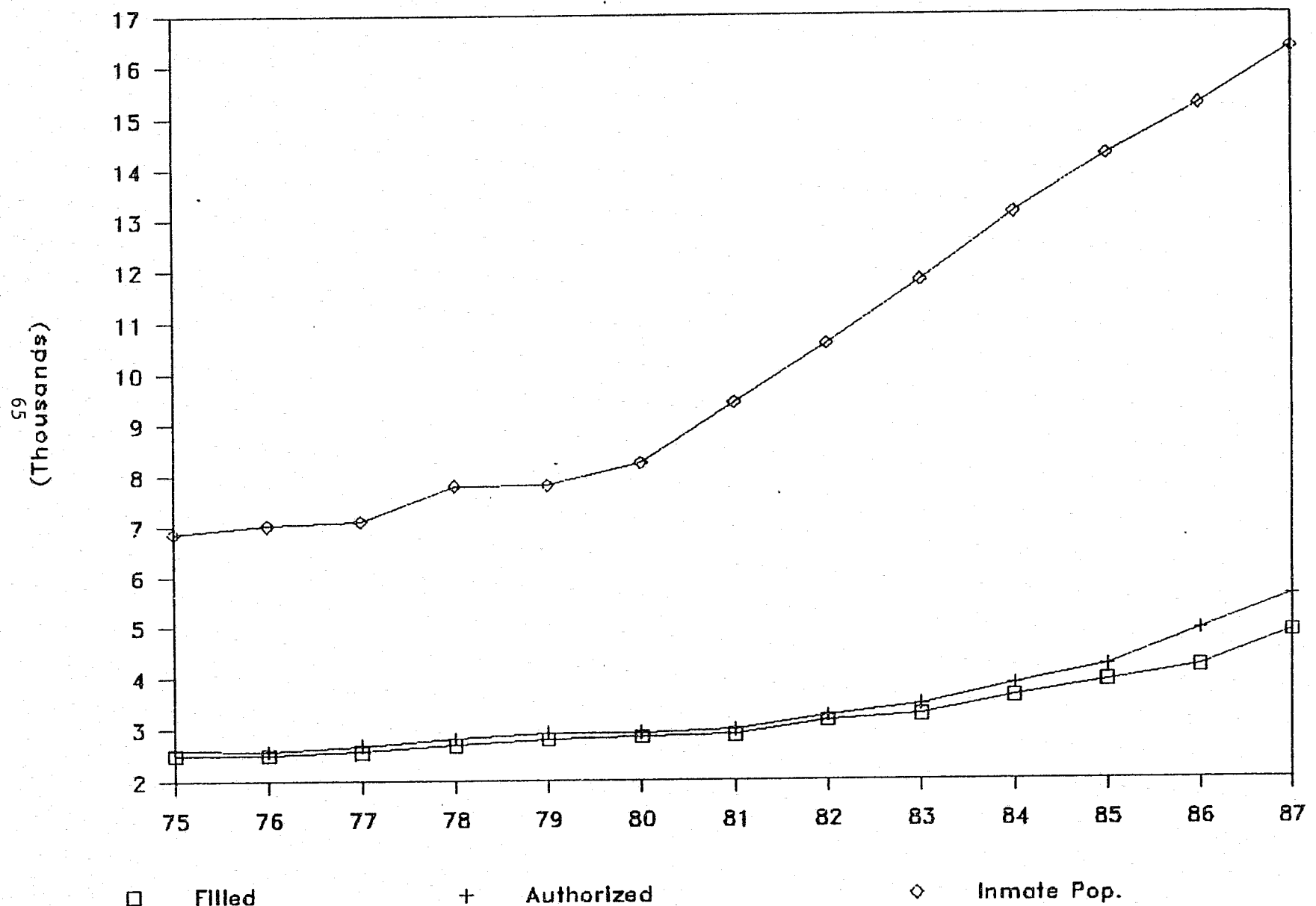
project, the Department took important action aimed at alleviating their staffing shortage when they submitted the FY1988-89 budget request to the Governor's Budget Office in the fall of 1988. In this budget request, the Department requested 603 new positions, including 403 correctional officer trainee positions and a wide range of other positions from administrative and clerical staff to counseling, program, activities, maintenance and medical job classifications. Estimated costs for these positions was \$5.15 million during FY1988-89. The amount of FY1988-89 funding recommended in the Governor's budget for the Department, however, includes money for only a fraction of these requested new positions. Specifically, the Governor's budget would provide funding for 20 new positions in FY1988-89 including 12 correctional officer positions and 8 drug and alcohol specialists.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. FUNDING BE PROVIDED TO THE DEPARTMENT OF CORRECTIONS TO ADEQUATELY STAFF ALL STATE CORRECTIONAL INSTITUTIONS UP TO THE LEVELS REQUIRED UNDER THE DEPARTMENT'S FORMULA FOR DETERMINING NEEDED STAFFING. THIS FUNDING SHOULD BE PROVIDED AS SOON AS POSSIBLE WITHIN THE FISCAL CAPABILITIES OF THE COMMONWEALTH.
2. THE DOC SHOULD MAINTAIN UP-TO-DATE RECORDS (VIA COMPUTER) ON THEIR ACTUAL AUTHORIZED COMPLEMENT BY INSTITUTION AND JOB CLASSIFICATION IN COMPARISON TO MINIMUM REQUIRED STAFFING UNDER THEIR TABLE OF ORGANIZATION STAFFING FORMULA AND SHOULD MAKE THIS INFORMATION AVAILABLE TO THE APPROPRIATIONS COMMITTEES AND OTHER LEGISLATIVE COMMITTEES UPON REQUEST.
3. THE DOC SHOULD LIKEWISE MAINTAIN UP-TO-DATE COMPUTERIZED RECORDS ON FILLED POSITIONS AS COMPARED TO TABLE OF ORGANIZATION REQUIRED STAFFING AND HAVE THAT INFORMATION AVAILABLE FOR INTERESTED LEGISLATORS.
4. RELATEDLY, THE DOC SHOULD CONTINUE IN THEIR EFFORTS TO FILL VACANCIES IN A TIMELY MANNER AND SHOULD SEEK SOLUTIONS TO LONG STANDING VACANCY PROBLEMS. FOR EXAMPLE, INNOVATIVE IDEAS SHOULD BE EXPLORED TO MAINTAIN A FULL CORRECTIONAL OFFICER COMPLEMENT AT SCI GRATERFORD (SUCH AS SPECIAL RECRUITMENT INCENTIVES OR PAY DIFFERENTIALS).
5. CENTRAL MANAGEMENT OF THE DOC SHOULD CONTINUOUSLY MONITOR THE EFFECTIVENESS OF THE TABLE-OF-ORGANIZATION STAFFING FORMULA AND ITS COMPONENTS IN DEFINING ADEQUATE STAFFING AT EACH OF THE CORRECTIONAL FACILITIES. INPUT SHOULD BE FORMALLY OBTAINED FROM THE FACILITY SUPERINTENDENTS ON A REGULAR BASIS CONCERNING THE APPROPRIATENESS OF THE FORMULA DEFINED STAFFING LEVELS. SPECIAL ATTENTION SHOULD BE GIVEN TO ENSURING THAT THE T/O PROPERLY ACCOUNTS FOR SPECIAL PROGRAM NEEDS, SICK LEAVE, VACATION LEAVE AND TRAINING ABSENCES AT THE VARIOUS INSTITUTIONS.

GRAPH D.A

Growth in State Inmate Population and Authorized and Filled Positions
Within the PA Department of Corrections, As of December 1975 to 1987



Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections and the Office of Administration, Bureau of Personnel.

TABLE D-1

Summary of Authorized, Filled and Vacant Positions
Within the Department of Corrections Staff Complement by*/
Institution As of December 31, 1987 and February 29, 1988

A. As of December 31, 1987

<u>Institution</u>	<u>Authorized</u>	<u>Filled</u>	<u>Vacancies</u>
Central Office.....	148	141	7
Camp Hill.....	613	587	26
Cresson.....	276	269	7
Dallas.....	509	471	38
Frackville.....	253	245	8
Graterford.....	713	630	83
Greensburg.....	252	234	18
Huntingdon.....	468	451	17
Mercer.....	231	222	9
Muncy.....	263	253	10
Pittsburgh.....	519	507	12
Retreat.....	231	198	33
Rockview.....	481	472	9
Smithfield.....	46	8	38
Waynesburg.....	117	110	7
Comm. Svc. Centers.....	169	158	11
Totals.....	<u>5,289</u>	<u>4,956</u>	<u>333</u>

B. As of February 29, 1988

<u>Institution</u>	<u>Authorized</u>	<u>Filled</u>	<u>Vacancies</u>
Central Office.....	152	142	10
Camp Hill.....	614	587	27
Cresson.....	276	272	4
Dallas.....	511	477	34
Frackville.....	255	248	7
Graterford.....	714	640	74
Greensburg.....	253	241	12
Huntingdon.....	470	461	9
Mercer.....	231	225	6
Muncy.....	265	253	12
Pittsburgh.....	515	506	9
Retreat.....	261	225	36
Rockview.....	483	479	4
Smithfield.....	46	15	31
Waynesburg.....	118	112	6
Comm. Service Centers.....	171	155	16
Totals.....	<u>5,335</u>	<u>5,038</u>	<u>297</u>

*/Important Note: The totals shown on this table include central office positions, correctional industries staff and positions assigned to SCI Smithfield which are not included on Tables D-2, D-3, and D-4 which related to the DOC's "Table of Organization."

Source: Developed by LB&FC staff from information provided by the PA Department of Corrections Bureau of Human Resources and from information contained in complement control report PMS 02532 prepared by the Governor's Office of Administration.

TABLE D-2

Staffing Levels Considered to be "Adequate" By the
PA Department of Corrections By Functional Area,
As of December 1987

A. <u>Functional Area</u> ^{a/}	<u>Number of Positions Considered to be "Adequate" by DOC</u>
Superintendent's Office.....	589
Programs:	
Social Services ^{b/}	271
Health Care Services.....	189
Inmate Activities.....	98
Education.....	90
Religious Services.....	20
Inmate Records Office.....	64
Inmate Employment Office.....	<u>12</u>
Sub-Total Programs.....	744
Security (Correctional Officers).....	3,414
Personal Services.....	45
Food Service.....	223
Maintenance and Construction.....	377
Community Service Centers.....	<u>150</u>
"Adequate" Department Total (Excluding Central Office, Correctional Industries and SCI Smithfield which is scheduled to open during 1988)	<u>5,542</u>

B. <u>Comparison of Authorized and Filled Complement to "Adequate" Department Total (Excluding Central Office, Correctional Industries and SCI Smithfield)</u>	
1. "Adequate" Department Total.....	5,542
Authorized Complement Level - 12/31/87.....	<u>4,957</u>
<u>Authorized Complement Less Than "Adequate" by.....</u>	<u>585</u>
2. "Adequate" Department Total.....	5,542
Filled Complement Level - 12/31/87.....	<u>4,681</u>
<u>Filled Complement Less Than "Adequate" by.....</u>	<u>861</u>

(Footnotes to this table appear on the next page.)

FOOTNOTES TO TABLE D-2

*/"Adequate" staffing levels are as set forth in the Department of Corrections' "Table of Organization" dated December 1987. Does not include DOC Central Office, correctional industries staff positions, or positions at SCI Smithfield.

a/For the purposes of this table, functional areas listed correspond to those contained in the DOC "Table of Organization." The areas are defined as follows:

Superintendent's Office includes such positions as clerical staff, Superintendents and Assistant Superintendents, Institutional Business Managers, Budget Analysts, Accountants, Purchasing Agents, Mail Inspectors and Information Systems Coordinators;

Security includes such positions as Deputy Corrections Superintendent for Operations, Corrections Officers and Corrections Officer Trainees.

Personal Services includes such positions as Corrections Inmate Personal Services Managers, Laundry Managers, Laundry Supervisors, Corrections Tailoring Trade Instructors, Corrections Shoe Repair Trade Instructors, Custodial Services Manager, Custodial Work Supervisor

Food Service includes such positions as Corrections Food Service Managers, Supervisor and Instructors.

Maintenance and Construction includes such positions as Institutional Maintenance Superintendents; Building Maintenance Supervisors; Corrections Auto Mechanic, Carpenter, Welding, Plumbing, Machinist, Masonry, Painting, Built-Up Roofing, Sheet Metal, Refrigerator Mechanic, Construction Equipment, and Electrical Trade Instructors; Utilities Supervisors; Utility Plant Supervisors and Operators; Plant Mechanics; Water and Sewage Treatment Plants Supervisors; Maintenance Repairmen; Labor Foremen; Locksmiths; Equipment Operators; Automotive Mechanics; Carpenters; Plumbers; and Electricians.

Community Service Centers includes staff assigned to the Department's Community Service Centers including Center Directors, Corrections Counselors and Pre-release Monitors.

b/Does not include SCI Waynesburg which does not list the number of Social Services "Adequate" positions on the T/O.

Source: Developed by the LB&FC staff from examination of the Department of Corrections "Table of Organization" dated December 1987.

TABLE D-3

Comparison of Authorized and Filled Positions With "Adequate" Complement
Levels Within the PA Department of Corrections,
By Institution/Facility, As of December 31, 1987

Institution	"T/O Adequate" Positions ^{a/}	Number of Positions 12/31/87 ^{b/}		Difference Between "T/O Adequate" & Auth. and Filled Positions		Auth. and Filled Positions as a % of "T/O Adequate"	
		Authorized	Filled	Authorized	Filled	Authorized	Filled
Camp Hill.....	649	589	564	-60	-85	91%	87%
Cresson.....	284	276	269	-8	-15	97	95
Dallas.....	568	496	458	-72	-110	87	81
Frackville.....	261	253	245	-8	-16	97	94
Graterford.....	796	681	605	-115	-191	86	76
Greensburg.....	284	247	230	-37	-54	87	81
Huntingdon.....	519	441	424	-78	-95	85	82
Mercer.....	279	231	222	-48	-57	83	80
Muncy.....	280	258	250	-22	-30	92	89
Pittsburgh.....	526	505	493	-21	-33	96	94
Retreat.....	265	231	198	-34	-67	87	75
Rockview.....	513	463	455	-50	-58	90	89
Waynesburg.....	121	117	110	-4	-11	97	91
Community Service Centers	150	169	158	+19	+8	113	105
TOTAL.....	<u>5,495^{c/}</u>	<u>4,957</u>	<u>4,681</u>	<u>-538</u>	<u>-814</u>	<u>90%</u>	<u>85%</u>

a/As set forth in the Department of Corrections' "Table of Organization" dated December 1987. Staffing of the DOC Central Office and Correctional Industries Operations are not included on the "Table of Organization." Also does not include 305 "T/O Adequate" positions at SCI Smithfield which is scheduled to open during 1988, or 47 positions assigned to Diagnostic and Classification Centers.

b/Does not include DOC staff assigned to Central Office, or Correctional Industries Operations.

c/Differs from figures shown on Table D-2 (5,542) because 47 DOC employees assigned to Diagnostic Classification Centers are not provided for on this table.

Source: Developed by LB&FC staff from examination of the PA Department of Corrections' "Table of Organization" dated December 1987.

TABLE D-4

Comparison of Authorized and Filled Correctional Officer (CO) Positions
With "Adequate" CO Complement Levels, By Institution As of December 31, 1987

Institution	"T/O Adequate" Positions ^{a/}	Number of Positions 12/31/87		Difference Between "T/O Adequate" & Auth. and Filled Positions		Auth. and Filled Positions as a % of "T/O Adequate"	
		Authorized	Filled	Authorized	Filled	Authorized	Filled
Camp Hill.....	396	350	337	-46	-59	88%	85%
Cresson.....	191	192	187	+1	-4	101	98
Dallas.....	368	328	296	-40	-72	89	80
Frackville.....	172	173	168	+1	-4	101	98
Graterford.....	557	439	383	-118	-174	79	69
Greensburg.....	182	161	148	-21	-34	88	81
Huntingdon.....	312	269	264	-43	-48	86	85
Mercer.....	168	145	141	-23	-27	86	84
Muncy.....	160	152	148	-8	-12	95	93
Pittsburgh.....	341	308	305	-33	-36	90	89
Retreat.....	175	148	124	-27	-51	85	71
Rockview.....	310	276	273	-34	-37	89	88
Waynesburg.....	69	66	65	-3	-4	96	94
TOTALS.....	<u>3,401^{b/}</u>	<u>3,007</u>	<u>2,839</u>	<u>-394</u>	<u>-562</u>	<u>88%</u>	<u>83%</u>

a/As identified in the Department of Corrections "Table of Organization" (T/O) dated December 1987. Includes corrections officer staff (COT, I, and II) and commissioned officers (CO III, IV and V). Does not include SCI Smithfield which is scheduled to open during 1988.

b/Does not include 13 deputy superintendents for operations positions which are included in the "security" category of the T/O.

Source: Developed by LB&FC staff from examination of the PA Department of Corrections' "Table of Organization" dated December 1987.

TABLE D-5

Overtime Costs Incurred at
PA State Correctional Facilities
FY's 1982-83 through FY 1986-87
(\$000)

<u>Facility</u>	<u>FY1982-83</u>	<u>FY1983-84</u>	<u>FY1984-85</u>	<u>FY1985-86</u>	<u>FY1986-87</u>	<u>% Increase FY1982-83 to FY1986-87</u>
Camp Hill.....	\$ 669	\$1,510	\$1,094	\$ 812	\$1,447	116%
Dallas.....	788	808	864	816	734	-7
Graterford.....	1,739	2,583	2,664	3,242	2,727	57
Greensburg.....	150	329	339	402	619	312
Huntingdon.....	366	487	714	626	556	52
Mercer.....	70	147	233	336	370	426
Muncy.....	203	259	273	304	239	18
Pittsburgh.....	970	1,110	1,411	1,629	1,505	55
Rockview.....	307	354	421	542	398	30
Waynesburg.....	--	--	19	52	109	--
CSCs.....	86	96	157	193	159	85
Central Office...	0	10	4	5	14	--
New Inst. ^{a/}	1	7	7	5	100	--
 TOTAL.....	 <u>\$5,351</u>	 <u>\$7,701</u>	 <u>\$8,199</u>	 <u>\$8,962</u>	 <u>\$9,069</u> ^{b/}	 <u>69%</u>

^{a/}Includes SCIs Cresson, Frackville and Retreat.

^{b/}Includes \$92,043 in overtime costs for Correctional Industries.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

TABLE D-6

Overtime Utilization and Related Costs
for the PA Department of Corrections, By Institution,
FY 1986-87

<u>Institution</u>	<u>Overtime Hours</u>	<u>Overtime Pay</u>	<u>Per Employee Overtime Costs</u> ^{b/}
Central Office.....	927	\$ 13,683	\$ 111
Camp Hill.....	96,676	1,447,141	2,650
Cresson.....	3,901	36,553	762
Dallas.....	56,471	733,917	1,545
Frackville.....	4,948	61,073	518
Graterford.....	186,679	2,726,816	4,583
Greensburg.....	49,671	619,389	2,868
Huntingdon.....	48,853	555,970	1,349
Mercer.....	32,934	369,949	1,813
Muncy.....	20,730	238,503	943
Pittsburgh.....	107,341	1,505,276	3,452
Retreat.....	260	1,902	211
Rockview.....	42,005	398,149	905
Waynesburg.....	9,544	109,288	1,071
Community Service Centers.	17,298	159,306	1,015
Correctional Industries...	6,046	92,043	677
Totals ^{a/}	<u>684,282</u>	<u>\$9,068,956</u>	<u>\$ 2,123</u>

^{a/}Does not add due to rounding.

^{b/}Based on authorized filled positions as of 12/31/86.

Source: Developed by LB&FC staff from "Quarterly Reports of Overtime and Shift Differential" (BFM Report #224).

TABLE D-7

Correctional Officer Overtime Hours and Costs Per Employee
By Institution, FY 1986-87

<u>Institution</u>	<u>Number of Correctional Officers^{a/}</u>	<u>FY 1986-87 Overtime Hours</u>		<u>FY 1986-87 Overtime Costs</u>	
		<u>Hours</u>	<u>Hours Per Officer</u>	<u>Costs</u>	<u>Cost Per Officer</u>
Graterford.....	381	167,096	439	\$2,552,705	\$6,700
Pittsburgh.....	247	90,678	367	1,295,975	5,247
Camp Hill.....	327	83,126	254	1,257,306	3,845
Dallas.....	316	50,249	159	645,991	2,044
Greensburg.....	141	44,829	318	557,074	3,951
Huntingdon.....	253	40,068	158	468,166	1,850
Rockview.....	238	36,878	139	348,665	1,311
Mercer.....	131	27,958	213	308,058	2,352
Muncy.....	149	17,661	119	206,261	1,384
Waynesburg.....	58	8,668	149	102,686	1,770
Frackville.....	86	4,794	56	58,907	685
Cresson.....	16	2,930	183	27,864	1,741
Retreat.....	0	85	0	191	0
Total.....	<u>2,343</u>	<u>575,021</u>	<u>245</u>	<u>\$7,829,848</u>	<u>\$3,342</u>

^{a/}Number of authorized positions which were filled as of December 31, 1986.

Source: Developed by LB&FC staff from information obtained from Department of Corrections Bureau of Human Resources.

EXHIBIT D-A

Department of Corrections Overtime Reduction Project

The Department of Corrections bases its requests for corrections officer positions on a staffing formula. The first step in this formula is to identify all necessary posts in an institution, and the time periods during which those posts must be staffed. We then calculate the number of corrections officers required to fill those posts. The formula for calculating the number of officers allows for time away from a post due to leave, training, and court appearances.

For many years, the Department of Corrections has experienced excessive overtime costs due to understaffing. The present officer complement, excluding the new institutions at Cresson and Frackville, represents eighty-five percent of the number of positions required to fill all posts. On any given shift, approximately fifteen percent of the officers are working on an overtime basis.

The Office of the Budget agreed to test our theory that overtime could be substantially reduced if the number of officers was increased to the level suggested by the staffing formula. To test this theory, it was agreed that the Cresson and Frackville institutions would be staffed at one hundred percent of the level dictated by the staffing formula. It was also agreed that this test would be considered successful, if overtime at Cresson and Frackville was at least seventy percent below what could be expected, had these institutions been staffed at the same level as other institutions.

Cresson was able to staff at 100 percent of the formula and overtime was reduced by 89 percent. Frackville was not able to establish full 100 percent staffing because of delays in filling a few positions, and because overcrowding forced the department to open a small section of Frackville before staff was recruited. Nonetheless, overtime was reduced by 79 percent at Frackville.

During the first five months of 1987-88, the average officer at Cresson and Frackville earned \$172 and \$332 in overtime. This compares to an average of \$1,842 for officers at other institutions. The chart below indicates the overtime reductions at Cresson and Frackville.

	<u>Officers</u>	<u>Overtime Expenditure^a</u>	<u>Reduction</u>
Cresson - actual	182	31,314	89%
Cresson - traditional staffing	155	285,510	N/A
Frackville - actual	164	54,410	79%
Frackville - traditional staffing	139	256,038	N/A

^a First five months of 1987-88 fiscal year.

Source: PA Department of Corrections FY1988-89 budget request.

EXHIBIT D-A

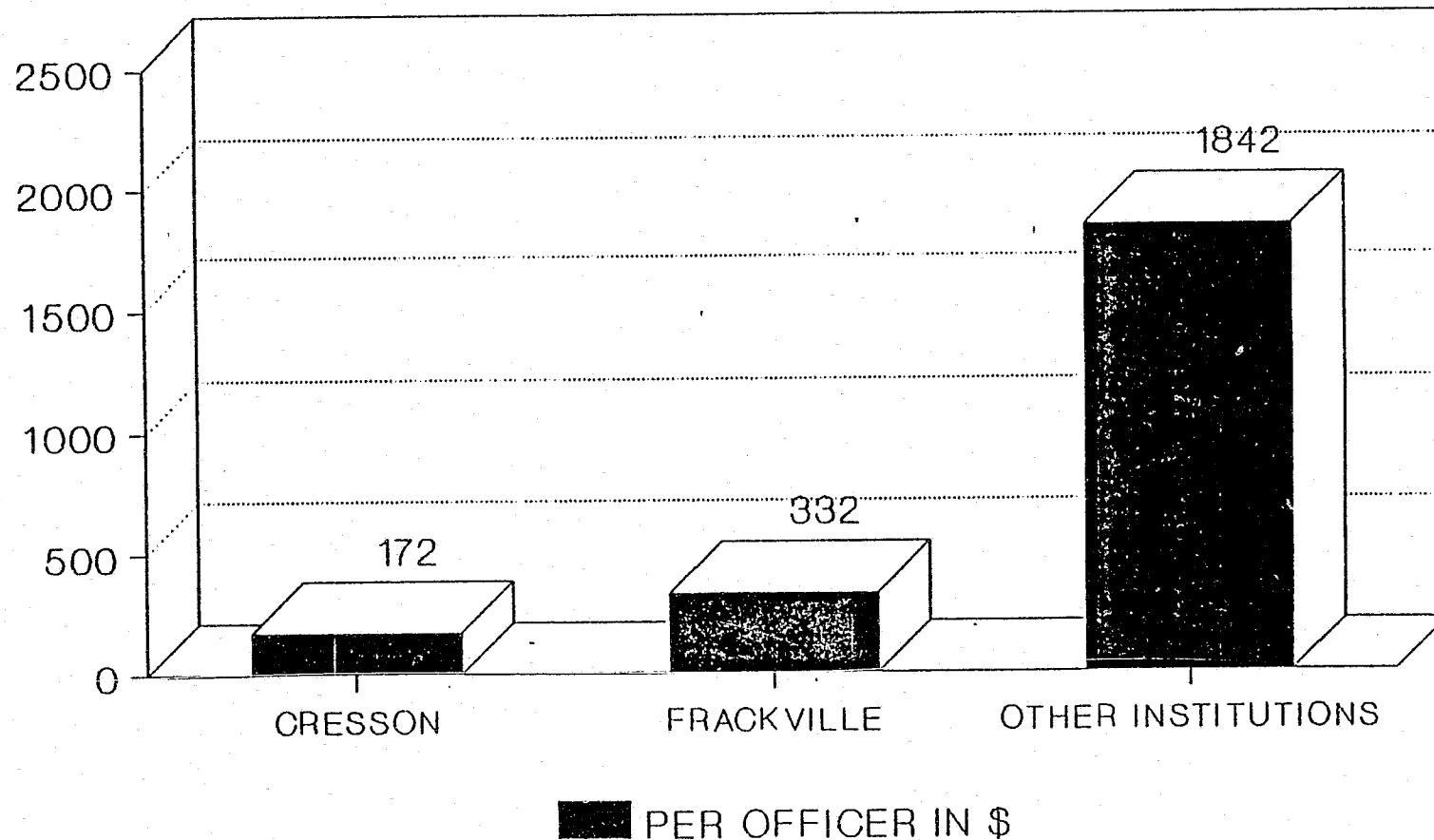
Overtime Reduction Project

The term "traditional staffing" refers to the practice of providing far less officers than necessary to staff existing posts without depending on overtime. Figures for "traditional staffing" assume that Cresson and Frackville were staffed at eighty-five percent of the formula, and that these officers earned overtime at the same rate as officers in other institutions.

The figures demonstrate the cost effectiveness of providing proper staffing in correctional institutions. In addition to minimizing overtime expenditures, proper staffing provides for better security, in that we do not have a large number of officers who are tired while performing duties.

In view of the success which has been achieved in this experiment, the Department of Corrections is requesting full staffing of corrections officers at all institutions. This will require approval of 337 additional officer positions. This figure does not include the 60 officer positions related to new initiatives.

OVERTIME COMPARISON JULY 1 TO NOVEMBER 30, 1987



Source: PA Department of Corrections.

EXHIBIT D-B

"Negative Consequences of Current Personnel Shortages"
(As Identified by the PA Department of Corrections)

1. The growth in inmate population has put a severe strain on the infrastructure of the institutions. Without additional staff, it is impossible to properly maintain these institutions..
2. The lack of maintenance/trades staff also leads to inmate idleness. We presently are suffering a severe shortage of jobs for inmates. Since each maintenance employe supervises a crew of inmates, the addition of maintenance personnel will go a long way toward correcting this situation.
3. Overcrowding is being exacerbated by processing delays in our reception centers. These delays are occurring because there are not enough counselors and psychologists to complete timely evaluations of each inmate who is committed to the department.
4. Although the department runs a number of quality treatment programs, the quantity is not sufficient to deal with the growing population.
5. The lack of health care positions, specifically nurses, is producing overtime expenditures similar to those being produced for correction officers.
6. The lack of clerical staff is creating inefficiencies in the way in which documents are processed. In addition, technical and mid-management personnel frequently have to perform their own clerical services, rather than performing the work for which they are being paid.
7. Compared to other departments of similar size, the Department of Corrections is lagging behind in the use of automated technology. Although we have been successful in getting approval for purchases of equipment, we have not received approval for the personnel needed to properly utilize this equipment.

Source: PA Department of Corrections Budget Request for Fiscal Year 1988-89.

EXHIBIT D-C

Selected Comments Submitted by State Correctional Institution Superintendents Regarding Institutional Staffing and Overtime Usage

- A. Adequacy of Institutional Staffing: All twelve of the SCI superintendents who responded to an LB&FC survey distributed in February 1988, reported staffing inadequacies at their institutions. For example, a total of 10 of the 12 respondents indicated that they believed authorized staffing levels for their institutions in the social services and inmate activities areas were inadequate. Additionally, all of the superintendents expressed the opinion that authorized staffing levels for institutional maintenance and construction positions were insufficient. Most of the respondents also reported inadequacies in the education, security, personal services and food service staffing levels. A breakdown of the superintendents' responses is shown below:

<u>Functional Area</u>	(Of 12 Respondents)		<u>N/A</u>
	<u>Adequate</u>	<u>Inadequate</u>	
a. Superintendent's Office.....	6	6	--
b. Programs			
(1) Social Services.....	2	10	--
(2) Health Care Services.....	5	6	1
(3) Inmate Activities.....	2	10	--
(4) Education.....	3	7	2
(5) Inmate Employment Office.....	8	4	--
(6) Inmate Records Office.....	7	5	--
(7) Religious Services.....	8	4	--
c. Security (Corrections Officers)..<	3	9	--
d. Personal Services.....	5	7	--
e. Food Service.....	1	11	--
f. Maintenance and Construction.....	0	12	--

The following are examples of comments submitted by the institutional superintendents regarding adequacy of current staffing levels.

1. Based upon the present population of this institution - and based upon the Table of Organization approved for this institution, we are in need of additional positions to be added to our authorized complement. We are prevented from doing all we believe we should be doing - especially in treatment programs, activities and reduction of overtime.

2. In summary, the Table of Organization indicates a specific number of positions authorized for the institution, but such positions cannot be filled due to budgetary restraints.

EXHIBIT D-C

Selected Comments Submitted by SCI Superintendents
Regarding Staffing and Overtime Usage
(Continued)

3. Clerical support is inadequate and the number of positions given to the institution do not reflect the ratio of clerical staff outlined in the DOC Table of Organization.
4. Although staffing is adequate for the Superintendent's office, a major area of concern exists regarding needed clerical support to meet the demands of support services through the personnel & business offices.
5. Additional clerical support would be most beneficial.
6. With the increase in population, additional nursing positions are desperately needed. Only 2 clerical positions make it most difficult to maintain medical records on a current basis.
7. Inmate Records Office - Adequate to meet current demands. However, in the event "good time" legislation is passed, additional staff will be needed to fulfill the increased record keeping and sentence calculation responsibilities.
8. The amount of supervision required for the escort of inmates to medical facilities, and for round-the-clock security of inmates at civilian hospitals has increased many fold during recent years. Additionally, inmates placed on "suicide watch" require close and direct supervision twenty-four hours a day. These two factors have placed a real burden on current staffing assignments, and have in fact resulted in less than desirable security measures in some instances.
9. Maintenance and Construction - Maintenance repair is of real concern. During 1987, 1,500 hours of "comp time" were earned by current staff. Had these staff elected to take overtime pay, budgetary concerns would have been alarming! Comp time is earned at time and one half, and thus we're often faced with insufficient available manpower to perform routine repair and/or preventative maintenance.
10. The Table of Organization for clerk/typist is not adequate - if for instance the "Good Time Legislation" should pass, it would be most difficult to administer without additional clerical help.
11. The business department lost five clerical positions. That department is now in desperate need of additional clerical positions. These positions cannot be approved because the institution's total allotment of 26 clerical positions is filled. The increased workloads on all clerical staff has reached a serious stage, and these often overlooked positions should be clearly established in the T/O.

EXHIBIT D-C

Selected Comments Submitted by SCI Superintendents
Regarding Staffing and Overtime Usage
(Continued)

12. I would emphasize that we do not have a general morale problem at our institution. However, we simply do not have adequate resources to meet needs for inmates and staff. Overcrowding has created needs for both groups that haven't been caught up with yet.

13. At this time, I believe the fact that we were fully staffed for our design capacity has had a very positive impact throughout the facility. As our population grows beyond design capacity, if we do not have staffing level increases in certain areas, we will begin incurring a negative impact.

14. I can only re-emphasize our desperate need for additional custody and medical staff to maintain adequate security and treatment.

15. Treatment: DOC T/O would be sufficient. PDE staff for Education should be made full-time and placed on T/O as well.

16. There is, as I am sure you are aware, a distinct difference between the T/O and the Institution Approved Complement. The T/O may reflect one number of positions, however, the actual number of positions may be different on the Institution Complement.....If institutions could be maintained at 100% of the T/O, it would positively impact on staff morale and enhance inmate programs and services.

17. There is not enough staffing in the maintenance area to adequately maintain the physical plant or provide adequate supervision for the inmates assigned to these particular work details.

18. The T/O developed for the State Correctional Institution at _ by Central Office is generally adequate; however, the problem is that 96 of the positions justified have never been allocated to the institution ... Therefore, current staff are required to perform functions without the assistance of the additional 96 positions the Department of Corrections has established as being necessary for adequate operation of the institution and provision of inmate services.

19. The lack of staff, combined with the excessive inmate population increase and the deteriorating physical plant, creates an atmosphere of frustration, anger, bitterness, and an increasing desire on the part of many staff for termination from the system as soon as personal economic realities permit.

20. In the event our inmate population continues to increase as predicted and we are not provided additional sufficient staff, the efficiency of our operation will be jeopardized. Previous information on prison unrest and practical experience teaches us that good managers do not put their staff or inmates entrusted to their care in impossible situations.

EXHIBIT D-C

Selected Comments Submitted by SCI Superintendents
Regarding Staffing and Overtime Usage
(Continued)

21. The ability to plan is drastically reduced as staff bounce from one crisis to another, and the general feeling is that there is both a political and public indifference to Corrections employees, which results in no mandate for adequate staffing levels.

22. It is not enough to simply provide officer positions, and this is a fact often overlooked. The increase in support service positions such as clerical, food services, maintenance, laundry, treatment, and education have been insignificant over the past five years; yet all of the support services are necessary if the institution is to fulfill its mandate of providing a safe, secure and humane environment that protects staff, the inmates and the public.

23. Inmate Employment Office: Additional clerical help and an additional Vocational Placement Officer are needed.

24. Inmate Records Office: The large turnover requires an additional Records Office position. In 1987 we received 3,095 inmates, 1,100 which were parole violators. If current trends continue, our reception for 1988 will be 3,800.

25. We are extremely short of correctional officer staff. Approximately 40 positions have been identified as being needed to adequately operate this institution, but approval to fill has not been received. This is not taken to account the new addition: Added to our problems an extremely high turnover rate, approximately one third of our C.O. staff are trainees, approximately 40% of our correctional officer staff have less than three years experience, and Civil Service and State Police procedures severely delay in the recruitment and hiring process.

26. With the size, use, and age of this institution present staff is inadequate. One Locksmith for the amount of doors and locks we have is woefully inadequate. Preventive maintenance is extremely difficult as the maintenance staff is kept busy responding to emergencies, construction needs, and maintenance projects.

27. The strain on all departments contributes to interdepartmental conflicts and rivalries, undermining the cooperative relationships necessary to effectively operate the institution. If security is short, for example, they may not be able to provide necessary supervision to serve a meal and the kitchen staff must then take on additional responsibilities and they, in turn, are short. The same thing happens as regards programs and program staff.

EXHIBIT D-C

Selected Comments Submitted by SCI Superintendents Regarding Staffing and Overtime Usage (Continued)

- B. Overtime Usage: Six of the twelve SCI superintendents who responded to the LB&FC questionnaire expressed the opinion that existing staffing levels at their institutions require excessive usage of overtime. Three others indicated that they do not consider excessive usage of overtime to be a current problem at their institutions. (It should be noted that respondents indicating that excessive overtime is not a current problem were from the DOC's newest institutions and that two of the three are participating in the DOC's current full-staffing pilot project.) Additionally, 2 superintendents responded both yes and no and one provided comments only.

The following are examples of comments submitted by the institutional superintendents regarding overtime usage.

1. Our security area needs substantially more officers than we presently have. Our T.O. authorized complement is 157 and our current staffing level is 134. We are 23 people short. Our overtime usage is unacceptably high for the size of our staff
2. The 38 corrections officer posts below the authorized complement causes an excessive usage of overtime. In some cases, overtime must be authorized for clerk/typists in order to keep up with filing and required reports.
3. While the custody and medical areas are the only two considered to use "excessive overtime," additional staff positions would vastly reduce overtime costs in numerous department. (Let me emphasize that "excessive" refers to a vast amount, it does not refer to unnecessary overtime!!) While there's virtually no possibility of totally eliminating overtime in the operation of a correctional institution, it seems impractical to pay excessive amounts of overtime (at a rate of time and one half, or occasionally even doubletime) when additional positions would be of multiple benefit to the institution. The reduction of overtime would certainly be a most measurable benefit.
4. Security needs are being met adequately by use of overtime. Long-term effects of working many shifts of overtime has a cumulative negative effect.
5. Low complements resulting in overtime creates a morale problem (i.e., meeting inmate demands, time with family and personal demands).
6. A certain amount of overtime is beneficial. It provides extra incentive for staff and is a flexible tool for times when extra efforts may be required to properly manage a facility. Overtime ceases to become beneficial when it is given too often, in too large a quantity. When you must mandatory overtime, you are using too much. In my

EXHIBIT D-C

Selected Comments Submitted by SCI Superintendents
Regarding Staffing and Overtime Usage
(Continued)

estimation, our ideal situation would be to have enough officers to be within 5 percentage points of our authorized complement. Thus, we could utilize overtime in a flexible way.

7. A reasonable amount of overtime usage is not all bad. In many cases, it is cost beneficial to man certain posts/duties on an overtime basis rather than pay for a full-time position: i.e., the complete elimination of overtime is not in my opinion desirable. A significant reason for much overtime is mandated training; particularly for corrections officers.

8. Staff cannot be expected to manage ever increasing workloads without additional help. The need for overtime increases as the various legal and policy demands on staff time increase and there is no end to this demand in the foreseeable future.

9. The addition of support positions would reduce the extremely high level of frustration that can be seen on the part of both staff and inmates. I believe that an argument could be made that the reduction in overtime through allocation of additional positions would in the long run pay for these positions.

10. For fiscal 87/88 overtime is being expended at a rate of approximately 3.2 million dollars. Shortages in the correctional officer staff, food service staff, and maintenance areas contribute to this excessive total. If all shortages were eliminated there would be a significant impact on these expenditures.

11. We typically hire between 60 and 70 correctional officers to work overtime on any given weekday. Shortages often time result in limited programs and activities because of lack of security staff. We use mandatory overtime on an all to regular basis, which in turn has a negative impact on employee morale, use of sick leave, increased stress, and subsequent increased disability claims. All of this again serves to impact negatively on the inmate population and consequent inmate morale as well.

Source: LB&FC survey distributed to state correctional institution superintendents in February 1988.

EXHIBIT D-D

Selected Comments Submitted to LB&FC Staff by
Department of Corrections Employees Regarding Staffing

1. Due to lack of personnel we have a lot of overtime. This is due to the length of time required to replace lost employees.
2. Given the facilities we have to operate in I feel the Department is doing the best they possibly can. The fact remains we are understaffed and have too many officers working too much overtime. No one can work 16 hours as effectively as they can 8.
3. We need more staff in the Personnel Office. There always seems to be a concern to hire more COs. However with more inmates & COs, naturally other staff should be increased to meet the workload need.
4. At the moment we are short many officers & a great amount of overtime is being worked. A large number of officers have transferred and haven't been replaced yet despite knowing of their departures for some time.
5. I think that 100 people in central office to manage a department of 5,000 staff, is too small.
6. There are not enough COs to take care of the blocks causing the inmates to feel like they run the institution not the officers.
7. We desperately need more staff, including treatment staff.
8. There is a need for more officers and other staff.
9. Our facility is the most understaffed, yet we function as effectively as the institutions with many more staff.
10. Many times, medical is seen as last on the totem pole and we need more staff and equipment in order to function effectively with the increased population.
11. A lot of overtime is required, it seems, throughout the institution. Our department is seriously understaffed with often only 1 or 2 people to manage 2000+ inmates. It takes several months to replace an employee who has left - a secretary in our department has yet to be replaced.
12. I do feel because of the overcrowded conditions, we need more manpower. Most of the shifts are always short-handed due to vacations, etc. I'm sure compared to other SCIs, we're doing fine.
13. They will not hire enough workers to do the job, the most effective way.

EXHIBIT D-D

Selected Comments Submitted by DOC Employees Regarding Staffing
(Continued)

14. 1) The staffing of officers could be better and would save on overtime. 2) If officers could trade shifts to get a certain day off, I believe there would be less sickness which means less overtime. 3) If officers were given the opportunity to choose between overtime pay or compensatory time, money could be saved.
15. Inadequate funding and lack of employees make it impossible to maintain the physical plant.
16. Check the record for overtime. I have worked for the state 10+ years and have never seen so much double time being paid to employees. There is at least 2-3 overtime per shift.

Source: LB&FC survey questionnaire to Department of Corrections employees.

E. EVALUATION OF HEALTH CARE PROVIDED TO INMATES

FINDING: One of the responsibilities of the Department of Corrections is to provide an environment which meets the basic health care needs of the inmates which are placed in its custody; in this regard the Department has ongoing activities and is currently making efforts to provide certain improved special health care services for inmates with specific health care needs (i.e., acquired immunodeficiency syndrome (AIDS) and mental health disorders).^{1/} Current Departmental resources appear, however, to be insufficient at some institutions to meet established standards for health care staffing levels and certain institutional infirmary facilities. Additionally, the auditors identified certain quality assurance and management information/evaluation issues concerning the Department's delivery of health care services. Through questionnaires received from inmates of state correctional institutions throughout the system, the auditors noted certain expressed dissatisfaction with the quality of medical care they receive. Additionally, both internal and specialized external reviews of the Department's delivery of health care have indicated specific deficiencies. The Department has recognized a number of these deficiencies and has in certain cases remedied the situation. In other areas of deficiencies, however, additional action may be needed. Some of the ongoing difficulties in the medical care system are as follows: (1) inadequate emergency medical examination and infirmary bed facilities at some institutions; (2) inadequate medical staff at some institutions; (3) lack of an external quality assurance review mechanism for the delivery of medical services; (4) lack of a medical advisory board to develop and periodically review medical policies and procedures; (5) lack of specificity and consistent reporting in the Department's health care statistical reporting systems to provide for assessing service delivery; (6) identified need for separate housing for inmates infected with AIDS; (7) lack of centralized data on the number of inmates who are in need of mental health treatment services and no FY 1988-89 funding for certain staff positions associated with certain mental health units; and (8) lack of a formal and clear statement as to the Department's policy with respect to treatment of pregnant inmates. Several of the forego-

^{1/}State Correctional Institutions provide health care services in varying ways. Certain institutions contract all health care services while others provide a combination of services by either state health care staff and/or contracted staff. Each institution operates an infirmary and maintains agreements with local hospitals for institutional use. Appendices E.1 and E.2 provide details on contractual arrangements and health care costs for FY 1980-81 through FY 1986-87.

ing are discussed in the Discussion portion of this finding which begins immediately after the recommendations. Also, certain exhibits appear on the next several pages to illustrate certain of these problem areas. Exhibit E-A provides examples of findings resulting from the Department of Corrections' annual self-examination of the health care facilities at its institution.2/ Exhibit E-B illustrates the medical staffing deficiencies throughout the correctional system by comparing the number of authorized staff with the required staffing levels for provisions of adequate health care services. These staffing deficiencies are further indicated by responses received during the audit process from correctional institution superintendents. Six superintendents indicated to the auditors that they had inadequate staffing levels necessary for proper health care service delivery. For example, one of the superintendents commented as follows: "With the increase in population, additional nursing positions are desperately needed. Only [] clerical positions make it most difficult to maintain medical records on a current basis." Exhibit E-C contains examples of medical services related comments received from inmates who corresponded with the auditors during this audit process.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE GENERAL ASSEMBLY PROVIDE FUNDING FOR FULL OPERATION OF THE DEPARTMENT OF CORRECTIONS' MENTAL HEALTH UNITS AT SCI ROCKVIEW AND SCI GRATERFORD (EXPANSION) DURING FY 1988-89 (AT A COST OF \$1.7 MILLION).
2. THE DEPARTMENT OF CORRECTIONS CENTRALLY COMPILE AND MAINTAIN INFORMATION ON THE NUMBER OF INMATES WHO ARE IN NEED OF MENTAL HEALTH TREATMENT AND THE NUMBER RECEIVING SUCH TREATMENT. THIS INFORMATION SHOULD BE USED IN ASSESSING PROGRAMMATIC AND BUDGETARY NEEDS FOR FUTURE MENTAL HEALTH HOUSING AND TREATMENT.
3. FUNDING BE PROVIDED TO THE DEPARTMENT OF CORRECTIONS TO ALLOW FOR ADEQUATE MEDICAL CARE STAFF AT ALL STATE CORRECTIONAL FACILITIES IN ACCORDANCE WITH THE FORMULA BASED STAFFING SYSTEM TABLE OF ORGANIZATION USED BY THE DEPARTMENT OF CORRECTIONS (SEE ALSO FINDING D).
4. THE GENERAL ASSEMBLY PROVIDE FUNDING FOR THE SPECIALIZED AIDS TREATMENT UNIT WHICH HAD BEEN PROPOSED BY THE DEPARTMENT OF CORRECTIONS IN ITS AGENCY BUDGET REQUEST FOR FISCAL YEAR 1988-89 AT A COST OF \$1.1 MILLION.

2/The Department of Corrections' Division of Health Care Services annually conducts such reviews.

*/Amendment to the Criminal History Record Information Act, 18 Pa.C.S.A. §9101 et seq., may be required to implement any computerization aspects of this recommendation. See Recommendation #8 of Finding B for further explanation.

5. THE DEPARTMENT OF CORRECTIONS APPOINT AND MAINTAIN A MEDICAL AND DENTAL ADVISORY COMMITTEE (AS RECOMMENDED BY THE GOVERNOR'S TASK FORCE ON CORRECTIONS) TO ADVISE THE DEPARTMENT ON THE DEVELOPMENT AND PERIODIC REVIEW OF HEALTH CARE POLICIES. MEMBERSHIP ON THIS ADVISORY COMMITTEE SHOULD INCLUDE MEDICAL AND DENTAL PRACTITIONERS, REPRESENTATIVES OF THE STATE DEPARTMENTS OF HEALTH AND PUBLIC WELFARE AND OTHERS, AS APPROPRIATE.
6. THE DEPARTMENT OF CORRECTIONS PROVIDE FOR PERIODIC PEER REVIEW BY A TRAINED HEALTH CARE PRACTITIONER(S) AS PART OF THE EVALUATION OF ITS INSTITUTIONS' DELIVERY OF HEALTH CARE SERVICES TO INMATES. THE DEPARTMENT SHOULD CONSULT WITH THE MEDICAL AND DENTAL ADVISORY COMMITTEE (RECOMMENDED ABOVE) REGARDING THIS PEER REVIEW PROCESS.
7. THE DEPARTMENT OF CORRECTIONS CENTRAL MANAGEMENT PROVIDE WRITTEN INSTRUCTIONS TO ITS CORRECTIONAL INSTITUTIONS WHICH HOUSE FEMALE INMATES REGARDING CURRENT DEPARTMENTAL POLICY ON HOUSING AND TREATMENT OF PREGNANT INMATES. CENTRAL OFFICE STAFF SHOULD ALSO VISIT EACH FACILITY TO ENSURE THAT CURRENT DEPARTMENT POLICY IS FULLY EXPLAINED AND UNDERSTOOD. CURRENT POLICY IN THIS REGARD SHOULD BE AVAILABLE IN WRITING TO INTERESTED LEGISLATORS AND MEMBERS OF THE PUBLIC.
8. THE DEPARTMENT OF CORRECTIONS TAKE STEPS TO IMPROVE THE CONSISTENCY AND USEFULNESS OF DATA RESULTING FROM ITS MONTHLY MORBIDITY REPORTING SYSTEM. THE DATA SHOULD BE COLLECTED CENTRALLY, ANALYZED VIA COMPUTER, AND USED TO MEASURE PERFORMANCE AND IDENTIFY HEALTH CARE TRENDS AND ANOMALIES THROUGHOUT THE CORRECTIONAL SYSTEM. DATA REPORTS SHOULD ALSO BE DESIGNED TO PROVIDE INFORMATION NEEDED BY TOP MANAGEMENT IN DECISION-MAKING AND FOR PLANNING FUTURE HEALTH CARE PROGRAMS AND INITIATIVES. CARE SHOULD BE TAKEN WHEN INSTITUTING THIS IMPROVED MORBIDITY REPORTING SYSTEM TO PROPERLY INSTRUCT ALL INVOLVED PERSONNEL IN ITS USAGE TO INSURE DATA REPORTING CONSISTENCY.

*/Amendment to the Criminal History Record Information Act, 18 Pa.C.S.A. §9101 et seq., may be required to implement any computerization aspects of this recommendation. See Recommendation #8 of Finding B for further explanation.

DISCUSSION:

* The Department's Efforts for Ensuring Delivery of Quality Health Care: Lack of an Independent and Qualified Health Care Practitioner to Perform Quality Assurance Reviews.

Although the Department's staff annually conduct on-site surveys of each institution, the results of these surveys do not provide the Department with the ability directly to assess quality of care delivered. (These reviews assess compliance with Departmental policy. See also Exhibit E-A.) Although the Department's evaluators reportedly have many years of experience in the field of health care, they are not trained health care practitioners. One of the Department's evaluators indicated that "only peer groups can effectively evaluate...quality assurance programs...." This official further reported that the Department's Division of Health Care Services has requested that the Department employ a part-time physician to conduct periodic quality assurance reviews of the delivery of health care at the institutions.

According to a publication of the National Institute of Justice (NIJ), the best method for evaluating the actual medical and mental health care delivered to inmates is to use outside evaluator physicians to examine inmate patients and medical files for treatment delivered in accord with "best current medical practice."^{1/} The auditors identified two situations (one at SCI Huntingdon and the other at SCI Muncy) in which an outside physician conducted a review/evaluation of certain aspects of the health care delivery system in those institutions.^{2/} In both cases, certain deficiencies in procedure and/or treatment were identified:

MUNCY

The recommendations of the physician who conducted the evaluations of the medical care at SCI Muncy pertain to women's health issue's medical supervision/staff, quality assurance and emergency preparation. Recommendations, for example, are that an on-site pharmacy be established and that an awning be placed over the medications line. Other examples of recommendations are for a program of quality assurance and the hiring of a dental hygienist. (See Appendix E.3.)

1/"Measuring Prison Results -- Ways to Monitor and Evaluate Corrections Performance," U.S. Department of Justice, National Institute of Justice, June 1981.

2/One physician conducted an investigation of SCI Muncy's medical system in his capacity as expert witness for the plaintiffs in the lawsuit entitled Beehler v. Jeffes. This lawsuit was pending (as of the end of February 1988) in the U.S. District Court for the Middle District and challenges a broad range of conditions and programs at SCI Muncy. In the other case, a review of a sample of medical files was conducted at SCI Huntingdon by a member of a Department of Health Work Group on Health Care in Correctional Facilities which was established to provide input and recommendations to the 1987 Governor's Interdepartmental Task Force on Corrections. This review was limited to preventive health measures when screening for infectious diseases at intake and follow-up. The review did not include medical care, its appropriateness, and quantity or quality.

HUNTINGDON

Reportedly, two areas of entry information indicated that proper assessments for certain infectious diseases are not being done. These diseases are Hepatitis B and Tuberculosis. Screening for hepatitis, especially those persons with a history of hepatitis or jaundice, was found to need improvement.

The tuberculosis screening program finds little disease but a fair incidence (4-8 percent statewide) of positive persons. This record review indicated that the process is deficient. The prison system should at least test for tuberculosis (in those with negative tuberculin histories), read the tests, and consider INH for inmates who met CDC criteria for chemoprophylaxis.

*** The Department's Health Care Statistical Reporting System: Lack of Specificity and Consistent Reporting Needed for Assessing Delivery of Appropriate Levels of Health Care Services in Accordance with Department Policies.**

The auditors reviewed the DOC's health care statistical reporting system (Monthly Morbidity Reports) to assess whether appropriate levels of services were being rendered to inmates in accordance with Department policies (e.g. all inmates 40 years old and over must receive an annual physical exam). The auditors attempted to do such an assessment but were hindered because the data on these reports is not consistently reported among the 13 institutions even though the DOC has established a policy specifying how the reports are to be compiled. Additionally, the format of the report lacked necessary specificity for the auditor's conduct of such an assessment. A Department official reported that the Department uses these reports for budgetary purposes and not for assessing whether appropriate levels of services are provided.

*** The Department's Health Care Policies: Lack of a Mechanism to Periodically Review Health Care Policies.**

The Department has no mechanism currently in place to ensure on a timeframed basis that its health care policies reflect current health care practices. A Department official reported that policies are reviewed by the quasi-director of medicine at SCI Pittsburgh and all other effected physicians prior to implementation. Other policies related to immunization and infectious diseases, etc., are reviewed by the Department of Health prior to implementation. Recognizing a deficiency in this area, the recently enjoined Governor's Task Force on Corrections recommended that a Medical and Dental Advisory Committee be established to advise the DOC on the development of clinical medical policy. Plans for establishing such a committee have been discussed by DOC officials and are mentioned in the Governor's FY 1988-89 Budget Document; however, no timetable for appointing members and developing Committee meeting agendas have been identified.

*** Treatment of Inmates with Acquired Immunodeficiency Syndrome (AIDS): The Department has developed a policy statement and has identified a need for separate housing in its FY 1988-89 Budget Request, but such funding is not included in the Governor's Budget proposal.**

The Department has attempted to address the needs of inmates afflicted with AIDS through the development of a policy which is used as a guideline by DOC staff for the diagnosis, treatment, housing and reporting of inmates with HIV (human immunodeficiency virus) infection. Additionally, the Department had requested over \$1 million for AIDS treatment in its FY 1988-89 budget request to the Governor. The Department's budget request for this funding, however, was not approved for inclusion in the Governor's Executive Budget for FY 1988-89. A description of this initiative as it appeared in the Department's Budget Request for FY 1988-89 is provided below.

AIDS Treatment

During 1986, the Department of Corrections experienced four inmate deaths due to AIDS (Acquired Immunodeficiency Syndrome). The Department has four current AIDS and ARC (Aids-Related Complex) cases and anticipates this number to grow to ten as AIDS continues to spread. To date, Pennsylvania correctional institutions have had substantially less AIDS patients than neighboring states. In 1986, New York lost 116 inmates to the AIDS virus, and New Jersey identified 36 cases (20 resulting in death).

The Department of Corrections plans to contract with a private company to operate a unit to house and treat AIDS patients. The Department believes that AIDS patients would receive the best treatment care in an outside specialized unit. The removal of AIDS patients from correctional institutions would also reduce transmission fears of other inmates and employees.

The average cost to house an inmate in a hospital or specialized unit setting is \$300 per day. The cost to house ten inmates for a full year would be \$1,095,000.

Source: Department of Corrections Budget Request for FY 1988-89. Requested funding for the AIDS Treatment Unit is not presented in the Governor's Budget Document for fiscal year 1988-89.

*** Treatment of Pregnant Inmates: The Department has informally recinded its policy of punishing inmates by housing them in restricted and segregated housing.**

The Governor's Interdepartmental Task Force on Corrections recommended a number of initiatives to improve the medical and mental health treatment of inmates.^{3/} One of these recommendations was to end the policy of punishing

^{3/}Please see Finding J for a complete listing of the Task Force Recommendation and their Implementation Status.

pregnant inmates. The Task Force described the Department's procedures for punishing pregnant inmates and described its negative impact on the unborn infant as follows:

The rules of the Department of Corrections forbid sexual activity in prisons. Nevertheless, pregnancies can and do occur because female inmates share program and work areas with male inmates, and furloughs permit women to leave the prison on weekends.

Under present rules, pregnancy is punished with up to 90 days in the Restricted Housing Unit. Though directed at the mother, this policy inevitably punishes the unborn infant. In some cases, inmates conceal their pregnancies to avoid punishment. As a result, vital prenatal care and medication may not be provided. Moreover, women placed in the Restricted Housing Unit do not appear to receive periodic care as frequently as pregnant women who, having entered prison pregnant, were not punished and remained in the general population. The food served in the Restricted Housing Unit also ill suits the nutritional demands of a pregnant woman.

To assure adequate and timely prenatal care, pregnancies should be punished by loss of privileges, not segregation.

As of late March the Department's policy for segregating pregnant inmates in RHU was reportedly rescinded by telephone calls from the Central Office to the involved superintendents. Information on the current procedures for handling pregnant inmates was not available at the DOC Central Office at the time of completion of this audit report.

*** Treatment of Inmates with Mental Health Disorders: The Department does diagnosis for inmates with mental health disorders at intake but does not maintain centralized data on the number of inmates who are in need of mental health treatment services; the Department has identified the need for additional housing, but requested funding for operation of certain of the MHUs anticipated to open during FY 1988-89 is not provided in the Governor's Budget proposal.**

Centralized data on the number of inmates who are in need of mental health treatment services is not maintained by the Department; a Department official estimates, however, that approximately 25% to 35% of the inmate population has at least some mental health treatment needs. One study has estimated that approximately six percent of the inmate population can^{4/} be termed mentally ill and in need of intense mental health treatment services. According to a DOC official, specific mental health diagnostic work is conducted of each inmate during classification. The function of classification includes evaluating the medical and mental health of inmates in addition to assessing them for security control purposes. It was further reported that during the classification phase,

^{4/}"The Care and Treatment of Mentally Ill Inmates," Report of the Correction/Mental Health Task Force, Pennsylvania 1981.

each inmate receives a mental health rating which provides a general estimate of each inmate's mental condition. Correctional facilities are reportedly to update this information periodically.

Steps are being taken by the Department to expand its ability to treat mentally ill inmates. The DOC operates (through contract arrangements) mental health units (MHUs) totalling 53 beds licensed by the Department of Public Welfare in four of its institutions (Muncy, Graterford, Cresson, Frackville). The Department of Corrections originally planned to have mental health units at SCI Retreat and SCI Smithfield also opened before the end of FY 1987-88 and related funding was provided. A DOC official informed the auditors at the end of the audit that these units are not expected to be operationally ready until at least January 1989.^{5/} The Department also plans completion of another MHU at Rockview and expansion of an existing unit (at Graterford) to be completed during FY 1988-89,^{6/} thereby increasing the number of mental health beds available to inmates to 143. The DOC also plans to establish MHUs at three other institutions (Camp Hill, Dallas, Pittsburgh) within the next five years adding on additional bed capacity of 122.

According to a DOC official, in the event that an inmate is severely mentally disabled, the Department seeks to have the inmate legally transferred, in accordance with the "Mental Health Procedures Act," 50 P.S. §7101 *et seq.*, to a state mental hospital forensic unit operated by the Department of Public Welfare (DPW). Inmates can be legally transferred to one of the state mental hospital forensic units at Farview, Norristown, Mayview or Warren. Security and geographical considerations determine which facility an inmate may be transferred to. For example, Farview is the only maximum security state hospital forensic unit in Pennsylvania. Mentally disturbed inmates who are classified at the maximum custody level are transferred to Farview. Once an inmate is transferred to a state mental hospital, the inmate is the responsibility of the DPW until such time as DPW returns the individual to the Department of Corrections. During calendar year 1987 there were 336 state correctional inmate commitments to state mental hospital forensic facilities and 342 returns to the correctional system.

^{5/}The auditors were informed that, because base funding was available in FY 1987-88, funding for operating these units will be available in the budget year FY 1988-89.

^{6/}The mental health unit at SCI Rockview and the mental health unit expansion at SCI Graterford, anticipated to open during FY 1988-89, were not provided with certain funding, especially for associated correctional officer staff, in the Governor's Budget proposal as had been requested by the Department in its Agency Budget Request (\$1,675,816). A DOC official indicated that this will likely impact on and possibly delay the planned opening of these units in FY 1988-89 unless funding is provided.

EXHIBIT E-A

Selected Findings of Certain Recent Department of Corrections' Annual Management Reviews of Health Care Services

<u>Institution</u>	<u>Review Date</u>	<u>Example Findings</u>
Camp Hill	June 1987	Inadequate clerical personnel to accurately maintain the medical records and to expedite the processing of DCC reception.
Graterford	May 1987	Inadequate clinical storage spaces.
Greensburg	May 1987	Inadequate space in cabinetry and shelving for medical services; inadequate medical staffing.
Huntingdon	February 1987	Insufficient space for housing of medical cases requiring isolation; no facilities for housing mental health cases within the infirmary; inadequate staffing available to maintain medical records.
Mercer	May 1987	Insufficient clinical staff to carry out all duties required in a health care environment.
Muncy	April 1987	Insufficient clinical staff to carry out all duties required in a health care environment.
Pittsburgh	June 1987	Insufficient numbers of clinical and administrative staff.
Rockview	March 1987	The physical space of the infirmary is inadequate; there are no separate treatment/emergency room facilities nor separate examination rooms for use by physicians.

Source: 1987 Management Review Health Care Services reports conducted by the Department of Corrections' Division of Health Care Services.

EXHIBIT E-B

Health Care Staffing Levels
(as of February 29, 1988)

The Table of Organization is the mechanism through which the Department of Corrections determines recommended staffing levels. The Department of Corrections' Table of Organization (as of February 1988) indicates that the Department is understaffed by 54 health care positions.^{1/} As depicted below, licensed practical nurses (LPNs), registered nurses (RNs) and dental staff appear to be needed most.

<u>Position</u>	<u>Table of Organization</u>	<u>Number of Positions Authorized</u>	<u>Number of Filled Positions</u>	<u>Difference Filled to Table of Organization Levels</u>
Corrs. Health Care Admin. II.....	7	7	7	0
Corrs. Health Care Admin. I (RN)...	7	5	5	2
Nurse Supervisor...	6	6	6	0
Nurse (RN).....	111	97	92	19
Nurse (LPN).....	41	21	20	21
Dental Assistant...	10	5	5	5
Dental Hygienist...	<u>8</u>	<u>2</u>	<u>1</u>	<u>7</u>
TOTAL.....	190	143	136	54

^{1/}The Department's Table of Organization does not include contracted health care staff.

Source: Developed by LB&FC staff from information provided by the PA Department of Corrections' Bureau of Human Resources. (See also Finding D for additional information on the Department's Table of Organization.)

EXHIBIT E-C

Selected Comments Received
from Inmates Concerning Medical Care

It took 5 months for me to see the eye doctor, and the other doctor won't do anything for you unless something is broken or your bleeding to death.

Too much of a load for the small medical staff, unless it's a serious emergency, treatment is very slow which aggravates problem.

There's one doctor in this prison that serves some 24-25 hundred inmates and 4 to 5 nurses.

Non-serious cases are handled adequately; however serious cases are sometimes not treated and evaluated promptly or properly.

It took me 2 months to get my glasses sent out to get fixed, 1½ months to see the dentist.

I had to get an operation. It took 2 months to see the doctor and another 2 months to get the operation.

A friend I know just died of cancer which was neglected by the medical staff.

Was very good early on but rapid turnover of qualified doctors has resulted in poor performance.

[Poor] especially in the dental and physical levels. I have yet to receive an over forty physical.

With my special medical problem (sickle cell disease), I need blood transfusions and the institutions don't offer that service.

It takes (literally) three days to see someone - and then its not a doctor but a nurse who decides whether you'll see him!

Takes too long to get appointment, especially at dentist. Medication line outside even in bad weather.

People who are sick should not have to stand in line outdoors to get medication.

You have to wait unnecessarily long to be treated for minor ailments such as menstrual cramps, when they come on all of a sudden you have to wait until the next day to be screened for medications.

I have been waiting since last November (over 8 months) to have several ganglion cysts removed from my left ankle. Also, I have been waiting for over 3 months for a hernia operation. Medical staff has refused me permission to see the orthopedic doctor. I have a prior history of back problems, and have had back operation. Refusal of medical staff to honor the prescriptions and recommendation of other doctor, even some doctors here at the institution.

Source: Selected by LB&FC staff from comments received in response to an LB&FC questionnaire sent to a sample of inmates of State Correctional Institutions.

F. PROTECTION OF BASIC CONSTITUTIONAL RIGHTS OF INMATES

FINDING: For obvious reasons, persons in prison do not enjoy the same degree of rights, privileges or immunities secured or protected by the Constitution or laws of the United States as persons who are free. Decisions of the United States Supreme Court, however, make it clear that the Bill of Rights and the Fourteenth Amendment are applicable, with some limitations, to prisoners. Thus, certain basic constitutional rights, with limitations to the extent that is needed for security of persons and property, have been reserved for prisoners. These basic constitutional rights include: prisoners' right of access to the courts; procedural requirements of due process prerequisite to imposition of disciplinary action against a prisoner; prohibition against cruel and unusual punishment which includes providing prisoners medical care that meets minimal standards of adequacy, providing a healthful environment which includes an acceptable level of sanitation and providing reasonable protection from physical abuse; prisoners' right of reasonable opportunity to exercise religious freedom; and others. The nature of incarceration creates an environment where there is danger of infringement upon these basic, but limited rights; therefore, specific provisions and systems are needed to protect these rights. Pennsylvania has a number of provisions and systems in place to ensure that inmate rights are protected. A court approved Consent Decree involving the Department sets forth substantive and procedural rights, in numerous areas, to be afforded inmates at six of the state correctional institutions; however, the Department has applied the programs and procedures resulting in large part from the Consent Decree to all Pennsylvania State Correctional Institutions.^{1/} The Department's procedures resulting from the Consent Decree that operate to ensure inmate rights are protected include the Consolidated Inmate Grievance Review System (see Exhibit F-A), the Inmate Disciplinary and Restricted Housing Procedures (see Exhibit F-B), and the Use of Force and Restraints Directive (see Appendix F.1). See Table F-1 for summary data on inmate misconduct charges and grievance filings by institution. The Department of Corrections' Bureau of Special Services which is responsible for criminal and administrative investigations of inmates, employees and visitors and the state correctional institutions' Security Lieutenants who are responsible for conducting internal investigations of matters concerning the institution also function to ensure that inmate rights are protected. See Table F-2 for data on employee investi-

^{1/}Imprisoned Citizens Union et al. v. Milton Shapp et al. was a class action comprised of four related cases filed in 1970 and 1971. The cases challenged the constitutionality of conditions and policies at the Pennsylvania State Correctional Institutions at Graterford, Dallas, Huntingdon, Muncy, Rockview and Pittsburgh. The federal court, in May 1978, approved a Consent Decree entered into by the plaintiff class and the Commonwealth.

gations conducted by the Bureau of Special Services during the period of 1983 through 1987. Pennsylvania's inmate redress system is basically an internal system and does not include regular participation by officials or agencies external to the DOC; by contrast, certain other states provide for an independently operating corrections ombudsmen as part of their systems. For example, Michigan has an Office of Legislative Corrections Ombudsman; New York has an independent State Commission on Corrections, and New Jersey has an Office of Inmate Advocacy within its Department of the Public Advocate (see Exhibit F-C for a discussion of these and other states' programs). The structure of the PA DOC's Consolidated Inmate Grievance Review System does not provide for independent oversight and monitoring of the system, nor for a neutral independent review of specific grievances. For example, the Superintendents' Administrative Assistants at the SCIs serve as the grievance coordinators. One Superintendent noted that his "Administrative Assistant's duties often conflict with his role as Complaint Officer. A separate function should be identified and filled."^{2/} The final level of appeal in the system is the Central Office Review Committee (CORC).^{3/} The Department's Chief Counsel sits on this Committee, and in his opinion the Office of the Chief Counsel acts as an independent agency in the review of inmate grievances since it is a part of the Office of General Counsel.^{4/} However, the Office of Chief Counsel is also responsible for acting as legal advisor in all DOC legal matters, including reviewing lawsuits filed against DOC, negotiating DOC contracts, and functioning as a corporate counsel. The Governor's Interdepartmental Task Force on Corrections has recognized the need for outside monitoring of DOC's grievance system in order to ensure that allegations of abuse are vigorously investigated and inmate confidence in the grievance system is maintained. The Task Force recommended that the Office of Inspector General regularly review all grievance reports in order to provide an independent evaluation of the Department's grievance system so that

^{2/}The Commissioner's committee appointed to evaluate the inmate grievance system is considering recommending the creation of a full-time grievance coordinator position for each institution (see Finding J). The auditors also noted three superintendents have identified the need for additional staff to handle inmate grievances.

^{3/}The Central Office Review Committee (CORC) consists of the Commissioner, a Deputy Commissioner, the Chief Counsel, or their designees.

^{4/}The Office of General Counsel is organizationally independent of the Department of Corrections, with the General Counsel reporting directly to the Governor.

general patterns of complaints and abuse are identified and subsequently addressed.^{5/} Where the Inspector General believes further investigations are warranted, the Task Force recommends that a follow-up investigation, including interviewing the Department's investigators, be conducted. Also, the Fourth Statewide Investigating Grand Jury's recent report of the 1983 incident of prisoner abuse at SCI Camp Hill recommended the Office of Inspector General or another appropriate independent agency conduct periodic inspections of the correctional institutions throughout the Commonwealth to evaluate prison conditions as they concern inmate discipline and the relationship between correctional officers as a group and the general inmate population.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. LEGISLATION BE ENACTED TO PROVIDE FOR AN INDEPENDENT REVIEWER OF DEPARTMENT OF CORRECTIONS ACTIVITIES INVOLVING THE INVESTIGATION OF EMPLOYEE MISCONDUCT AND THE ADMINISTRATION OF JUSTICE TO INMATES. THE OFFICIAL(S) PERFORMING THIS FUNCTION SHOULD BE INDEPENDENT OF THE DEPARTMENT OF CORRECTIONS AND SHOULD REPORT TO THE GOVERNOR (VIA THE INSPECTOR GENERAL) OR TO THE ATTORNEY GENERAL. THE REVIEW OFFICIAL(S) (PERHAPS A DEPUTY INSPECTOR GENERAL OR DEPUTY ATTORNEY GENERAL) SHOULD HAVE FULL AND COMPLETE ACCESS TO ALL RECORDS, EMPLOYEES, INMATES AND FACILITIES OF THE DEPARTMENT OF CORRECTIONS AND SHOULD REGULARLY RECEIVE FROM THE DEPARTMENT ANY AND ALL INFORMATION WHICH HE/SHE REQUIRES TO ENSURE THAT FAIR AND EFFECTIVE SYSTEMS ARE MAINTAINED TO (1) DISCIPLINE INMATES, (2) ADJUDICATE INMATE GRIEVANCES, AND (3) ROOT OUT EMPLOYEE MISCONDUCT. THIS REVIEW OFFICIAL(S) SHOULD ALSO BE EMPOWERED TO CONDUCT INVESTIGATIONS ON HIS/HER OWN VOLITION INTO MATTERS OF POSSIBLE FRAUD, WASTE, MISCONDUCT OR ABUSE.
2. THE DEPARTMENT OF CORRECTIONS CENTRALLY COLLECT AND ANALYZE (VIA COMPUTER) MANAGEMENT DATA ON THE FUNCTIONING OF ITS INMATE GRIEVANCE AND MISCONDUCT SYSTEMS. THIS DATA SHOULD BE USED TO MONITOR AND EVALUATE THE EFFECTIVENESS OF THESE SYSTEMS AND TO IDENTIFY TRENDS OR ANOMALIES THAT MAY SUGGEST PROBLEMS REQUIRING TOP MANAGEMENT ATTENTION. EXAMPLES

^{5/}The Office of Inspector General was created by Executive Order 1987-7 in order to "deter, detect, prevent and eradicate fraud, waste, misconduct and abuse in the programs, operations, and contracting, of executive agencies..." and "...to keep the heads of executive agencies and the Governor fully informed about problems and deficiencies relating to administration of programs." As of March 1988, there were five satellite Inspector General Offices that were operating in the Department of Revenue, Department of Environmental Resources, PA DOT, and Departments of Labor and Industry and General Services.

OF DATA THAT OVER TIME MAY PROVE USEFUL TO MANAGEMENT INCLUDE THE NUMBER OF GRIEVANCES PER INMATE, NATURE OF COMPLAINTS, NUMBER OF MISCONDUCTS PER INMATE, ADJUDICATING OUTCOME OF MISCONDUCTS, ETC.*

3. THE DEPARTMENT OF CORRECTIONS CREATE A NETWORK OF GRIEVANCE COORDINATOR POSITIONS FOR ITS CORRECTIONAL INSTITUTIONS. THE SOLE RESPONSIBILITIES OF THESE EMPLOYEES SHOULD BE TO RECEIVE, INVESTIGATE AND RESOLVE (FIRST LEVEL RESOLUTION) INMATE COMPLAINTS AT THE INSTITUTIONAL LEVEL. THESE EMPLOYEES SHOULD ALSO BE RESPONSIBLE FOR REPORTING, ON AT LEAST A MONTHLY BASIS, SUMMARY DATA TO THE DOC CENTRAL OFFICE ON THE NUMBER, TYPE AND OUTCOME OF ALL INMATE GRIEVANCES.
4. THE DEPARTMENT OF CORRECTIONS CONSIDER ESTABLISHING A PROCEDURE WHEREBY INMATES ARE PROVIDED A SHORT QUESTIONNAIRE UPON RELEASE FROM A CORRECTIONAL FACILITY. COMPLETION OF THIS QUESTIONNAIRE SHOULD BE VOLUNTARY. THE QUESTIONNAIRE WOULD BE RETURNED TO THE DOC CENTRAL OFFICE AND COULD PROVIDE AN INDICATOR TO TOP MANAGEMENT OF POSSIBLE PROBLEM AREAS WITHIN THE INSTITUTIONS. A SIMILAR PROCESS SHOULD BE INITIATED FOR DOC EMPLOYEES WHO LEAVE THE SYSTEM (THROUGH RESIGNATION OR RETIREMENT, ETC.).

*/Amendment to the Criminal History Record Information Act (CHRIA), 18 Pa.C.S.A. §9101 et seq., may be required to implement any computerization aspects of this recommendation since this Act prohibits the collection of intelligence, investigative and treatment information "in any automated or electronic criminal justice information system."

EXHIBIT F-A

Synopsis of DOC's Consolidated Inmate Grievance Review System

The Bureau of Corrections has established a Consolidated Inmate Grievance Review System. Its purpose is to ensure that every inmate has a method through which to resolve any problems arising during the course of confinement.

I. Initial Review^{1/}

- A. Initial review is undertaken by the Inmate Grievance Coordinator who is appointed by and reports to the Superintendent or in the Community Service Centers, the Regional Director. This procedure must be completed before any other appeal may be sought.
- B. Initial reviews must be submitted within 30 calendar days after the events upon which the claims are based. Extension of these time periods may be granted for good cause.
- C. The Grievance Coordinator must first acknowledge receipt of the complaint/grievance form within 3 days. He shall promptly investigate all grievances and appeals. The inmate grievant and other persons having personal knowledge of this subject matter may be interviewed. If an inmate grievant has requested a personal interview, he shall be interviewed.
- D. Within ten working days of the Grievance Coordinator's receipt of a grievance or appeal, a written response to the inmate should be prepared including a brief rationale, summary conclusion and any action taken or recommended to resolve the issue raised by the inmate.

II. Appeal from Initial Review

- A. If an inmate is dissatisfied with the decision of the Grievance Coordinator, he/she may file an appeal to the Superintendent or Regional Director of the institution. The appeal must be taken within five working days after the receipt of the decision. The appeal must identify the decision appealed from and all reasons for appeal.
- B. Within ten working days after the receipt of an appeal, the Superintendent or Regional Director shall notify the inmate and other interested persons of his or her decisions. The Superintendent's or Regional Director's decision is to also include a brief statement of the reasons for the decision.

III. Final Review

- A. The inmate may appeal the decision of the Superintendent or Regional Director. The inmate has seven calendar days from receipt of the decision to appeal. Final appeal of grievances goes directly to the Central Office Review Committee (CORC). CORC shall consist of the Commissioner, Deputy Commissioner, Chief Counsel, or their designees.
- B. The CORC will address all issues properly raised by inmate and may review any other matters relevant to the issues raised. The CORC may affirm, modify, reverse, or take any other appropriate action in regard to the initial review decision and appeal. The CORC shall notify the inmate and the Superintendent or Regional Director of its decision or rationale within 15 working days after the receipt of an appeal to render a decision.

^{1/}Any inmate grievance may be addressed to the Grievance Coordinator except issues related to the following: Incoming Publication, Institution Disciplinary and Restricted Housing Procedure, Policy and Procedures for obtaining Pre-Release Transfer and other kinds of issues for which review procedures have been previously established by administrative memoranda.

Source: Developed by LB&FC staff from information provided by the PA Department of Corrections.

EXHIBIT F-B

Synopsis of DOC Inmate Disciplinary Procedure

A. Misconduct Report

The misconduct report is written, within a reasonable period of time after the events which constitute the misconduct, by a staff member who has personal knowledge of the misconduct or is under the direction of someone who has knowledge of the event. The report shall be reviewed and approved by the shift commander before it is given to the inmate. The misconduct report will be used as evidence against the inmate at the misconduct hearing. The inmate shall be served with the misconduct report within a reasonable time after it is written. If an inmate is placed in pre-hearing confinement, the misconduct report shall be delivered to the inmate within three hours after the time the pre-hearing confinement begins. Witness Requests, Inmate Version and Waiver Forms shall be delivered to the charged inmate with the Misconduct Report. The inmate shall fill out the witness request form and return it to the block officer no later than 9:00 a.m. the next working day, and the waiver forms may be returned at any time prior to the misconduct hearing.

B. Misconduct Hearing

The misconduct hearing shall be scheduled no less than 24 hours nor more than 6 calendar days after notice of charges is delivered. The inmate shall be permitted assistance in presenting the case from any staff member or inmate in general population status providing they are willing to do so. The Hearing Committee may require the presence of any staff member or witness. Up to three relevant witnesses, who have been properly requested, shall be permitted unless the Hearing Committee Coordinator/Examiner determines that the witness is unavailable or that a countervailing security concern makes it unreasonable to produce the witness.

C. Disposition of Charges

As soon as possible after the hearing of all evidence, but within the six day limit, the Hearing Committee/Examiner shall determine whether the inmate is guilty of the misconduct charges based upon a preponderance of the evidence. If the inmate is found not guilty, that fact shall be recorded in writing, a copy given to the inmate and all record of the misconduct charge will be removed from the inmate's institutional records and retained in a separate institution file. If the inmate is found guilty, a written summary of the hearing will be prepared and a copy given to the inmate. The inmate shall be informed of possible avenues of appeal. The inmate has fifteen days to submit a written request for formal review.

D. Appeals

The inmate may appeal based upon one of the following three reasons: 1) the procedures employed were contrary to law, this directive or to the ICU Consent Decree; 2) the punishment is disproportionate to the offense; and 3) the evidence was insufficient to support the decision. The inmate may appeal to the Program Review Committee (PRC). The PRC shall render its decision within five (5) working days of receipt of an appeal. The inmate may appeal the decision of the PRC to the Superintendent in accordance with the appeal procedures. The decision of the Superintendent shall be forwarded to the inmate within three (3) working days of receipt of appeal. Final appeal shall be to the Office of Chief Counsel pursuant to the provisions of the BC-ADM 804, Consolidated Inmate Grievance Review System. The Office of Chief Counsel is responsible for reviewing the appeal and may respond directly to the inmate or refer the appeal to the Central Office Review Committee for further review.

¹/As of March 1988, the Department employed 10 hearing examiners.

²/The Program Review Committee is a panel of 3 members consisting of: the Deputy Superintendent of Operations, the Deputy Superintendent for Treatment Services and a Classification and Treatment Manager. The Superintendent may designate appropriate substitutes.

TABLE F-1

Information on Inmate Misconduct Charges and
Inmate Grievances by Institution for FY 1986-87

<u>Institution</u>	<u># of Grievances</u>	<u># of Grievances Per Inmate^{a/}</u>	<u># of Misconduct Charges</u>	<u># of Misconducts Per Inmate^{a/}</u>	<u>% of Misconducts Found Guilty</u>
Camp Hill.....	848	0.33	7,294	2.87	77.0%
Cresson ^{b/}	213	--	c/	--	--
Dallas.....	2,148	1.08	7,839	3.94	95.4
Frackville ^{b/} ...	97	--	274	--	85.4
Graterford....	1,004	0.39	7,275	2.82	77.9
Greensburg....	1,142	1.46	d/	--	--
Huntingdon....	1,558	0.77	5,301	2.60	78.8
Mercer.....	988	1.46	2,427	3.57	76.8
Muncy.....	713	1.29	4,493	8.12	74.2
Pittsburgh....	1,443	0.89	4,665	2.87	83.9
Rockview.....	655	0.34	5,333	2.76	79.3
Waynesburg....	<u>225</u>	<u>2.05</u>	<u>c/</u>	<u>--</u>	<u>--</u>
Totals.....	<u>11,034</u>	<u>0.72^{e/}</u>	<u>44,901</u>	<u>3.03^{e/}</u>	<u>81.3^{e/}</u>

a/These figures calculated by dividing the inmate population for the given institution as of 12/31/86 into the number of grievances/misconducts reported.

b/Institutions did not open until 1987.

c/No information reported from this institution.

d/Greensburg does not retain copies of these reports so they were unable to supply requested information.

e/Excludes grievances or misconducts for Cresson and Frackville.

Source: Developed by LB&FC staff from information supplied by the Department of Corrections (DOC); grievance information provided in the aggregate from DOC central office and misconduct information compiled by the auditors from information supplied from the various institutions.

TABLE F-2

Department of Corrections
Investigations of Employees in Selected Categories ^{*/}

Institution	Fraternalization ^{a/}		Assault		Sexual Assault/Misconduct ^{b/}		Drugs ^{c/}		Harassment ^{d/}	
	Subst. ^{e/}	Unf. ^{f/}	Subst.	Unf.	Subst.	Unf.	Subst.	Unf.	Subst.	Unf.
Camp Hill										
1987.....					1				1	
1986.....						1				
1985.....								1		
1984.....								3		
1983.....				1 ^{g/}						
Subtotal..	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>4</u>	<u>1</u>	<u>0</u>
Dallas										
1987.....										1
1986.....	1									
1985.....					1 ^{h/}					
1984.....					1 ^{h/}					
1983.....										
Subtotal..	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>
Graterford										
1987.....			1	1 ^{i/}						
1986.....								2 ^{j/}		
1985.....			1	1 ^{k/}						
1984.....										
1983.....	1			1 ^{l/}						
Subtotal..	<u>1</u>	<u>0</u>	<u>2</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>
Greensburg										
1987.....										
1986.....			1	1						
Subtotal..	<u>0</u>	<u>0</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Huntingdon										
1987.....				1						
1986.....				2						
1985.....	1									
1984.....								1		
1983.....				2						
Subtotal..	<u>1</u>	<u>0</u>	<u>0</u>	<u>5</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>

TABLE F-2

Department of Corrections
Investigations of Employees in Selected Categories ^{*/}
 (Continued)

Institution	Fraternization ^{a/}		Assault		Sexual Assault/Misconduct ^{b/}		Drugs ^{c/}		Harassment ^{d/}	
	Subst. ^{e/}	Unf. ^{f/}	Subst.	Unf.	Subst.	Unf.	Subst.	Unf.	Subst.	Unf.
Muncy										
1987.....	1	1								
1986.....	4				1 ^{m/}		1 ^{m/}			
1985.....	1									
1984.....										
1983.....				1	1					
Subtotal..	<u>6</u>	<u>1</u>	<u>0</u>	<u>1</u>	<u>2</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>
Pittsburgh										
1987.....				1						1
1986.....										
1985.....				1				2 ^{m/}		
1984.....						1 ^{m/}	1 ^{m/}			
1983.....					1					
Subtotal..	<u>0</u>	<u>0</u>	<u>0</u>	<u>2</u>	<u>1</u>	<u>1</u>	<u>0</u>	<u>3</u>	<u>0</u>	<u>1</u>
Rockview										
1987.....							1	1		
1986.....										
1985.....										
1984.....										
1983.....					1		1			
Subtotal..	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>2</u>	<u>1</u>	<u>0</u>	<u>0</u>
Waynesburg										
1987.....	2	1			1					
1986.....										
1985.....	1									
1984.....					1					
1983.....										
Subtotal..	<u>3</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
TOTAL.....	<u>12</u>	<u>2</u>	<u>3</u>	<u>13</u>	<u>9</u>	<u>2</u>	<u>3</u>	<u>11</u>	<u>1</u>	<u>2</u>

FOOTNOTES TO TABLE F-2

*/These investigations were conducted by the Department of Corrections' Bureau of Special Services. Please see Exhibit H-A in Finding H for descriptive information.

a/Fraternalization includes sexual and emotional relationships between employees and inmates and an employee introducing contraband in exchange for money from inmate's family.

b/Includes rape, solicitation of inmates for sexual favors and involuntary deviate sexual intercourse.

c/Includes the violation of the Controlled Substance, Drug Device and Cosmetic Act.

d/Includes horseplay, mock hanging of inmates and racial/ethnic slurs against inmates.

e/This includes the employee being terminated, suspended or the employee resigning.

f/This includes allegations that were unsubstantiated, or there was insufficient evidence for administrative action or prosecution.

g/Insufficient evidence obtained to prosecute or discipline - went before Grand Jury.

h/The subject admitted horseplay only.

i/Disciplinary action pending - District Attorney declined criminal prosecution.

j/Pending investigation.

k/District Attorney declined prosecution and no disciplinary action taken.

l/Subjects suspended - reinstated because of lack of evidence.

m/Investigation of the same employee.

Source: Developed by LB&FC staff from information provided by the PA Department of Corrections.

EXHIBIT F-C

Information on Selected Other States Inmate Grievance/Advocacy/Ombudsman Provisions

CONNECTICUT

Connecticut Correctional Ombudsman, Inc. is a private non-profit corporation that has a service contract with the Department of Corrections. This corporation receives complaints from inmates and initiates investigations of certain complaints.

IOWA

Office of Citizens' Aide is a legislative agency responsible for investigating complaints or on its own motion any administrative action of any agency including the Department of Corrections.

The Iowa statute specifically provides that a letter to the Citizens' Aide from a person in a correctional institution shall be immediately forwarded unopened to the Citizens' Aide by the correctional institution.

MARYLAND

Inmate Grievance Commission is statutorily mandated to review inmate complaints. The Commission is an entity of the Department of Public Safety and Correctional Service, which includes other entities such as the Division of Corrections, the State Police and the Parole Board. While the Commission's authority is independent of the Commissioner of Correction, both the Inmate Grievance Commission and the Commissioner of Correction report to the Secretary of Public Safety and Correctional Services who has final decision making authority in appeal cases which are judged by the commission to have meritorious review status. The Commission is composed of seven members who are gubernatorial appointees. The Commission is to be composed of at least two attorneys and two individuals who have some background in the corrections system.

The Division of Corrections has administrative remedy procedures which are separate from and in addition to those implemented by the Commission.

MICHIGAN

Office of Legislative Corrections Ombudsman is a legislative agency that acts as an impartial and objective investigator into complaints concerning Department of Corrections administrative acts which are alleged to be contrary to law or department policy, unaccompanied by an adequate statement of reason or based on irrelevant, immaterial or erroneous grounds. In addition, this office can investigate department actions on its own initiative.

EXHIBIT F-C

Information on Selected Other States Inmate Grievance/Advocacy/Ombudsman Provisions (Continued)

MINNESOTA

Ombudsman for Corrections is an independent agency under the Governor's jurisdiction. This office takes and investigates complaints from inmates or may initiate an investigation at its discretion. The Ombudsman may inspect at any time facilities or records. The Ombudsman may also make recommendations for action to the Department of Corrections, and, if the ombudsman has reason to believe that an employee has acted in a manner warranting criminal or disciplinary proceedings, he may refer the matter to the appropriate authorities.

NEW JERSEY

Office of Inmate Advocacy is within the Department of the Public Advocate and is responsible for representing the interest of inmates in disputes and litigation that will best advance the interest of inmates as a class on an issue of general application. In addition, the office may act as a representative of inmates with any principal department or other instrumentality of State, county or local government.

NEW YORK

State Commission of Corrections is an independent watchdog agency consisting of three persons appointed by the Governor, and it is responsible for the fourth level of appeal for inmate grievances. The Commission does not have the authority to decide a case but can make a recommendation to the Commissioner of the Department of Correctional Services. Upon receipt of the written recommendation of the Commission, the Commissioner has 20 days to respond. If the Commissioner rejects the Commission's recommendation, he must formally publish his disagreement and basis for his position.

The Commission is also responsible for establishing procedures to assure effective investigation of grievances and conditions affecting inmates.

NORTH CAROLINA

Grievance Resolution Board is a separate agency within the Department of Correction consisting of five persons appointed by the Governor. Three of the members are required to be attorneys and the remaining two members are required to be persons with knowledge and experience in one or more fields under the jurisdiction of the Secretary of Correction.

The Board serves as the third level of appeal for inmate grievances. The Board is also required to review the Department's grievance procedure and review summaries of grievances. The Board has investigatory powers to investigate matters involving broad policy concerns.

Source: Compiled by the auditors from various documents provided by other states as well as contacts with those states.

G. STATE CORRECTIONAL INSTITUTION PHYSICAL PLANT AND SUPPORT FACILITIES

FINDING: The Commonwealth, through the Department of Corrections (DOC), has a responsibility to provide for a system of physical structures and support facilities which are adequate to meet the basic needs of both the inmate population and the DOC employees assigned to them as well as applicable building, safety and other codes and standards. American Correctional Association standards contain specific physical plant and facility requirements as well as requirements that correctional facilities receive formal periodic inspections and maintain compliance with all applicable life safety and other code requirements. As of February 1988 the DOC was operating a system of 13 state correctional institutions (SCIs). Although eight of the 13 SCIs have received accreditation from the American Correctional Association (ACA), there are indications that a number of physical plant and facility deficiencies presently exist in many parts of the correctional system and that certain procedural and compliance requirements related to physical plant are in need of additional attention. Contributing to these physical plant deficiencies are the overcrowding and understaffing which exist within the system (see Findings C and D) as well as the relative old age of a number of the institutional structures within the system. DOC officials indicated to the auditors that a lack of sufficient funding is another factor which is contributing to the difficulties being encountered by the Department in maintaining and upgrading institutional physical plant and facilities.a/ A particular physical facility problem arising from inmate overcrowding exists relative to institutional support facilities. It appears that not enough has been done in recent years to expand the capacities of institutional support facilities such as laundries, dining areas, educational facilities, kitchens, visiting facilities, utility plants and sewage systems. The DOC has indicated that because of the steadily increasing inmate population, available fiscal resources have been focused on expanding housing capacity without corresponding modification to support facilities. Additionally, examination of a sampling of

a/As shown on Table G-2, the DOC has developed a five-year capital budget proposal which would require total funding in the amount of approximately \$191 million for new capital construction and physical plant and facility improvements. There was no funding included in the Governor's FY1988-89 budget for these new projects. There are, however, several current (previously approved) capital improvement projects underway at the various correctional facilities. Appendix G-1 contains a list of capital projects costing \$270,930,000 that were approved by the Legislature for funding between 1972 and 1986 and were recently completed or are scheduled for future completion. The largest of these projects are expansions at SCI Graterford and SCI Pittsburgh and construction of new or remodeled SCIs (at Smithfield, Frackville, Retreat and Cresson).

internal DOC facility inspection reports prepared by the DOC's Bureau of Special Services^{b/} indicates recurring physical plant deficiencies at certain institutions; such deficiencies include, for example, inadequate shower and toilet facilities, structural deterioration and security-related physical facility problems. (See Exhibit G-A.) At the time of the audit several conditions of noncompliance with the provisions of the "Fire and Panic Act" (some dating to 1979 and 1982) had been cited by Labor and Industry inspectors at DOC institutions. As shown on Exhibit G-D, the DOC reports that many of the violations cited by the inspectors had been resolved by the DOC as of March 1988 and were awaiting reinspection. Contacts made by the auditors with selected Department of Environmental Resources (DER) field offices indicated several DER-issued violation notices including violation notices for inadequate sewage treatment systems. Examination of information obtained from the DOC's Bureau of Facilities Services indicates that the sewage treatment systems at three SCIs (Graterford, Mercer and Rockview) are inadequate given current inmate population levels and the systems at two other institutions are nearing capacity. The PA Department of Environmental Resources informed the auditors that such situations have and could potentially result in further pollution to surface streams in areas surrounding these institutions. The DOC is attempting to deal with at least some of these deficiencies. It appears, however, that there are certain weaknesses which exist in the DOC's approach to physical plant management which may hamper the Department's ability to deal with these problems. For example, the DOC does not have a centrally developed preventive maintenance program for the system of state correctional facilities. The auditors also observed that the DOC does not employ a centralized and comprehensive planning approach to monitor and respond to physical plant deficiencies which are identified through both internal and external physical facility inspection activities. For example, comprehensive records are not maintained at the DOC central office level on the results of inspection activities which are carried out by the Department of Environmental Resources (DER) at DOC institutions nor are the physical facility inspection reports completed by the DOC Bureau of Special Services routinely communicated to the Bureau of Facilities Services. There are also some weaknesses related to inspections of DOC facilities. A review of the annual physical facility inspection process which is carried out by the DOC's Bureau of Special Services indicates that the inspectors do not have formally defined criteria or detailed inspection forms to guide their activities in all of the prescribed inspection areas. A second observed weakness relates to inspections for sanitation and

^{b/}The DOC's Bureau of Special Services conducts physical facility inspections at each of the DOC-operated correctional institutions on an annual basis.

hygiene. Internal sanitation and hygiene inspections are to be carried out weekly at each correctional facility by staff of that facility. The results of these weekly inspections are reported monthly to top management of the institution and to certain DOC central office officials. An administrative memorandum issued by the Commissioner of Corrections in 1983 also calls for an annual sanitation and hygiene inspection to be carried out (in addition to these weekly inspections) by "...an independent authority composed of qualified persons..." The administrative memorandum further states that "arrangements are to be made with the Department of Environmental Resources that Bureau of Corrections institutions are inspected at least annually to ensure the health of all personnel and inmates." This provision for annual sanitation and hygiene inspections through DER was not being carried out at the time of conclusion of this audit report. The DOC reported to the auditors, however, that it has contracted with a private individual to conduct sanitation inspections of its facilities and an examination of DOC records indicates that this contractor is providing such services. According to DOC officials, this individual was formerly associated with the PA Department of Environmental Resources and now works directly for the DOC on a contract basis. ACA standards call for at least annual sanitation inspections by federal, state, and/or local sanitation and health officials or other qualified persons "to ensure the health of personnel and inmates." ACA standards further recommend that correctional agency administrators should be able to document that the inspection reports have been reviewed and that remedial action has been taken. The National Institute of Justice recommends that state corrections agencies negotiate with their state health departments to perform sanitation inspections at state correctional facilities on at least an annual basis.c/

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC MAINTAIN A COMPREHENSIVE LONG-RANGE (TEN-YEAR) CAPITAL IMPROVEMENTS AND PHYSICAL PLANT MAINTENANCE PLAN. THIS PLAN SHOULD IDENTIFY PLANNED MAINTENANCE ACTIVITIES AS WELL AS CAPITAL IMPROVEMENT PROJECTS WHICH ARE NEEDED TO ADDRESS SPECIFIC IDENTIFIED INADEQUACIES IN THE SYSTEM. (INCLUDING BOTH CAPITAL IMPROVEMENTS PROJECTS APPROVED IN THE

c/The auditors contacted a sample of state correctional agencies in five selected states to determine the nature of institutional sanitation inspection activity, if any, carried out in their respective correctional systems. These contacts indicated that state health departments reportedly conduct annual sanitation inspections of correctional institutions in New York, New Jersey, California and Minnesota while county health department carry out such inspections in North Carolina. In certain of these states, inspection activities are performed pursuant to inter-agency agreements following ACA standards, U.S. Public Health Service guidelines or other criteria. All report having established procedures for follow-up and corrective actions.

CAPITAL BUDGET AND ALSO THOSE THAT ARE NOT YET APPROVED BUT ARE NEEDED.) THE PLAN SHOULD ALSO TAKE INTO ACCOUNT AND REFLECT PHYSICAL FACILITY NEEDS TO RELIEVE CURRENT AND PROJECTED OVERCROWDING AS IDENTIFIED BY THE STATE COORDINATING COUNCIL ON PRISON OVERCROWDING RECOMMENDED IN FINDING C. THE LONG-RANGE CAPITAL PLAN SHOULD ASSIGN PRIORITIES AND COST ESTIMATES TO THE VARIOUS PLAN ACTIVITIES AND PROJECTS AND SHOULD BE MONITORED AND UPDATED ON AN ONGOING BASIS.

2. IN DEVELOPING THE PLAN CITED ABOVE, THE DOC UNDERTAKE A COMPREHENSIVE AND FORMAL ASSESSMENT OF THE ADEQUACY OF INSTITUTIONAL SUPPORT FACILITIES IN ORDER TO IDENTIFY EXPANSION AND MODIFICATIONS WHICH WOULD BE NECESSARY TO BRING EXISTING SUPPORT FACILITY CAPACITIES IN LINE WITH CURRENT AND PROJECTED INMATE POPULATION LEVELS. THE RESULTS OF THIS ASSESSMENT SHOULD BE INCORPORATED INTO THE LONG-RANGE CAPITAL FACILITIES AND MAINTENANCE PLAN RECOMMENDED ABOVE.
3. A FORMAL PREVENTIVE MAINTENANCE PROGRAM BE DEVELOPED AT THE DOC CENTRAL OFFICE LEVEL. d/ THE DEPARTMENT'S BUREAU OF FACILITIES SERVICES, WHICH WOULD BE RESPONSIBLE FOR IMPLEMENTATION OF THE PROGRAM, SHOULD DEVELOP SPECIFIC PREVENTIVE MAINTENANCE GUIDELINES FOR SYSTEM-WIDE APPLICATION. THE BUREAU SHOULD ALSO WORK WITH PERTINENT STAFF AT THE INSTITUTIONAL LEVEL TO DEVELOP INDIVIDUALIZED PREVENTIVE MAINTENANCE PLANS FOR EACH INSTITUTION AND SHOULD MONITOR THEIR IMPLEMENTATION. AS PART OF THESE PLANS IT IS ALSO SUGGESTED THAT A COMPUTERIZED INVENTORY OF ALL EQUIPMENT REQUIRING ROUTINE MAINTENANCE BE DEVELOPED AND PREVENTIVE MAINTENANCE SCHEDULES FOR SUCH EQUIPMENT BE ESTABLISHED. IT IS ALSO SUGGESTED THAT REGULAR REPORTS ON PLAN IMPLEMENTATION BE SUBMITTED TO THE BUREAU OF FACILITIES SERVICES AND THAT THE PREVENTIVE MAINTENANCE PLANS WHICH ARE DEVELOPED BE INCORPORATED INTO THE LONG-RANGE FACILITIES PLAN RECOMMENDED IN #1 ABOVE.
4. THE DOC'S BUREAU OF FACILITIES SERVICES IMPLEMENT A CENTRAL TRACKING AND FOLLOW-UP SYSTEM TO DEAL WITH PHYSICAL PLANT DEFICIENCIES WHICH ARE IDENTIFIED THROUGH THE DEPARTMENT'S ANNUAL PHYSICAL INSPECTION PROCESSES AS WELL AS THROUGH INSPECTIONS CONDUCTED BY EXTERNAL AGENCIES (SUCH AS THE DEPARTMENTS OF LABOR & INDUSTRY AND ENVIRONMENTAL RESOURCES). IT IS SUGGESTED THAT REPORTS SUMMARIZING IDENTIFIED DEFICIENCIES AND THE STATUS OF CORRECTIVE ACTIONS TAKEN/UNDERWAY SHOULD BE PREPARED ON A REGULAR PERIODIC BASIS FOR INTERNAL MANAGEMENT PURPOSES.
5. THAT THE GENERAL ASSEMBLY CONSIDER REQUIRING IN LAW THAT ANNUAL SANITATION INSPECTIONS OF STATE CORRECTIONAL FACILITIES (E.G., OF INMATE LIVING AREAS, TOILET AND SHOWER FACILITIES, FOOD PREPARATION AND EATING AREAS) BE CONDUCTED BY OR UNDER THE AUSPICES OF THE PA DEPARTMENTS OF HEALTH OR ENVIRONMENTAL RESOURCES. THE RESULTS OF SUCH INSPECTIONS SHOULD BE REPORTED TO THE VARIOUS DOC INSTITUTIONAL SUPERINTENDENTS AND TO THE COMMISSIONER OF CORRECTIONS. THESE REPORTS SHOULD ALSO BE AVAILABLE TO INTERESTED LEGISLATORS AND MEMBERS OF THE PUBLIC.

d/ACA standards state that a specific plan for preventive maintenance is necessary for safe and efficient correctional facility operation.

6. THE DOC DEVELOP DETAILED GUIDELINES FOR THE ANNUAL PHYSICAL FACILITY INSPECTION PROCESS THAT IS CARRIED OUT BY ITS BUREAU OF SPECIAL SERVICES. DETAILED WRITTEN INSTRUCTIONS SHOULD BE PREPARED TO GUIDE THE PROCESS AND DETAILED INSPECTION FORMS (INCLUDING CHECKLISTS) SHOULD BE PROVIDED TO THE DOC INSPECTORS. SEE EXHIBIT G-E FOR A COPY OF A PORTION OF THE INSPECTION CHECKLIST USED BY THE NORTH CAROLINA DEPARTMENT OF CORRECTIONS. (A COPY OF THE GUIDELINES FOR THE DOC'S STATE CORRECTIONAL INSTITUTION INTERNAL INSPECTION PROCESS IS SET FORTH IN APPENDIX G.2.)
7. AS SOON AS POSSIBLE FOLLOWING COMPLETION OF THE LONG-RANGE, TEN-YEAR CAPITAL IMPROVEMENT AND MAINTENANCE PLAN CALLED FOR IN #1 ABOVE, THE DOC SHOULD DEVELOP A SUMMARIZATION OF THE CAPITAL NEEDS CONTAINED IN THE PLAN ALONG WITH ESTIMATES OF THE CURRENT AND PROJECTED COSTS WHICH WOULD BE REQUIRED FOR ACCOMPLISHMENT OF INDIVIDUAL CAPITAL IMPROVEMENTS AND MAINTENANCE ACTIVITIES CONTAINED IN THE PLAN. THIS INFORMATION SHOULD BE COMMUNICATED TO THE GOVERNOR'S OFFICE, LEGISLATIVE LEADERS AND APPROPRIATIONS COMMITTEE CHAIRMEN INDICATING ESTIMATED ANNUAL FINANCIAL REQUIREMENTS FOR MAINTENANCE AND CONSTRUCTION OVER THE NEXT TEN YEARS SO THAT INFORMATION IS AT HAND FOR CAPITAL BUDGETING AND DECISION-MAKING PURPOSES.

TABLE G-1

Selected Information on State Correctional Institutions Administered by the PA Department of Corrections

<u>Institution</u>	<u>Year Construction Completed</u>	<u>Inmate Population 12/31/87</u>	<u>Inmate Capacity^{a/}</u>	<u>Percent of Capacity</u>	<u>Date of Most Recent Accreditation^{b/}</u>
Camp Hill.....	1941	2,559	1,826	140%	12/8/87
Cresson.....	1987	585	499	117	-- ^{c/}
Dallas.....	1960	1,983	1,457	136	8/4/87
Frankville.....	1987	629	540	116	-- ^{c/}
Graterford.....	1929	2,451	2,144	114	-- ^{d/}
Greensburg.....	1969	788	461	171	8/10/85
Huntingdon.....	1889	2,053	1,347	152	8/4/87
Mercer.....	1978	678	464	146	8/4/87
Muncy.....	1920	517	464	111	1/11/85
Pittsburgh.....	1882	1,568	1,140	138	-- ^{d/}
Retreat.....	1988	38	480	8	-- ^{c/}
Rockview.....	1912	1,921	1,250	154	8/9/86
Smithfield.....	Unopened	-0-	548	---	---
Waynesburg.....	1968	135	144	94	12/8/86

^{a/}Figures listed are inmate capacities as of October 1987.

^{b/}Accreditation by the American Corrections Association (ACA).

^{c/}Institutions reportedly in the beginning stages of accreditation process.

^{d/}Institution is undergoing renovations which are reportedly delaying application for the accreditation process.

Source: Developed by LB&FC staff from information provided by the PA Department of Corrections.

EXHIBIT G-A

Examples of Recurring Physical Plant Deficiencies at State Correctional Institutions Identified by the Department of Corrections Bureau of Special Services

<u>Institution</u>	<u>Deficiency(ies) Identified</u>	<u>Years Cited</u>
1. Graterford.....	Showers are in poor condition and have inadequate ventilation. Inspectors noted that showers project a poor and unsanitary appearance. Additionally, availability of toilets was cited as inadequate.	1984, 1985, 1986, 1987
2. Graterford.....	Sally port ^{a/} has problems with both the electronic mechanism for the main gate and the condition of the pedestrian door/gate. Problems noted included the inability of the gate to close sufficiently to allow electronic locking mechanism to operate and the absence of safeguards to prevent moisture from affecting electronic locking mechanism.	1986, 1987
3. Greensburg.....	The doors in the restricted housing unit (RHU) were found to be deficient in several areas. Deficiencies cited included problems with the locking mechanisms, the design of the doors causing them to open inwards (identified as a potential security problem), and the absence of observation panels in the door between the RHU and "J" block and the main corridor.	1986, 1987
4. Greensburg.....	Modular housing units have leaking windows and roofs causing damage to walls and deterioration of the structures.	1986, 1987
5. Dallas.....	Roof over medical area leaks, causing noticeable deterioration of facility.	1985, 1986, 1987

EXHIBIT G-A

Examples of Recurring Physical Plant Deficiencies
(Continued)

- | | | |
|--------------------|--|---------------------|
| 6. Pittsburgh..... | Wire mesh surrounding RHU was identified as inadequate, unsightly and unsanitary. Problems cited included the difficulty in controlling contraband, absence of protection from objects thrown down from upper levels, and the inability to remove objects from the top of screening which reportedly could result in health hazards. | 1985, 1986
1987 |
| 7. Pittsburgh..... | Certain of the outdoor recreation areas for restricted housing units are not paved. Accompanying loose gravel was cited as a potential safety and security problem. | 1985, 1986,
1987 |

a/An enclosure situated in the perimeter wall or fence of the institution, containing gates or doors at both ends, only one of which opens at a time. This method of entry and exit ensures there will be no breach in the perimeter security of the institution. The sally port may be small to accommodate only pedestrian traffic, or large enough to handle large delivery trucks.

Source: Developed by LB&FC staff from a review of a sampling of DOC Bureau of Special Services "Institution Inspection Evaluation Reports."

EXHIBIT G-B

Examples of Physical Plant Deficiencies Identified Through Internal Department of Corrections Inspections and Accreditation Audits Conducted by the American Correctional Association

I. Identified by State Correctional Institution "Narrative Summaries" Prepared in 1987:

These annual reports are prepared by DOC staff assigned to state correctional institutions and include long-range goals for the institutions as well as the identification of program and physical plant deficiencies.

Camp Hill

Underground electrical cable and emergency cable is deteriorated and requires replacement.

Main gate requires renovation.

Dallas

Perimeter lighting and high mast lighting and existing water supply system are deficient.

Frackville

Interior fencing in the exercise yard and open compound areas needs to be installed in order to ensure safe and secure inmate movement and area control.

Security screening on top of the restricted housing and mental health units' exercise areas needs to be installed and fencing should be erected to segregate these exercise areas from the general population.

Graterford

Sewage treatment plant needs expansion.

Mental Health Unit requires remodeling and renovations.

Greensburg

Modular housing units require repairs and renovations.

Purchase and install 20 stainless steel sink/commode units in cells.

*/The physical plant deficiencies listed in the Exhibit were identified by the LB&FC staff through an examination of correctional facility inspection reports. A record of the status of corrective actions taken and/or planned by the DOC in regard to these deficiencies is not maintained at the DOC Central Office level and was unavailable to the auditors.

EXHIBIT G-B

Examples of Physical Plant Deficiencies
(Continued)

I. Identified by State Correctional Institution "Narrative Summaries"
Prepared in 1987 (Cont.)

Huntingdon

Modernization of present health care facilities is needed.

Mercer

Renovation in the central and lobby areas is required to increase security.

The institution outdoor recreation area requires a fixed perimeter.

Muncy

Institution's power plant requires necessary renovations.

Waynesburg

Perimeter security fence and lighting need to be installed.

Automatic fire detection and sprinkler system in all occupied areas of the institution needs to be installed.

II. Identified by DOC Bureau of Special Services: The DOC Bureau of Special Services annually inspects all DOC staff correctional institutions. The following physical plant deficiencies were identified in the Bureau's 1986 and 1987 inspection evaluation reports.

Camp Hill

Planned renovations are needed to improve security and physical plant conditions for main gate/rear sally port areas.

Other deficiencies noted included broken and poorly fitted windows, showers in deteriorated condition, severe signs of deterioration evident in the modular housing units, rotted wooden floors, and concrete being in poor condition.

Cresson

Painting necessary in certain areas of the institution.

Inmate strip search room inadequate in size.

Elevator repair is necessary.

Ceilings in need of improvement.

Fence razor ribbon missing or, in some cases, not enough being used.

Existence of loose gates.

EXHIBIT G-B

Examples of Physical Plant Deficiencies
(Continued)

II. Identified by DOC Bureau of Special Services (Cont.)

Dallas

Shortage of water supply exists at times.
Rusted dividers were found separating urinal and commodes.
Ventilation grills need to be cleaned.
Existence of roof leaks.

Graterford

Bathroom facilities insufficient.
Rodent/vermin problem exists in kitchen/food storage areas.
Plumbing problems exist.
Ventilation problems need to be addressed.
Heating units not operational.
Leaking roofs.
Kitchen floor needs to be resurfaced.
Shower renovations necessary.
Commodes in need of repair.
Kitchen areas project poor level of sanitation.
Electrical wiring was exposed and certain electrical boxes were not covered.

Greensburg

Modular housing units show signs of extreme wear.
Personal property storage is inadequate and considered to be a serious problem.
Ceiling problems and a leaking roof were noted.
Shower regulating problems exist.
Limited space exists in the medical complex, kitchen and dining area.

Huntingdon

Ventilation fan is necessary in the armory.
Fire extinguishers need to be installed.
Leaking water was identified in front storage closet.
Windows need to be barred and/or screened to prevent possible access from main yard/outside.
Inappropriate exhaust system in the cooking area of kitchen.
Showers in deteriorated condition.
Modular housing units show severe signs of deterioration.

EXHIBIT G-B

Examples of Physical Plant Deficiencies
(Continued)

II. Identified by DOC Bureau of Special Services (Cont.)

Mercor

Installation of exhaust system is necessary.
Showers were in deteriorated condition.
Fence needs to be more adequately secured.
Planned renovations needed to improve security conditions for main gate.

Muncy

Light standards are located too close to perimeter fence.
Compressor in hall had exposed fan.
Inadequate heating exists.
Repainting necessary in specific areas.
Inmate strip search room inadequate in size.
Roof in need of repair.

Pittsburgh^{a/}

Three of the ten outdoor recreation areas for the restricted housing units are not paved.
Poor physical conditions exist in the temporary Restricted Housing Unit.
Cell block windows need to be cleaned.
Ceilings in poor condition.
Leak in roof was noted.
Inoperable air conditioner.
Fire extinguishers need to be installed.

Rockview

Floor needs to be re-surfaced in kitchen area.
Restricted Housing inmates receive only one hour of exercise indoors when weather conditions are adverse due to physical plant limitations.
Painting required due to cracked plaster and chipping.

a/During a field visit to SCI Pittsburgh in November 1987 the auditors observed what appeared to be serious deficiencies in the lighting of the institution grounds. Follow-up examination of this matter indicated that the DOC has initiated actions to resolve this problem. As of December 1987, a capital improvement lighting project had been approved and design work was scheduled to begin. The project is scheduled for completion in April 1989.

EXHIBIT G-B

Examples of Physical Plant Deficiencies
(Continued)

II. Identified by DOC Bureau of Special Services (Cont.)

Rockview (Cont.)

Plumbing problems exist.
Broken window screens/latches were noted.
Showers in poor condition.
Leak in roof was noted.

Waynesburg

Temperature control lacking in drug storage area.
Armory should be better secured.
Installation of metal detection equipment at the visiting area
would be advantageous.

III. Identified by American Correctional Association Accreditation (ACA)

Review: The American Correctional Association periodically inspects state correctional facilities against specific standards it has developed. The following deficiencies in institutions' physical plants were obtained from the results of these accreditation audits. (Eight of the thirteen active state correctional institutions have been accredited by ACA.)

Camp Hill 1987

A major construction or reconstruction of the restricted housing unit cell space is necessary to provide a minimum of 80 square feet of cell space.
The current inmate population exceeds the one-shower unit per 15 inmates standard.

Dallas 1987

Sanitation throughout the prison was found to be in noncompliance with ACA standards.
Excessive amount of combustible material was found in the cells.
During the inspection, the fire alarm system for J & K blocks was out of order.

Greensburg 1985

Unacceptable storage, control and use of flammable, toxic and caustic materials were found to exist.
Inadequate number of toilet and shower facilities for size of the inmate population.

EXHIBIT G-B

Examples of Physical Plant Deficiencies
(Continued)

III. Identified by American Correctional Association Accreditation (ACA)
Review (Cont.)

Huntingdon 1987

Certain blocks revealed vents which were blocked or filled with insulation.

Shower and toilet facilities do not meet ACA standards.

The institution does not provide required square footage for the segregated housing units.

Mercer 1987

A majority of the mattresses used in this facility contain polyurethane which is a fire safety violation.

Installation of one additional shower in two separate units is necessary for compliance with ACA standards.

There is no separate dayroom space in two modular housing units.

Muncy 1985

Several housing units have not had fire escapes installed on the second floors.

Square footage of cells and shower facilities are inadequate for the population size.

The new fence does not permit a secure enough perimeter to prevent access by general public. Additionally, visibility was considered to be inadequate, the fence is not adequately illuminated, and there is no vehicle road outside the fence.

Rockview 1986

Some cell lighting is below the acceptable levels.

Some mattresses in segregation unit were not acceptable.

Institution does not presently meet the 35 square feet per inmate for dayroom facilities standard.

Source: Developed by LB&FC staff from an examination of inspection reports on file at the DOC Central Office.

EXHIBIT G-C

Examples of Physical Plant and Related Problems Cited by the PA
Department of Environmental Resources (DER) at Selected State
Correctional Institutions

<u>Institution</u>	<u>Violations Cited of:</u>	<u>Date of Order(s)^{a/}</u>	<u>Problem(s) Cited:</u>	<u>Status^{b/}</u>
Graterford....	DER Permit Compliance and Clean Streams Law	8/18/86	SCI spray system not yet operational. Discharge from sewage treatment plant into stream not to be permitted after spray system becomes operational.	Compliance not anticipated by DOC for several years
	DER Permit Compliance	6/11/86 8/22/86	Permit requires no till cropping in spray areas but inspection determined till cropping has taken place resulting in the potential for excessive erosion. Also, spray risers and monitoring wells were not marked as required.	--
	DER Regulations and Clean Streams Law	6/9/87	Earth-moving activities accelerating erosion problems.	--
Mercer.....	Non-Compliance with National Pollutant Discharge Elimination System Permit	2/24/88	Facility's sewage treatment plant (STP) has history of non-compliance. STP is over-loaded and in violation.	--
Muncy.....	Clean Streams Law	1/8/88	Three inspections determined that there were excessive concentrations of pollutants in STP discharge due to improper plant operation.	--

EXHIBIT G-C

Examples of Physical Plant and Related Problems Cited by the PA Department of Environmental Resources (DER) at Selected State Correctional Institutions (Continued)

<u>Institution</u>	<u>Violations Cited of:</u>	<u>Date of Order(s)^{a/}</u>	<u>Problem(s) Cited:</u>	<u>Status^{b/}</u>
Rockview.....	DER/Non-Compliance with National Pollutant Discharge Elimination System Permit	5/1/87	Boiler Plant emitting excessive levels of pollutant.	--

a/Not all citations issued by DER have specific compliance dates. However, the violation of the Clean Streams Law cited on June 9, 1987, at SCI Graterford had a date when compliance was to be achieved by of July 9, 1987, and the violation of the Clean Streams Law cited on January 8, 1988, at SCI Muncy had a compliance date of January 29, 1988.

b/DOC central office staff do not maintain comprehensive records regarding the results of DER inspection activities conducted on the state correctional institutions or of the status of compliance efforts or corrective actions taken.

Source:Developed by LB&FC staff from information obtained from the Department of Correctins and through contacts with selected regional DER field offices.

EXHIBIT G-D

Information on the Status of Orders Issued by the Department of Labor and Industry
As A Result of Inspections Conducted at State Correctional Facilities

<u>Institution</u>	<u>Violations Cited of:</u>	<u>Date of Order(s)</u>	<u>Problem(s) Cited:</u>	<u>Status</u>
Cresson.....	Elevator Safety Act	10/6/88	Elevator numbers and classification information not properly posted.	DOC has no information regarding order
Dallas.....	Fire and Panic Act	9/3/87	Building occupied without occupancy permit and erected without L&I approved plans.	Work completed, awaiting L&I inspection
	Fire and Panic Act	9/4/87	Renovations of the ground floor of a building for inmate housing not in accordance with approved plans.	Drawings submitted to L&I on 1/26/88
	Fire and Panic Act	9/4/87	Construction of paint storage room not in accordance with approved plans and has eliminated access to stairway.	Variance granted by Industrial Board on 1/26/88
	Fire and Panic Act	9/4/87	Renovation of the ground floor of a building for inmate housing not in accordance with approved plans and there is an absence of remote unlocking release system on cell doors.	Variance granted by Industrial Board on 1/26/88
	Fire and Panic Act	9/4/87	Renovations of the ground floor of a building for inmate housing not in accordance with approved plans and there is an absence of remote unlocking release system on cell doors.	Variance granted by Industrial Board on 1/26/88

EXHIBIT G-D

Information on the Status of Orders Issued by the Department of Labor and Industry
As A Result of Inspections Conducted at State Correctional Facilities
 (Continued)

<u>Institution</u>	<u>Violations Cited of:</u>	<u>Date of Order(s)</u>	<u>Problem(s) Cited:</u>	<u>Status</u>
Dallas (Cont.)	Fire and Panic Act	9/4/87	Renovations of the ground floor of a building is not in accordance with approved plans and rear exit from area exceeds distance limitations.	DOC requested an extension of time from Industrial Board on 1/26/88
Graterford...	Fire and Panic Act	5/15/87	Building occupied without occupancy permit and no approved plans exist. Also, dry cleaning equipment not stored properly.	DOC requested extension of time from Industrial Board on 6/28/87
Huntingdon...	Fire and Panic Act	8/11/87	Infirmery building is occupied without occupancy permit and there are no approved plans for the building. Other deficiencies include: absence of fire doors, and absence of sufficient exits and fire alarm system.	Extension granted by Industrial Board until 12/15/88
Pittsburgh...	Dry Cleaning and Dyeing Law	10/15/87	No plans for dry clearing facility were submitted nor were necessary facility alterations made.	Variance requested but denied. SCI will make necessary modifications
Rockview.....	Fire and Panic Act	4/18/79	Cannery - no plans for additional exits submitted; exit doors are insufficient, swing in and are not equipped with panic bars.	Work completed, ready for L&I inspection

EXHIBIT G-D

Information on the Status of Orders Issued by the Department of Labor and Industry
As A Result of Inspections Conducted at State Correctional Facilities
 (Continued)

<u>Institution</u>	<u>Violations Cited of:</u>	<u>Date of Order(s)</u>	<u>Problem(s) Cited:</u>	<u>Status</u>
Rockview (Cont.)	Fire and Panic Act	4/18/79	Maintenance Bldg. - no plans for additional exits submitted; insufficient exitways.	Work completed, ready for L&I inspection
	Fire and Panic Act	4/22/82	D&W Bldg. - no plans for building alterations submitted; inadequate fire doors and insufficient exits.	Work completed ready for L&I inspection
	Fire and Panic Act	4/22/82	C Block - no plans for building alterations submitted; inadequate stairway; absence of fire alarms; exit doors stairway; absence of fire swing in; and exitways are insufficient.	Work completed, ready for L&I inspection
	Fire and Panic Act	4/22/82	B Block - no plans for building alterations submitted; inadequate stairway; absence of fire alarms; exit doors swing in; and exitways are insufficient.	Work completed, ready for L&I inspection
	Fire and Panic Act	4/22/82	Main Dining Hall - no plans for building alterations submitted, exit doors swing in.	Work completed, ready for L&I inspection
	Fire and Panic Act	4/22/82	East Wing Bldg - no plans for building alterations submitted; inadequate stairways, insufficient exitways, exit doors inadequate and, absence of fire alarm system.	Work completed, ready for L&I inspection

EXHIBIT G-D

Information on the Status of Orders Issued by the Department of Labor and Industry As A Result of Inspections Conducted at State Correctional Facilities (Continued)

<u>Institution</u>	<u>Violations Cited of:</u>	<u>Date of Order(s)</u>	<u>Problem(s) Cited:</u>	<u>Status</u>
Rockview (Cont.)	Fire and Panic Act	4/22/82	West Wing Bldg. - no plans for building alterations submitted; inadequate stairways, insufficient exitways, exit doors inadequate and, absence of fire alarm system.	Work completed, ready for I&I inspection
Smithfield...	Boiler and Pressure Vessel Act	12/9/87	Repair to boiler operation not in compliance	DOC has no information regarding order

Source: Developed by LB&FC staff from information provided by the PA Departments of Labor and Industry and Corrections.

TABLE G-2

Capital Budget Request of the PA Department of Corrections
Fiscal Years 1988-89 - 1992-93
(\$ in Thousands)

Fiscal Year 1988-89

1. New Correctional Institution #1.....	\$ 43,500
2. New Correctional Institution #2.....	43,500
3. Central Office Bldg. Addition.....	2,100
4. Life Safety Code Corrections - Graterford.....	9,700
5. Life Safety Code Corrections - Camp Hill.....	3,900
6. Life Safety Code Corrections - Huntingdon.....	3,180
7. One Cell Block - Smithfield.....	6,240
8. Second Fence and Lighting - Rockview.....	940
9. Bridge Repairs - Retreat.....	720
10. Kitchen Addition - Muncy.....	275
11. New Primary Electric Service - Graterford.....	1,500
Total.....	<u>\$115,555</u>

Fiscal Year 1989-90

1. One Cell Block - Frackville.....	\$ 6,960
2. One Cell Block - Cresson.....	5,760
3. Interior Lighting - Camp Hill.....	535
4. Phase III Renovations - Greensburg.....	3,800
5. New Boilers - Rockview.....	2,750
6. Perimeter Lighting - Mercer.....	173
7. Perimeter Lighting - Muncy.....	335
Total.....	<u>\$20,313</u>

Fiscal Year 1990-91

1. Phase III Renovations - Graterford.....	<u>\$34,500</u>
---	-----------------

TABLE G-2

DOC Capital Budget Request
(Continued)

Fiscal Year 1991-92

1. Administration Building Addition - Graterford.....	\$ 458
2. Central Training Academy.....	3,135
3. Electrical Distribution System - Graterford.....	2,500
4. Replace Steam Lines - Huntingdon.....	1,500
5. New Activities Bldg. - Muncy.....	1,008
6. Education Building Renovation - Muncy.....	263
7. Commissary & Convocation Building - Waynesburg.....	720
Total.....	<u>\$ 9,584</u>

Fiscal Year 1992-93

1. New Correctional Institution #1.....	\$ 935
2. New Correctional Institution #2.....	935
3. Replace Sewerage System - Graterford.....	2,500
4. Field House - Rockview.....	1,500
5. Replace Cell Windows - Graterford.....	3,000
6. New Warehouse - Camp Hill.....	2,500
Total.....	<u>\$11,370</u>

Note: Requested project funding shown on this table represents the DOC's "five year capital budget request" as presented in its FY1988-89 budget request. None of the projects shown on this list were recommended for funding in the Governor's FY1988-89 budget document.

Source: Developed by LB&FC staff from information presented in the Department of Corrections FY1988-89 Budget Request.

EXHIBIT G-E
DIVISION OF PRISONS

INSPECTION CHECKLIST

(Provided by the North Carolina Department of Corrections)

(County)	(Unit No.)	(Address)	(Supt.)	(Date)
A. KITCHEN AND DINING HALL			Satisfactory	Correction Needed
1. Walls, ceilings, floors, clean, in good condition			_____	_____
2. Windows, doors, clean, in good condition, properly screened			_____	_____
3. Adequate light and all lights working			_____	_____
4. Kitchen properly ventilated, window fan and its surroundings clean			_____	_____
5. Range clean, top, side, back, burners, oven in good condition			_____	_____
6. Hood clean inside, outside in good condition			_____	_____
7. Slicer, can opener, etc., clean			_____	_____
8. Tables in kitchen, dining room, clean, in good condition			_____	_____
9. Shelves, cabinets, clean, in good condition			_____	_____
10. Table legs, sink legs, other bases, clean, kept painted			_____	_____
11. Pot sink, three-compartment sink, clean, in good condition			_____	_____
12. Adequate number of submersible baskets			_____	_____
13. Adequate hot water (180°), all eating utensils sterilized			_____	_____
14. Pots, pans, utensils, clean, in good condition, well arranged on racks			_____	_____
15. Eating utensils clean, covered, in good condition			_____	_____
16. Temperature between 26° and 36° in refrigerator			_____	_____
17. Food properly stored in refrigerator, deep freezer			_____	_____
18. Floors, shelves, racks, clean in refrigerator and deep freezer properly maintained			_____	_____
19. Food properly stored, storage facilities clean			_____	_____
20. Food storage facilities locked when not in use. Keys in possession of employees.			_____	_____
21. Food storage containers clean, free of bugs			_____	_____
22. Flies, mice, other vermin, not present			_____	_____
23. Garbage facilities clean, in good condition: Proper handling of garbage			_____	_____
24. Lavatory, soap, towels, available for washing hands in kitchen			_____	_____
25. Inmate kitchen personnel dressed in clean white uniforms			_____	_____
26. Cooks prohibited use of tobacco products while preparing food			_____	_____
27. Inventory of cutting tools (knives, cleavers, saws, etc.) properly stored			_____	_____
28. Grease trap properly maintained			_____	_____
29. Insecticides, disinfectants, etc., stored in proper location			_____	_____
30. Guest meal receipts properly handled, proper records kept			_____	_____
31. Meals according to master menu, master menu posted, pork items clearly marked and substitutions noted			_____	_____
B. INMATE HOUSING				
Lobby, Halls, and Stairs				
1. Floors, walls, ceilings, clean, in good condition			_____	_____
2. Doors, windows, clean, screened, in good condition, illumination adequate			_____	_____
3. Furniture clean, in good condition			_____	_____
4. Inmate bulletin board			_____	_____
Dormitories, Sick Room, Cells				
1. Furniture clean, in good condition			_____	_____
2. Floors, walls, ceilings, clean, in good condition			_____	_____
3. Doors, windows, clean, screened, in good condition			_____	_____
4. Heat, illumination, adequate			_____	_____
5. Beds, bedding, clean, neatly made, in good condition, fire resistant mattresses			_____	_____
6. Lockers clean, orderly, in good condition			_____	_____
7. Adequate drinking water facilities			_____	_____
8. Television, musical instruments, books, etc., properly handled			_____	_____
9. No mice, roaches, or other vermin			_____	_____

EXHIBIT G-E (Cont.)

- Satisfactory**

**Correction
Needed**

The overall condition, given the age of the structure, is very good. Ongoing routine maintenance repairs were evident in all areas. Cleanliness through the institution has improved this quarter, with special attention given to closets and other storage areas.

DATE: _____

REVIEW

DATE: _____

Source: Provided to LB&FC staff by the North Carolina Department of Corrections.

H. INMATE SAFETY IN THE CORRECTIONAL SYSTEM ENVIRONMENT: NEEDED IMPROVEMENT

FINDING: As stated in a National Institute of Justice manual, prisons should strive to assure inmates of freedom from fear of injury or extortion by other inmates and to reduce incidents of victimization.^{1/} Accordingly, one of the goals of the Department of Corrections (DOC) is to manage all of their facilities in a safe, secure and humane manner. The DOC has established certain policies and procedures to ensure that this goal is achieved, particularly related to reducing incidents of inmate victimization. This is evidenced by: 1) efforts to separate inmates who need protection from other inmates and to acquire special housing for these inmates; 2) specific staff plans to upgrade related training; and 3) investigation of allegations of inmate abuse by staff and imposition of disciplinary actions accordingly (from January 1984 through March 1987, five incidents of disciplinary actions occurred against employees for unlawful or excessive use of force); see Exhibit H-A and Table H-1. It appears, however, there is needed improvement in the Department's efforts to guard against inmate victimization within its institutions. According to "The Corrections Yearbook," Pennsylvania's correctional system ranked second highest in CY 1986 in the total number of inmate-inmate assaults among the jurisdictions which reported such data (see Table H-2). The auditors received input on inmate victimization experiences through dissemination of an LB&FC questionnaire to a sampling of inmates, and Exhibit H-B briefly illustrates selected inmate responses to this questionnaire. Other information provided to the auditors from inmates, for example, illustrates the extent of alleged assaultive behavior occurring at the institutions and inmates' fear of victimization; Exhibit H-C illustrates an account of this phenomenon as developed by the LB&FC from information provided by one of a number of inmates providing similar information. Means used by the DOC for protecting inmates who fall victim to predatory inmates include: 1) placement of inmates in Restricted Housing Units (RHU) under administrative custody by the DOC or upon the victimized inmate's request and DOC approval; and 2) placement in the general population with the stipulation that activities be more closely monitored by correctional officers.^{2/} A DOC official reported that because of lack of available space such RHU housing arrangements may not always be available

^{1/}"Measuring Prison Results-Ways to Monitor and Evaluate Corrections Performance," U.S. Department of Justice, National Institute of Justice, June, 1981.

^{2/}The DOC also can arrange for inmate transfers (either the victim or the perpetrator) to other institutions as a means to protect inmates from abuse by other inmates.

to accommodate all inmates in need of protection and further indicated that there is no centralized information in regard to the number of inmates currently housed or in need of such protection.^{3/} In recognition of its additional needs to protect inmates, the DOC requested in its FY 1988-89 Budget Request a program revision request initiative to create a 44 bed Protective Custody Unit at SCI Muncy which is designed to receive inmates from throughout the correctional system. Reportedly, this unit would provide in-house rehabilitative programming. This nearly \$600,000 request, however, was not included in the Governor's Executive Budget. This initiative appears noteworthy in that the Department's current means for protecting inmates by placing them in RHU under protective custody results in inmates not receiving adequate rehabilitative programming as would be afforded inmates housed in general population because inmates generally do not have access to rehabilitative programming while housed in RHU. Another DOC activity related to the protection of the inmate is that the Department currently provides initial training for staff in communication skills and other means for interacting with inmates through non-hostile means and also provides related annual training for staff; a need to improve staff skills in controlling the level of inmate abuse has nonetheless been recognized by the Department. Reportedly, the DOC plans to upgrade correctional officer and staff training to more adequately emphasize the issue of inmate abuse. According to DOC officials, such training course content will include a greater emphasis on development of communication skills and controlling hostile situations through the use of nonphysical means. Implementation of this training is reportedly expected to begin in July 1988.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. FUNDING BE PROVIDED FOR THE OPERATION OF A PROTECTIVE CUSTODY UNIT FOR THOSE INMATES IN NEED OF SUCH PROTECTION AS ORIGINALLY REQUESTED IN THE DEPARTMENT'S FY 1988-89 AGENCY BUDGET REQUEST (AT A COST OF APPROXIMATELY \$600,000).
2. THE DEPARTMENT OF CORRECTIONS DEVELOP AND MAINTAIN CENTRALIZED INFORMATION (VIA COMPUTER) ON THE NUMBER OF INMATES REQUESTING OR OTHERWISE REQUIRING PROTECTIVE CUSTODY OR SIMILAR ISOLATION FROM PREDATORY INMATES AND THE NUMBER ACTUALLY RECEIVING SUCH PROTECTIVE HOUSING. USING THIS

^{3/}Each State Correctional Institution maintains information on the number of inmates housed in protective custody. Table H-3 is a compilation of the number of inmates (185 as of March 7, 1988) housed in protective and self confinement custody at the State Correctional Institutions.

DATA, THE DEPARTMENT SHOULD DEVELOP AND MAINTAIN ESTIMATES OF FUTURE HOUSING AND PROGRAM NEEDS IN THIS AREA. SUCH PROGRAM PLANNING SHOULD BE USED BY THE DEPARTMENT TO FURTHER PURSUE EXPANSION OF ITS ABILITY TO PROVIDE PROTECTIVE CUSTODY OR OTHER ISOLATED HOUSING UNITS FOR THOSE INMATES NEEDING PROTECTION FROM PREDATORY INMATES. THESE SPECIAL HOUSING UNITS SHOULD ^{*/}TO THE EXTENT POSSIBLE PROVIDE EQUAL ACCESS TO REHABILITATIVE PROGRAMS.

3. THE DEPARTMENT OF CORRECTIONS CONTINUE ITS PLANS TO IMPLEMENT SPECIFIC STAFF TRAINING TO IMPROVE STAFF SKILLS IN CONTROLLING THE LEVEL OF INMATE ABUSE.

^{*/}Amendment to the Criminal History Record Information Act (CHRIA), 18 Pa.C.S.A. §9101 *et seq.*, may be required to implement any computerization aspects of this recommendation since this Act prohibits the collection of intelligence, investigative and treatment information "in any automated or electronic criminal justice information system."

EXHIBIT H-A

Department of Corrections' Bureau of Special Service Investigations of
Employees Related to Sexual Misconduct or Abuse of Inmates, CY 1982-1987

<u>Institution</u>	<u>Year</u>	<u>Allegation</u>	<u>Outcome</u>
Camp Hill.....	1987	Violation of Code of Ethics concerning horseplay and mock hanging of inmates.	Employee suspended ten days. District attorney refused to prosecute.
Camp Hill.....	1987	Employee allegedly raped an inmate.	Employee terminated and case referred to district attorney. No prosecution.
Dallas.....	1987	Employee allegedly harassed selected inmates and made racial slurs.	Inmates received misconducts for falsifying allegations.
Graterford.....	1987	Inmate allegedly assaulted by staff after an employee was attacked.	Disciplinary action pending. District attorney declined criminal prosecution.
Graterford.....	1987	Use of excessive force against inmate.	Disciplinary action taken.
Muncy.....	1987	Employee was sexually involved with an inmate.	Disciplinary action taken.
Pittsburgh.....	1987	Inmate allegedly assaulted by 3 officers.	Unsubstantiated allegation.
Pittsburgh.....	1987	Staff allegedly made ethnic slurs against an inmate.	No improprieties found.
Waynesburg.....	1987	Sexual improprieties between an employee and an inmate.	Employee resigned.
Waynesburg.....	1987	Female employee was sexually involved with female inmates.	Employee resigned.
Waynesburg.....	1987	Inmate alleged staff member sexually assaulted her while in a youth development center.	Inmate transferred.
Waynesburg.....	1987	Fraternization, employee took sexual liberties with inmates.	Disciplinary action taken. Referred to district attorney
Waynesburg.....	1987	Fraternization, sexual improprieties between staff and inmate.	No improprieties discovered.
Camp Hill.....	1986	Employee allegedly solicited inmates for sexual favors.	Insufficient evidence acquired for administrative hearing.
Greensburg.....	1986	Four employees alleged to have used excessive force against an inmate and to have made false reports.	Referred to district attorney. No prosecution. Subjects received suspension.
Huntingdon.....	1986	Inmate alleged prior corruption and assault.	Unsubstantiated.
Huntingdon.....	1986	Inmate alleged several beatings by officers.	Unsubstantiated.

EXHIBIT H-A

Department of Corrections' Bureau of Special Service
Investigations of Employees Related to Abuse of Inmates, CY 1982-1987
 (Continued)

Institution	Year	Allegation	Outcome
Muncy.....	1986	Inmate alleged sexual relationship with an employee.	Employee resigned.
Muncy.....	1986	Physical, emotional and pecuniary involvement between staff and inmate.	Employee resigned.
Muncy.....	1986	Employee became sexually involved with a parolee while parolee was on fugitive status.	Employee suspended. Inmate arrested.
Muncy.....	1986	Employee involved in sexual relationship with parolee.	Subject suspended.
Central Office..	1986	Employee involved in sexual relationship with an inmate while on parole and furlough status.	Employee resigned.
Dallas.....	1985	Employee allegedly fondled an inmate.	Employee counseled.
Graterford.....	1985	Inmate allegedly assaulted by officer.	Employee received administrative discipline.
Graterford.....	1985	Inmate attacked an officer. Alleged that he later received retribution beatings.	Referred to district attorney. Declined prosecution. No disciplinary action taken.
Greensburg.....	1985	Officer allegedly committed sexual act on an inmate.	Allegation not substantiated.
Pittsburgh.....	1985	Alleged that abuse of inmates is condoned.	Unsubstantiated.
Waynesburg.....	1985	Harassment and sexual play between an employee and inmates.	Employee counseled.
Dallas.....	1984	Employee allegedly solicited an inmate for sex.	Employee admitted horseplay only.
Pittsburgh.....	1984	Inmate claimed sexual involvement with a female employee.	Unsubstantiated.
Waynesburg.....	1984	Allegation that officer abandoned his post and had sexual relations with an inmate.	Officer demoted and furloughed.
Camp Hill.....	1983	Several officers allegedly assaulted 12 different inmates after a disturbance.	Insufficient evidence obtained to prosecute or discipline. Case went before a grand jury.
Graterford.....	1983	Two employees allegedly assaulted an inmate.	Employees suspended. Reinstated because of a lack of evidence.

EXHIBIT H-A
Department of Corrections' Bureau of Special Service
Investigations of Employees Related to Abuse of Inmates, CY 1982-1987
(Continued)

Institution	Year	Allegation	Outcome
Huntingdon.....	1983	Civil suit alleging numerous assaults on inmates.	Unsubstantiated.
Huntingdon.....	1983	Use of excessive force on inmates by three officers.	Unsubstantiated.
Muncy.....	1983	Physical interchange between an officer and an inmate.	Unsubstantiated. Verbal altercation only.
Muncy.....	1983	Two employees allegedly involved in a sexual relationship with an inmate.	Substantiated. Both employees resigned.
Pittsburgh.....	1983	Employee allegedly performed sexual act on inmates.	Employee admitted to Code of Ethics violation and resigned.
Camp Hill.....	1982	Criminal introduction of contraband for homosexual purposes.	District attorney refused criminal prosecution. Subject suspended.
Camp Hill.....	1982	Inmate alleged assault by two officers.	Only necessary force used.
Graterford.....	1982	Employee alleged to have attempted to intimidate inmate after a hostage situation.	Not substantiated.
Graterford.....	1982	Inmate allegedly assaulted by staff after riot.	Not substantiated.
Graterford.....	1982	Inmate alleged assault by staff.	Only necessary force used.
Graterford.....	1982	Inmate alleged assault by correctional officer.	Disciplinary action taken.
Huntingdon.....	1982	Inmate alleged assault by officers.	Not substantiated.
Huntingdon.....	1982	Inmate alleged threat against his life by Deputy of Operations.	Unsubstantiated.
Huntingdon.....	1982	Inmate alleged assault by officers and refusal of medical treatment.	Unsubstantiated.
Muncy.....	1982	Parole employees allegedly made sexual advances to several inmates.	Employees transferred to other parole offices.
Muncy.....	1982	Education Department employee alleged to have sexually fondled inmates.	Employee received verbal reprimand.
Pittsburgh.....	1982	Inmate alleged officers assaulted him.	Insufficient evidence.
Mercer.....	1982	Alleged employee assaulted inmate.	Employee dismissed and prosecuted.

Source: Developed by LB&FC staff from information on criminal and administrative investigations conducted by the Department of Corrections' Bureau of Special Services, CY 1982 through CY 1987.

TABLE H-1

Disciplinary Actions Taken at State Correctional Institutions for
Unlawful or Excessive Use of Force by DOC Staff, January 1, 1984, through late March 1987^{*/}

Institution	1/1/84 thru 6/30/84		FY 1984-85		FY 1985-86		FY 1986-87 thru late March '87	
	Use of Force	Other	Use of Force	Other	Use of Force	Other	Use of Force	Other
Camp Hill.....	0	0	0	6	0	0	1	16
Dallas.....	0	3	0	11	0	14	0	13
Graterford....	0	40	1	103	0	62	0	34
Greensburg....	0	1	0	5	0	7	2	4
Huntingdon....	0	1	0	7	0	14	0	7
Mercer.....	0	3	0	7	0	1	1	4
Muncy.....	0	0	0	5	0	7	0	3
Pittsburgh....	0	9	0	17	0	17	0	9
Rockview.....	0	5	0	1	0	5	0	6
Waynesburg....	<u>0</u>	<u>0</u>	<u>0</u>	<u>4</u>	<u>0</u>	<u>7</u>	<u>0</u>	<u>1</u>
Total.....	0	62	1	166	0	134	4	97

GRAND TOTAL (all years) 459

^{*/}Fiscal year in which employee received disciplinary action; incident for which discipline was rendered may have occurred in a prior fiscal year.

Source: Developed by LB&FC staff from information compiled by the Department of Corrections.

TABLE H-2

Comparison of Reported Assault Rates for
Selected States, Calendar Year 1986^{a/}

<u>State</u>	<u>Inmate-Inmate Assaults</u>	<u>Total Assaults</u>
Maryland..... ^{b/}	1,448	1,882
PENNSYLVANIA.....	1,376	1,715
Florida.....	1,315	1,708
Alabama.....	963	1,221
North Carolina.....	937	937
Illinois.....	659	1,676
Connecticut.....	647	1,044
New York.....	613	1,741
Washington.....	487	670
Arkansas.....	460	1,007
Michigan.....	432	1,438
South Carolina.....	424	614
Mississippi.....	396	396
Oklahoma.....	384	384
Federal System.....	374	605
Georgia.....	372	508
Indiana.....	368	500
Virginia.....	362	656
Iowa.....	321	629
New Mexico.....	275	629
Texas.....	266	266
District of Columbia.....	245	396
Missouri.....	227	348
Oregon.....	208	224
Arizona.....	155	185
Tennessee.....	147	246
Wisconsin..... ^{c/}	99	346
Minnesota.....	79	117
Nebraska.....	74	202
Wyoming.....	71	71
West Virginia.....	56	87
Kentucky.....	50	119
Ohio.....	44	442
Colorado.....	41	45
Utah.....	25	31
Montana.....	17	20
South Dakota.....	13	13
Idaho.....	10	12
New Hampshire.....	8	13
North Dakota.....	4	5
California.....	d/	982
Louisiana.....	d/	202
Rhode Island.....	d/	108
New Jersey.....	d/	90
Maine.....	d/	41
Hawaii.....	d/	22

^{a/}Total assaults include inmate-inmate and inmate-staff assaults.

^{b/}Total includes only serious assaults where medical treatment was required.

^{c/}Inmate assaults include injury only.

^{d/}Did not report such information.

Source: Developed by the LB&FC from The Corrections Yearbook for 1987.

EXHIBIT H-B

Selected Comments from Inmates Concerning Their Victimization Experiences in Response to an LB&FC Questionnaire

The worst things are that I was sexually assaulted twice and I am forced to remain locked-up and cannot take advantage of the programs here.

I had to stop another inmate ... cause he violated my manhood.

Major threat comes from being double celled with unstable inmate.

I was sexually harassed and beaten up.

Guards are too few to be of any deterrent for violence plus the fact that weapons are numerous. To be frank it's very easy to get killed here.

Anyone at any time can get your cell door opened, whether you are in or not, even when you are sleeping.

A majority of the time the officials turn their heads on homosexual attacks, and physical beatings.

The double cell system cannot provide safety cause sometime you be forced to live with someone that you don't know or get along with.

The double cell housing system increase(s) a great risk to be attacked by your fellow inmate, guards are never around.

An inmate walked up to another inmate, in the mess hall, hit him over the head 7 times with 2x4.

Inmates are in danger from other inmates at any time. Guards don't care.

The safety is good when you are protecting an inmate from another inmate, but not so good when you are protecting inmate from a guard.

They have many of guards, but none seem to want to stop the homosexuality here.

From what I've seen with my own eyes, there are a lot of fights. And when someone goes to the hole they get beat up when they are there by the guards.

Let's put it this way, if you mind your own business it's good. But if not, an inmate can get to you wherever you are at. Because I've seen it happen too many times.

Source: Selected by LB&FC Staff from comments received in response to an LB&FC Questionnaire sent to a sample of inmates of State Correctional Institutions.

EXHIBIT H-C

Example Illustration of an Inmate's Alleged Victimization Experience

Prefatory note: What follows is an illustration developed by the auditors based on one inmate's account of an alleged sexual assault within Pennsylvania's correctional system. During the audit the auditors received similar information (illustrating various forms of victimization experiences) from many inmates. In order to protect the confidentiality of the inmate informant, the auditors have not identified the name of the inmate providing this information, the name of the state correctional institution where the alleged incident occurred or the date of the alleged incident. Also certain minor adjustments in the alleged circumstances have been made, likewise, to protect the identity of the alleged victim.

Inmate A (victim) was assaulted by Inmate B (perpetrator) when the perpetrator entered the cell of the victim and threatened to engage in sexual intercourse with him. When the victim refused to submit to the perpetrator, he was beaten with the perpetrator's fists. The victim reported that the beating was interrupted when Inmate C, who was a friend of his, approached the cell door where the incident was taking place. The perpetrator fled from the cell at this time.

One day after the incident, the victim reported the incident to the lieutenant assigned to the block as well as the block sergeant. He reported that he had caused a fight and been injured. The victim was issued one misconduct report for engaging in a fight and another misconduct report for lying to an officer. The perpetrator was issued a misconduct report for fighting.

At the misconduct hearing, the victim testified favorably on behalf of his perpetrator because he feared that, if he did not, he could be injured worse than he had been. The Institution's hearing examiner ruled in favor of the perpetrator and dismissed the misconduct that had been filed against the alleged perpetrator. The victim's misconduct issued for lying to an officer was dismissed, but the misconduct issued for engaging in a fight was upheld. The hearing examiner imposed a sanction on the alleged victim.

While on cell restriction, the victim experienced a second sexual harassment encounter from the same perpetrator. At this point the perpetrator allegedly did succeed in sexual physical contact with the victim. The victim reported that he was emotionally unable to deal with this situation and wanted to kill himself; the victim committed himself to a mental health facility and, once there, attempted suicide.

The victimized inmate reported that after returning to the correctional institution the perpetrator had verbally harassed him at a later date, and on one occasion the victim's friend (Inmate C) came to his rescue a second time. The perpetrator had again left the scene because of the friend's presence.

The victimized inmate did not provide the auditors with information which would indicate whether or not his friend was protecting him in return for compensation. The inmate indicated that he felt it was wrong for the institution to not protect him from the physical abuse and sexual threats occurring at the institution.

TABLE H-3

Number of Inmates Confined in Protective Custody or Self-
Confinement at State Correctional Institutions (as of March 7, 1988)

<u>Institution</u>	<u>Number of Inmates</u>
1. Camp Hill	12
2. Cresson	0
3. Dallas	39
4. Frackville	1
5. Greensburg	3
6. Graterford	16
7. Huntingdon	55
8. Mercer	0
9. Muncy	0
10. Pittsburgh	58
11. Retreat	1
12. Rockview	0
13. Smithfield	Not Activated
14. Waynesburg	<u>0</u>
TOTAL	<u>185</u>

Source: Developed by LB&FC Staff from information provided by the Department of Corrections.

I. NEED TO RESTRUCTURE, EXPAND AND MODERNIZE THE CORRECTIONAL INDUSTRIES PROGRAM

FINDING: One of the functions of the PA Department of Corrections (DOC) is to provide employment and vocational training opportunities for inmates committed to its custody. Programs have historically been operated within the state correctional system in PA to provide for inmate jobs, vocational education and trades instruction. Such programs are intended to reduce inmate idle time and assist inmates to acquire knowledge and job skills that will increase the likelihood of their successfully assuming work opportunities upon release. One of the most important programs of this type is the correctional industries program. As operated by the DOC, the stated mission of the PA Correctional Industries Program (PENCOR) is "to employ and train inmates through the operation of and earnings from industries producing quality products and services." Employment, training and experience provided through PENCOR are to "simulate private industry to the extent possible" and be "appropriate to post-release employment." As of early 1988, the PENCOR Program involved 38 separate industry operations at 8 of the 13 state correctional institutions (SCIs). Among the industries being operated within the SCIs were textiles, metal products, farming, broom and brush making, printing, manufacture of license plates and traffic signs and the manufacturing and repairing of shoes. (See Table I-2) As required by law, proceeds from goods produced through inmate labor are deposited into a special fund known as the Manufacturing Fund. The PENCOR Program is in essence a business-type enterprise. It is a self-sustaining operation financed primarily through revenues which result from its business operations (i.e., its product sales). While presently meeting the basic goal of being self-sustaining, the auditors noted that the program appears to be falling short of its stated objectives in certain other important areas and that opportunities for improvement exist which could increase profitability and provide for program expansion. DOC's mission statement for the PENCOR Program indicates that the program is to "provide opportunities adequate to employ all inmates made available for work at each location...." As of December 1987, a relatively small percentage (10%) of the total inmate population incarcerated at SCIs was employed in the PENCOR Program and correctional industries programs were not in operation at 5 SCIs. Inmate employment in correctional industries ranged from 1% and 2% at SCIs Greensburg and Muncy to 17% and 18% at SCIs Huntingdon and Graterford respectively (see Table I-1) with waiting lists for correctional industries positions reportedly existing at most institutions. The mission statement for the PENCOR Program also provides objectives in such areas as market development, planning, quality control, modernization of equipment and facilities and other topics which would appear to be typical of matters and concerns generally associated with a

private sector business organization. The DOC does not, however, formally measure attainment of these objectives and has not structured the PENCOR Program in a traditional business organization sense. Additionally, the program lacks a "business plan" to guide its operations. As shown on Exhibit I-B, additional deficiencies in the program were identified by the auditors in such areas as safety programming, quality control and capital improvements and expansion. In the absence of correctional industries programs, institutional employment and vocational education programs available to inmates are limited to vocational education employment, custodial and maintenance jobs and on-the-job instruction provided by DOC tradesman instructors. This situation contributes to the problem of inmate idleness and limits the potential acquisition by inmates of job skills which could enhance their employability upon release.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. THE DOC FUNDAMENTALLY RESTRUCTURE THE CORRECTIONAL INDUSTRIES (PENCOR) PROGRAM TO OPERATE IT ON THE MODEL OF A PRIVATE SECTOR BUSINESS ENTERPRISE. TO THIS END THE FOLLOWING STEPS ARE SUGGESTED:
 - a. RESTRUCTURING OF THE CORRECTIONAL INDUSTRIES ORGANIZATIONAL SCHEME. THE TRADITIONAL GOVERNMENT STAFFING STRUCTURE WITHIN WHICH THE BUSINESS OF THE CORRECTIONAL INDUSTRIES PROGRAM IS CARRIED OUT SHOULD BE CONVERTED TO AN ORGANIZATIONAL STRUCTURE WHICH IS REFLECTIVE OF A PRIVATE SECTOR BUSINESS MODEL. TO FURTHER ESTABLISH A BUSINESS MANAGEMENT ENVIRONMENT FOR THE PROGRAM IT IS RECOMMENDED THAT A CORRECTIONAL INDUSTRIES "BOARD OF DIRECTORS" BE CREATED WITH THE COMMISSIONER OF CORRECTIONS SERVING AS THE CHAIRMAN. MEMBERSHIP ON THE BOARD SHOULD INCLUDE THE DOC'S DEPUTY COMMISSIONERS, REPRESENTATIVES FROM THE INSTITUTIONAL SUPERINTENDENTS, KEY DOC PROGRAM STAFF AND PERHAPS LEGISLATIVE AND PUBLIC REPRESENTATION. IT IS ALSO SUGGESTED THAT THE POSITION OF DIRECTOR OF THE BUREAU OF CORRECTIONAL INDUSTRIES BE UPGRADED TO EXECUTIVE DIRECTOR OF THE PENCOR PROGRAM AND THAT DEPUTY DIRECTOR POSITIONS FOR MARKETING AND OPERATIONS BE CREATED.
 - b. DEVELOPMENT OF A "BUSINESS PLAN" FOR CORRECTIONAL INDUSTRIES OPERATIONS. A FORMAL PLANNING PROCESS SHOULD BE INITIATED FOR THE PENCOR PROGRAM. THIS PROCESS SHOULD INCLUDE THE PREPARATION OF A FORMAL "BUSINESS PLAN"^{a/} FOR THE CORRECTIONAL INDUSTRIES PROGRAM. THE DEVELOPMENT OF SUCH A PLAN, WHICH IS ACCEPTED PRACTICE

^{a/}According to a publication of the American Management Association, a "business plan" is needed to provide "a logical and rational sense of direction for a firm." Such a plan is further described as a "set of management decisions about what a firm will be doing to be successful." See Exhibit I-E for an outline of a business plan document.

IN PRIVATE SECTOR BUSINESS OPERATIONS, SHOULD BE ACCOMPLISHED AND MAINTAINED BY CORRECTIONAL INDUSTRIES MANAGEMENT STAFF WITH INPUT FROM AND THE APPROVAL OF THE BOARD OF DIRECTORS RECOMMENDED ABOVE. CONSIDERATION SHOULD ALSO BE GIVEN BY THE DOC TO ENGAGING THE SERVICES OF A PRIVATE BUSINESS MANAGEMENT CONSULTING FIRM TO ADVISE AND ASSIST IN THE INITIAL DEVELOPMENT OF THE "BUSINESS PLAN" AND TO BE AVAILABLE ON A CONSULTING BASIS DURING THE EARLY STAGES OF IMPLEMENTATION OF THE PLAN. IT IS FURTHER RECOMMENDED THAT THE PLAN WHICH IS DEVELOPED:

- INCLUDE BOTH ANNUAL AND LONG-RANGE COMPONENTS.
- TAKE INTO ACCOUNT THE DEFICIENCIES CITED AND RECOMMENDATIONS MADE IN A 1983^{b/} CONSULTANT STUDY OF THE PA CORRECTIONAL INDUSTRIES PROGRAM. (A FORMAL ASSESSMENT AND WRITTEN INFORMATION INDICATING THE DOC'S RESPONSE TO THE CONSULTANT RECOMMENDATIONS SHOULD BE MADE TO SERVE AS A REFERENCE POINT IN THE PROPOSED "BUSINESS PLAN" PROCESS.)
- ADDRESS THE VARIOUS BASIC ELEMENTS OF A "BUSINESS PLAN" INCLUDING, FOR EXAMPLE, PROGRAM GOALS AND STRATEGIES, A SALES AND REVENUE PLAN, AN ORGANIZATION AND MANAGEMENT PLAN AND FINANCIAL AND PRODUCTION PLANS. (SEE EXHIBIT I-E.)

c. ESTABLISHMENT OF A FORMAL QUALITY ASSURANCE PROGRAM FOR CORRECTIONAL INDUSTRIES. THIS QUALITY CONTROL PROGRAM SHOULD BE UNIFORM AND STANDARDIZED WITH WRITTEN GUIDELINES FOR USE BY EACH OF THE PENCOR MANAGERS AT THE INSTITUTIONAL LEVEL WITH A FORMAL MONITORSHIP CONTROL AT THE DOC CENTRAL OFFICE AND A STRUCTURED QUALITY ASSURANCE REPORTING SYSTEM. CONSIDERATION SHOULD ALSO BE GIVEN TO THE ESTABLISHMENT OF A QUALITY CONTROL ENGINEER POSITION OR POSITIONS FOR THE PROGRAM.

2. AS PART OF THE "BUSINESS PLAN" DEVELOPMENT PROCESS, THE DOC CARRY OUT A FORMAL REVIEW AND REASSESSMENT OF THE PENCOR PROGRAM "INDUSTRY MIX." A PRIMARY OBJECTIVE OF THIS PROCESS SHOULD BE TO IDENTIFY INDUSTRY OPERATIONS THAT WILL PROVIDE MAXIMUM OPPORTUNITIES FOR PROGRAM PROFITABILITY, EXPANSION AND MODERNIZATION AND FOR MEANINGFUL INMATE WORK EXPERIENCE. IN THIS PROCESS IT IS SUGGESTED THAT:

^{b/}In 1983, a private firm under contract to the DOC (The John R. Wald Co., Inc.) conducted a review of the Correctional Industries program. This project was primarily intended to assist the DOC in developing plans for correctional industries expansion within the context of planned system expansion (i.e., construction of new institutions, expansion of existing institutions and conversion of other state facilities to correctional institutions).

- a. CONSIDERATION BE GIVEN TO THE CORRECTIONAL INDUSTRIES "INDUSTRY PLAN" WHICH WAS DEVELOPED FOR THE DOC BY A PRIVATE CONSULTANT FIRM IN 1983 AS WELL AS TO THE RECOMMENDATIONS MADE BY THE DOC'S "NEW INDUSTRIES COMMITTEE" IN 1985 IN ORDER TO DETERMINE THEIR APPLICABILITY TO THE CURRENT PENCOR SITUATION.
 - b. THE NATURE OF THE PRESENT CORRECTIONAL INDUSTRY PROGRAM MIX BE EXAMINED FOR COMPATIBILITY WITH THE COMPOSITION AND NEEDS OF THE CURRENT STATE ECONOMY AND PRIVATE SECTOR LABOR MARKET (FOR EXAMPLE, AS REFLECTED IN STATISTICS AND REPORTS AVAILABLE FROM THE PENNSYLVANIA DEPARTMENT OF LABOR AND INDUSTRY). A 1983 CONSULTANT REPORT PREPARED FOR THE DOC SUGGESTED THAT THESE STATISTICS CAN PROVIDE "ADDITIONAL SUBSTANCE TO PLANNING AND PROMOTING CORRECTIONAL INDUSTRIES WITHIN THE COMMONWEALTH." PARTICULAR ATTENTION SHOULD BE GIVEN TO COMPARING THE EXTENT TO WHICH CURRENT INDUSTRIES "SIMULATE PRIVATE INDUSTRY" AND PROVIDE JOB OPPORTUNITIES THAT ARE "APPROPRIATE TO POST RELEASE EMPLOYMENT."
 - c. SPECIAL ATTENTION BE GIVEN TO A REVIEW OF CURRENTLY OPERATIONAL DEFICIT INDUSTRIES (SUCH AS THE FARMING OPERATION) AND THAT APPROPRIATE ADJUSTMENTS BE MADE TO THE INDUSTRY MIX WITH THE INTENTION OF INCREASING PROFITABILITY WITHIN THE PROGRAM. IN 1983 A CONSULTANT RECOMMENDED THAT CORRECTIONAL INDUSTRIES PRODUCT LINES "BE EVALUATED TO DETERMINE POTENTIAL MARKET VOLUME, CURRENT SPECIFICATIONS AND PRICING." IT WAS RECOMMENDED THAT PRODUCTS THEN "BE TERMINATED, CONTINUED AS IS, OR REDESIGNED PER THE MOST MARKETABLE SPECIFICATIONS."
3. THE DOC EXPLORE WITH THE GOVERNOR'S OFFICE OF THE BUDGET AND HOUSE AND SENATE APPROPRIATIONS COMMITTEES THE POSSIBILITY OF THE INVESTMENT OF GENERAL FUND MONIES (IN THE FORM OF A LOAN) TO BE USED FOR EXPANSION AND MODERNIZATION OF THE CORRECTIONAL INDUSTRIES PROGRAM. THE COMPLETION OF A BUSINESS PLAN AS DISCUSSED IN # 1-b ABOVE SHOULD PRECEDE ANY DECISION REGARDING THE PROVISION OF A LOAN FROM THE GENERAL FUND. THE INITIAL BUSINESS PLAN DEVELOPMENT PROCESS SHOULD INCLUDE PROJECTIONS OF THE FISCAL RESOURCES (ABOVE AND BEYOND MONIES PROJECTED TO BE AVAILABLE FROM THE MANUFACTURING FUND) WHICH WOULD BE REQUIRED TO EXPAND AND MODERNIZE THE PENCOR PROGRAM. THE PLAN SHOULD ALSO INCLUDE A PROJECTION OF THE TIME WHICH WOULD BE REQUIRED TO REPAY THE GENERAL FUND LOAN.
 4. IN CONJUNCTION WITH THE INCREASED EMPHASIS ON BUSINESS METHODS AND OPERATIONS AND THE REASSESSMENT OF THE PENCOR PROGRAM "INDUSTRY MIX," THE DOC TAKE AGGRESSIVE ACTIONS TO SEEK TO INCREASE THE PERCENTAGE OF THE INMATE POPULATION WHICH IS EMPLOYED IN CORRECTIONAL INDUSTRIES. TARGET GOALS FOR INCREASING INMATE EMPLOYMENT LEVELS SHOULD BE ESTABLISHED AND MONITORED ON AN INSTITUTION BY INSTITUTION BASIS. IN THIS REGARD, PRIORITY ATTENTION SHOULD BE GIVEN TO ESTABLISHING CORRECTIONAL INDUSTRIES PROGRAMS AT THE FIVE INSTITUTIONS AT WHICH SUCH PROGRAMS DID NOT EXIST AS OF MARCH 1988.
 5. THE DOC SHOULD CONSIDER THE ESTABLISHMENT OF A SPECIAL ONGOING ADVISORY BODY FOR PURPOSES OF PROVIDING INPUT TO THE CORRECTIONAL INDUSTRIES

BOARD OF DIRECTORS PROPOSED IN RECOMMENDATION #1. THIS ADVISORY GROUP SHOULD INCLUDE CORRECTIONAL INDUSTRIES STAFF REPRESENTATIVES FROM EACH SCI AND OFFICIALS OF VARIOUS STATE AGENCIES SUCH AS THE DEPARTMENT OF GENERAL SERVICES AND THE GOVERNOR'S OFFICE OF THE BUDGET AND OTHER PUBLIC AGENCIES WHICH ARE MAJOR PURCHASERS OR POTENTIAL BUYERS OF CORRECTIONAL INDUSTRIES PRODUCTS. REPRESENTATION ON THE ADVISORY COMMITTEE FROM THE PRIVATE BUSINESS COMMUNITY SHOULD ALSO BE SOUGHT. THIS ADVISORY GROUP SHOULD MEET ON A REGULAR BASIS FOR PURPOSES OF PROVIDING MARKET-BASED INPUT TO THE BOARD OF DIRECTORS. AMERICAN CORRECTIONAL ASSOCIATION STANDARDS SUGGEST THAT THE ESTABLISHMENT OF ADVISORY BOARDS BE CONSIDERED TO OBTAIN ADVICE AND ASSISTANCE OF LABOR, BUSINESS AND INDUSTRIAL ORGANIZATIONS TO ASSIST IN THE PLANNING AND EVALUATION OF INSTITUTION WORK PROGRAMS AND IN PROVIDING SKILLS THAT ARE RELEVANT TO THE PRIVATE SECTOR JOB MARKET. THE AUDITORS NOTED THAT SUCH A BODY WAS RECOMMENDED BY A 1983 CONSULTANT STUDY OF THE CORRECTIONAL INDUSTRIES PROGRAM AND THAT SIMILAR BODIES EXIST IN SELECTED OTHER STATES SAMPLED BY THE AUDITORS.

6. THE DOC ESTABLISH A FORMAL MECHANISM THROUGH WHICH THE GOALS AND OBJECTIVES OF THE PENCOR PROGRAM CAN BE SYSTEMATICALLY MEASURED AND EVALUATED. GOALS AND OBJECTIVES SHOULD BE ESTABLISHED AND MEASURED ON AN ANNUAL BASIS AND SHOULD RELATE BOTH TO THE BASIC MISSION STATEMENT OF THE CORRECTIONAL INDUSTRIES PROGRAM AND TO SPECIFIC ELEMENTS OF THE PROPOSED PENCOR BUSINESS PLAN. PERIODIC REPORTS INDICATING THE EXTENT OF GOAL AND OBJECTIVE ATTAINMENT SHOULD BE DEVELOPED FOR INTERNAL MANAGEMENT PURPOSES AND SHOULD BE PROVIDED TO THE COMMISSIONER OF CORRECTIONS ON A REGULAR BASIS (AT LEAST QUARTERLY). SUCH INFORMATION SHOULD LIKEWISE BE AVAILABLE TO INTERESTED MEMBERS OF THE GENERAL ASSEMBLY.
7. IN CONJUNCTION WITH THE OVERALL GOALS AND OBJECTIVES MEASUREMENT SYSTEM (MENTIONED ABOVE), INDIVIDUAL PRODUCTION AND PROFITABILITY PERFORMANCE OBJECTIVES SHOULD BE ESTABLISHED FOR EACH OF THE MANAGEMENT EMPLOYEES OF PENCOR. THIS SYSTEM OF INDIVIDUAL PERFORMANCE MEASUREMENT SHOULD BE A KEY FACTOR IN DETERMINING ANNUAL SALARY INCREASE LEVELS FOR PROGRAM MANAGEMENT PERSONNEL.
8. CONSIDERATION BE GIVEN TO THE ESTABLISHMENT OF A JOB PERFORMANCE EVALUATION SYSTEM FOR INMATES EMPLOYED IN THE CORRECTIONAL INDUSTRIES PROGRAM. SEMI-ANNUAL REPORTS ON JOB PERFORMANCE MAY POTENTIALLY SERVE AS PERFORMANCE INCENTIVES FOR EMPLOYEES IN THAT WORK RECORDS AND SUPERVISOR RECOMMENDATIONS REGARDING INDIVIDUAL INMATE EMPLOYEES COULD BE PROVIDED TO INSTITUTIONAL JOB PLACEMENT STAFF FOR REFERENCE AND USE IN EMPLOYMENT PLACEMENT EFFORTS.
9. IN CONJUNCTION WITH THE INMATE PERFORMANCE EVALUATION SYSTEM, THE DOC CONSIDER ESTABLISHING A FOLLOW-UP TRACKING SYSTEM THROUGH WHICH THE "SUCCESS RATE" FOR THE PROGRAM COULD BE DEVELOPED. FOR THIS PURPOSE, THE DEPARTMENT SHOULD MAINTAIN RECORDS ON THE EMPLOYABILITY AND THE EMPLOYMENT SUCCESS OF INDIVIDUALS WHO RECEIVE VOCATIONAL TRAINING THROUGH THE CORRECTIONAL INDUSTRIES PROGRAM.

10. THE DOC ESTABLISH A FORMAL SAFETY PROGRAM FOR CORRECTIONAL INDUSTRIES OPERATIONS. ALTHOUGH NOT LEGALLY MANDATED TO BE IN COMPLIANCE WITH FEDERAL OSHA SAFETY STANDARDS, AMERICAN CORRECTIONAL ASSOCIATION (ACA) STANDARDS CALL FOR INSTITUTIONAL WORK AND INDUSTRIAL PROGRAMS THAT MEET MINIMUM FEDERAL, STATE AND LOCAL SANITATION, SAFETY AND HEALTH CODES. A REVIEW OF SAFETY STANDARDS WHICH APPLY TO PRIVATE INDUSTRY MANUFACTURING OPERATIONS SHOULD BE UNDERTAKEN AND, WHEREVER APPLICABLE, ATTEMPTS MADE TO INCORPORATE AND MEET SUCH STANDARDS WITHIN CORRECTIONAL INDUSTRIES FACILITIES. THE SAFETY PROGRAM SHOULD ALSO INVOLVE THE REGULAR COLLECTION OF STATISTICAL INFORMATION ON INDUSTRIAL ACCIDENTS AND INJURIES AND LOST TIME DUE TO ON-THE-JOB MISHAPS. ADDITIONALLY, AN AGGRESSIVE SAFETY EDUCATION PROGRAM SHOULD BE INSTITUTED AND CONSIDERATION SHOULD BE GIVEN TO ASSOCIATING WITH A SAFETY ENGINEER.
11. THE GENERAL ASSEMBLY CONSIDER AMENDING STATE LAW TO FORMALLY ESTABLISH THE CORRECTIONAL INDUSTRIES PROGRAM IN STATUTE AND TO SPECIFICALLY DEFINE ITS PURPOSES AND OBJECTIVES.

April 24, 1987

MISSION STATEMENT FOR THE BUREAU OF CORRECTIONAL INDUSTRIES

The Bureau of Correctional Industries' mission is to employ and train inmates through the operation of and earnings from industries producing quality products and services.

A. Inmate Employment:

1. To provide opportunities adequate to employ all inmates made available for work at each location in jobs that simulate private industry to the extent possible.

B. Inmate Training and Experience:

1. To provide pre-production, on-the-job, and extended opportunities for inmates employed in industries to acquire knowledge and skills which are appropriate to post-release employment.

C. Self-Sufficiency:

1. To identify, recruit, and train staff at all levels for anticipated future growth, utilizing developmental assignments and the technical resources of the Department of Corrections Training Center.
2. To provide products and services exactly as specified, defect free, priced competitively, and delivered on time.
3. To operate in an efficient and economical manner.
4. To insure continuation of current markets and products and seek out new markets and products as needed to provide adequate work for the inmates assigned, without creating undue competition to any segment of industry or business.
5. To plan for the funding of current operations, expansion, capital improvements, training programs, and other needs from earnings.
6. To develop and participate in an integrated, on-line automated management information system to include financial, production, procurement, inventory, and training functions.
7. To optimize the amount of working capital invested in inventories consistent with production schedules, anticipated orders, and modernization needs.
8. To modernize and maintain facilities, equipment, and processes in order to remain reasonably competitive with private industry.

Source: PA Department of Corrections.

EXHIBIT I-B

Listing of Problems Identified in the PA Correctional Industries Program (PENCOR)

1. The PENCOR's mission statement indicates that the Program is "to provide opportunities adequate to employ all inmates made available for work at each location." About 10% of the total state inmate population was employed in correctional industries programs as of December, 1987. (See Exhibit I-A.)
2. Correctional industries programs did not exist at 5 of the 13 state correctional institutions as of early 1988 (these were SCIs Cresson, Frackville, Mercer, Retreat, and Waynesburg). (See Table I-1.)
3. The DOC does not utilize a formal method to measure attainment of objectives which are set forth in the PENCOR program's mission statement (see Exhibit I-A), or yearly plan for correctional industries (see Exhibit I-D).
4. Although a business enterprise, the PENCOR Program is not structured as a traditional business organization and has not established a "business plan" to guide its operations.
5. The DOC does not maintain statistics through which the "success rate" of inmates who participate in the correctional industries program can be systematically tracked and recorded.
6. Receipts and disbursements in the correctional industries program are projected to remain relatively static through FY1992-93. (See Graph I.A.) Institutional farm operations continue to be deficit enterprises with total losses in FY1986-87 of over \$500,000. (See Table I-2.)
7. Given the current fiscal condition of the Manufacturing Fund, there appears to be little opportunity to provide for significant capital improvement and/or expansion (see Graph I.A and Table I-2 and Exhibit I-C); while the Correctional Industries Program is generally a self-sustaining operation financed through the Manufacturing Fund, approximately \$200,000 was used from the General Fund in FY1986-87 to purchase new equipment at SCI Pittsburgh.
8. The current PENCOR industry mix does not appear to be conducive to providing knowledge and job skills which "simulate private industry" and which are most appropriate to post-release employment given the current composition and needs of the private sector labor market.
9. The PENCOR program lacks a formal, system-wide quality control program.
10. The auditors determined through contacts with correctional industries management staff that certain of the equipment in use in the industries program is out-dated. In an October 1987 report the Governor's Interde-

EXHIBIT I-B

Listing of Problems Identified in the
Correctional Industries Program
(Continued)

partmental Task Force on Corrections observed the following regarding equipment used in the correctional industries program:

"In addition, equipment on which inmates learn their job skills should be similar to the equipment generally used by business. Most of the Department's current equipment, particularly that used in the Correctional Industries Program, is in poor condition or obsolete. Training on such equipment undermines the very purpose of the training programs, since it is generally not transferable to modern state-of-the-art equipment used by business."

11. As of December 31, 1987, civilian employment in the DOC's PENCOR Program was 136. While inmate population has increased 38% since 1983, the number of DOC staff assigned to correctional industries program, administration and supervision, have remained relatively unchanged (a 1% increase in filled positions since 1983).
12. The PENCOR program lacks a formal safety program and does not centrally maintain statistics on industrial injuries and lost time due to on-the-job accidents; the auditors were also informed that conditions within a number of correctional industry operations would not meet Federal OSHA safety standards (it should be noted that although American Correctional Association standards call for compliance with all applicable industrial safety requirements, the DOC program is not legally required to meet OSHA standards).
13. The PENCOR Program lacks a formal advisory body mechanism through which the correctional industries program can receive input and advice for management and operational purposes (e.g., from PENCOR customers, government agency officials and representatives of private industry); the auditors observed that such a committee was recommended in a 1983 consultant report on the correctional industries program and similar bodies exist in correctional industries programs in certain other states.
14. The correctional industries program and its basic purpose and objectives are not clearly defined and established in state law.

Source: Developed by LB&FC staff.

TABLE I-1

Number of Inmates Employed in PENCOR Program (Correctional Industries) Positions, by Institution, as of December 1987

<u>Institution</u>	<u>Number of Industries</u>	<u>Inmate Population</u>	<u>Correctional Industries Employment</u>	
			<u># Inmates Employed</u>	<u># Employed as % of Total</u>
Camp Hill.....	4	2,559	217	8%
Cresson.....	-0-	585	-0-	-0-
Dallas.....	6	1,983	104	5
Frackville.....	-0-	629	-0-	-0-
Graterford.....	9	2,451	435	18
Greensburg.....	1	788	10	1
Huntingdon.....	6	2,053	358	17
Mercer.....	-0-	678	-0-	-0-
Muncy.....	3	517	12	2
Pittsburgh.....	3	1,568	220	14
Retreat.....	-0-	38	-0-	-0-
Rockview.....	6	1,921	261	14
Waynesburg.....	-0-	135	-0-	-0-
Total.....	<u>38</u>	<u>15,905^{a/}</u>	<u>1,617</u>	<u>10%</u>

^{a/}Total does not include 425 inmates at Community Service Centers and Group Homes.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

TABLE I-2

Gross Sales and Profitability of Correctional Industries in Operation
at PA State Correctional Institutions, By Institution and Industry Type
FY1985-86 and FY1986-87

Institution	Industry	FY1985-86 ^{c/}		FY1986-87 ^{c/}	
		Gross Sales	Profit/(Loss)	Gross Sales	Profit/(Loss)
Camp Hill...	Coffee & Tea.....	\$ 576,728	\$ 13,669	\$ 659,300	\$ 81,263
	Furniture/ Upholstery.....	346,701	(268,873)	550,535	(158,780)
	Farm.....	23,674	(79,729)	8,990	(102,667)
	Meat Processing...	2,084,222	118,386	1,558,267	(198,664)
Dallas.....	Auto Body.....	2,853	(3,059)	410	(37)
	Carton Plant.....	164,818	3,389	151,580	53,289
	Garment.....	253,519	442	311,636	10,183
	Mattress/ Upholstery.....	1,073,249	3,942	1,053,808	223,490
	Metal Furniture...	4,153	(1,989)	32,619	(82,423)
Graterford..	Dental Lab.....	123,778	(20,664)	122,032	(16,065)
	Farm.....	740,375	(85,054)	772,614	(8,650)
	Garment.....	583,429	37,566	774,626	96,775
	Hosiery.....	153,274	7,273	182,200	29,806
	Shoes.....	527,904	72,596	453,964	11,646
	Textiles.....	249,001	(47,328)	260,192	(8,622)
	Underwear.....	440,561	108,182	423,336	100,112
Greensburg..	Broom & Brush.....	-0-	(12,678)	1,887	(50,547)
Huntingdon..	Farm.....	654,295	(105,083)	697,100	(112,130)
	Garment.....	2,081,736	643,002	2,561,269	793,777
	Printing/Stickers.	783,842	318,758	881,160	373,364
	Soap.....	816,639	164,582	891,287	265,006
Muncy.....	Engraving.....	7,248	(420)	5,746	1,364
	Farm.....	115,850	(64,495)	78,538	(79,314)
	Personal Care Kit.	25,780	(459)	28,452	11,411
Pittsburgh..	Metal Products....	830,939	(121,307)	1,054,412	205,365
	Tags & Signs.....	1,727,425	426,182	1,884,942	465,721
Rockview....	Farm ^{a/}	109,890	(441,521)	181,915	(228,623)
	Cannery.....	907,635	5,663	944,879	(23,081)
	Creamery.....	37,973	4,669	37,984	2,888
	Wood Products.....	155,548	4,348	95,739	(31,013)
Various ^{b/}	Freight.....	405,917	223,527	387,649	198,309
Totals.....		<u>\$16,008,956</u>	<u>\$903,517</u>	<u>\$17,049,068</u>	<u>\$1,823,153</u>

a/The profit/loss figures listed for the farm include the nursery and orchard.

b/Freight terminals are located at SCIs Camp Hill, Dallas, Graterford, Greensburg, and Rockview.

c/Fiscal years shown are as of June 24, 1986 and 1987.

Source: Developed by LB&FC staff from information obtained from the PA Department of Corrections.

EXHIBIT I-C

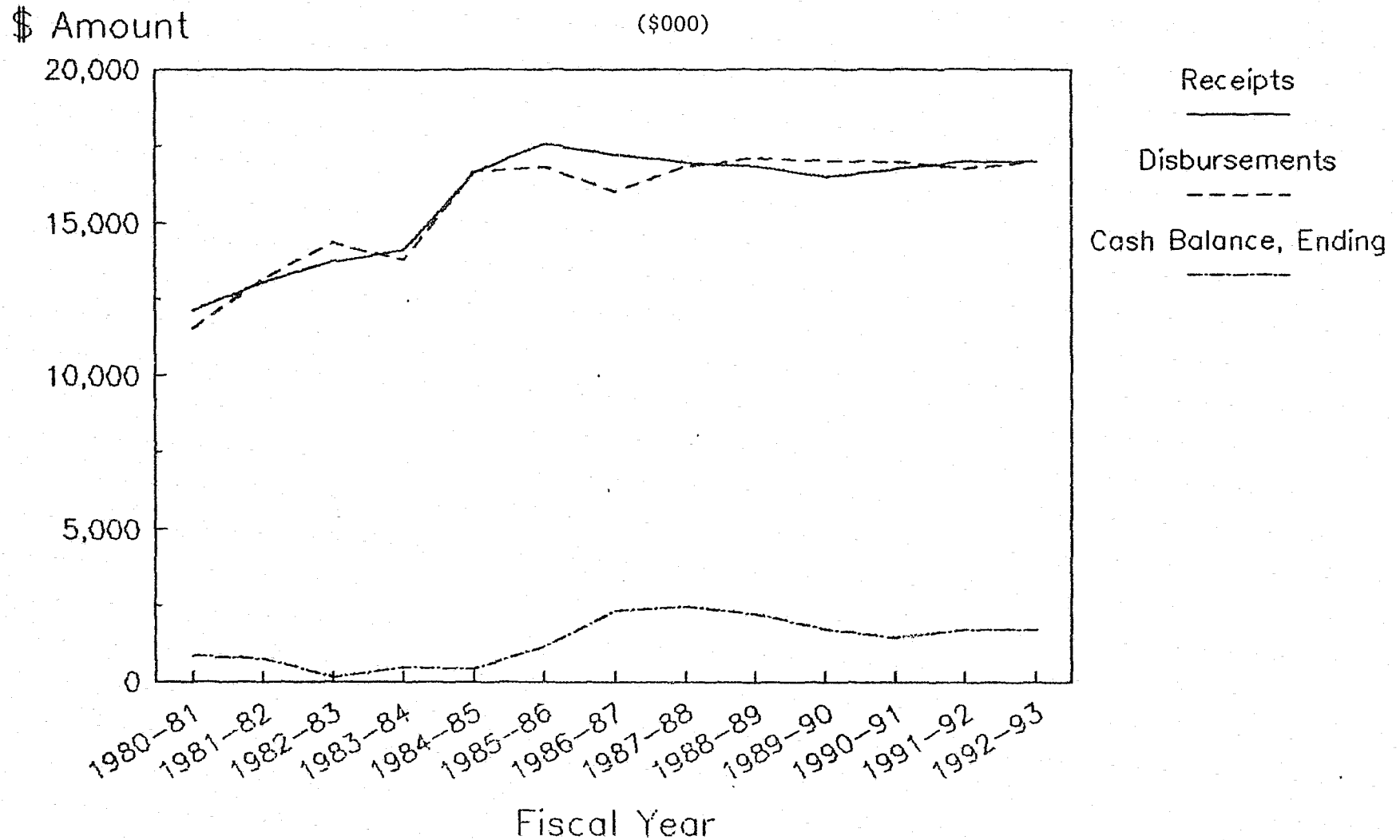
Manufacturing Fund Financial Statement */
(\$000)

<u>A. Financial Statement</u>	<u>1986-87</u> <u>Actual</u>	<u>1987-88</u> <u>Available</u>	<u>1988-89</u> <u>Estimated</u>
Cash Balance, Beginning..	\$ 1,198	\$ 2,374	\$ 2,500
Receipts:			
Sale of Manufactured Products.....	\$16,606	\$16,376	\$16,500
Interest.....	104	110	116
Other.....	<u>525</u>	<u>490</u>	<u>470</u>
Total Receipts	<u>17,235</u>	<u>16,976</u>	<u>17,086</u>
Total Funds Available....	\$18,433	\$19,350	\$19,586
Disbursements:			
Executive Offices.....	\$ 247	\$ 450	\$ 400
Corrections.....	<u>15,812</u>	<u>16,400</u>	<u>16,700</u>
Total Disbursements....	<u>-16,059</u>	<u>-16,850</u>	<u>-17,100</u>
Cash Balance, Ending.....	<u>\$ 2,374</u>	<u>\$ 2,500</u>	<u>\$ 2,486</u>

*The Manufacturing Fund was created in 1915 as a self-sustaining enterprise that provides institutionalized offenders an opportunity for vocational rehabilitation. Receipts are derived from the sale of inmate manufactured goods to government agencies or government-aided organizations. Expenditures are made for the purchase of raw materials, machinery replacement, inmate wages, and other costs related to the sale and manufacture of their products.

Source: Developed by LB&FC staff from information presented in the FY1988-89 Governor's Executive Budget.

Statement of Cash Receipts and Disbursements From the Manufacturing Fund FY 1980-81 to FY 1992-93



Source: Developed by LB&FC staff from Governor's Executive Budgets and DOC FY 1988-89 Budget Request.

May 11, 1987

YEARLY PLAN FOR CORRECTIONAL INDUSTRIES1987 - 1988

There have been two new correctional institutions that opened in the past year and two more will be on line this year.

1. We will install industries in the following institutions:

- a. SCI Cresson - Laundry.
- b. SCI Frackville - Data Entry Process.
- c. SCI Retreat - Laundry.
- d. SCI Smithfield - Print Shop.

Smithfield may run into the next year, due to the time when the construction of the institution will be completed.

2. Bringing on line a new garment plant at SCI Muncy.

3. Review of the overall farm program:

- a. Production and cost of milk.
- b. Steers.
- c. Field crops.

4. Our managers and staff need additional training in:

- a. Quality control.
- b. Rules and regulations.
- c. Etc.

5. Revamp our sales force to enable more coverage of our state.

- a. Hire a Marketing Manager.
- b. Hire an additional sales person.

6. Continue to replace old machines in all of our production shops.

RAS:jm

cc: Deputy Commissioner DeRamus
Mr. R. Stever, C.I. Assistant Director

EXHIBIT I-E

Outline of A Business Plan Document*/

- I. Title page
 - A. Name of firm
 - B. Time period covered by plan
 - C. Date of preparation
- II. Table of contents
- III. Executive summary
 - A. The firm and its environment
 - B. Current position and outlook
 - C. Goals
 - 1. Financial
 - 2. Nonfinancial
 - D. Strategies
 - 1. Marketing and sales
 - 2. Production
 - 3. Research and development
 - 4. Organization and management
 - 5. Finance
- IV. Sales and revenue plan
 - A. Sales and revenue objectives
 - B. Product service line strategies
 - 1. Target customers
 - 2. Sales objectives
 - 3. Pricing policies
 - 4. Advertising, promotion
 - 5. Distribution
 - C. Marketing and sales organization
- V. Production plan
 - A. Production schedule
 - B. Production costs and standards
 - 1. Materials
 - 2. Labor
 - C. Operating policies
 - 1. Inventory management
 - 2. Maintenance
 - 3. Purchasing
 - 4. Subcontracting
- D. Facilities
- E. Capital expenditures
- VI. Research and development plan
 - A. Assignment of responsibilities
 - B. Management plan
 - 1. Objectives
 - 2. Expenses
- VII. Organization and management plan
 - A. Organizational structure
 - B. Management policies and objectives
 - 1. General philosophy
 - 2. Recruitment and selection
 - 3. Training and development
 - 4. Compensation
 - C. Position descriptions (if appropriate and needed)
 - D. Resumes
- VIII. Financial plan
 - A. Schedules
 - 1. Income statements
 - 2. Balance sheets
 - 3. Cashflow summary
 - 4. Financial performance summary
 - 5. Departmental budgets
 - a. Marketing and sales
 - b. Production
 - c. Research and development
 - d. Administration
 - B. Policies
 - 1. Debt management
 - 2. Investments
 - 3. Use of earnings
 - 4. Profit sharing

*/A "business plan" is defined by the American Management Association as "a set of management decisions about what a firm will be doing to be successful." A "business plan" is further described as being necessary "to provide a logical and rational sense of direction for a firm."

Source: "How to Write A Business Plan," American Management Association, Second Edition 1986.

J. STATUS OF DOC RESPONSE TO RECOMMENDATIONS OF THE GOVERNOR'S INTERDEPARTMENTAL TASK FORCE ON CORRECTIONS

FINDING: In April 1987 the Governor created the Interdepartmental Task Force on Corrections to "assist his Administration and the new Commissioner of Corrections in meeting the challenge of effectively and humanely managing a prison system of over 16,000 inmates."a/ While some implementation actions had reportedly been taken as of March 1988, the Department of Corrections (DOC) had not yet formally responded to or finalized an internal plan of action to comprehensively address the 48 recommendations which were made by the Governor's Task Force in October 1987. (See Exhibit J-A for a listing of these recommendations which relate to inmate human services, prison conditions and correctional system management issues.) The auditors were informed by DOC officials that the Department does plan to develop a formal written response to the Task Force report which will be submitted to the Governor's Office and address each of the recommendations on an individual basis. Since receiving the Task Force report, the DOC has reportedly distributed the report to state correctional institution superintendents and certain central office staff for review and reaction and has assigned internal agency implementation responsibility to the three DOC Deputy Secretaries (for Administration, Programs and Correctional Services). Members of the LB&FC staff conducted a series of meetings with the three DOC Deputy Secretaries in order to discuss the Department's position on and current status of implementation in each of the recommendation areas. The DOC officials indicated that the Department generally concurs with the Task Force's recommendations and that they are in the process of developing strategies for implementation of the various recommendations. In some instances implementation actions had reportedly been initiated or were planned as of early March 1988 with contact and coordination with other state agencies and further study required in other recommendation areas (for example, study of inmate visitation policies in correctional agencies in other states and internal evaluation of the DOC's inmate grievance system). The auditors noted, however, that the DOC has not established a target date for completion of its response to the Task Force report nor have specific timetables or schedules for the implementation of individual

a/The mission of the Governor's Interdepartmental Task Force on Corrections was to review the DOC's policies and programs involving education, job training, health care, prisoner treatment and visitation, overcrowding, and the overall management of the state correctional system. The Task Force was comprised of the General Counsel to the Governor, the Secretary of the Office of Administration and the Secretaries of the Departments of General Services, Education, Corrections, Health, Public Welfare and Labor and Industry.

recommendations been established. The DOC staff has identified 14 recommendations which they believe will require additional positions and funding for implementation. As shown on Table J-1, it is estimated by the DOC that a total of 118 new positions would be required with additional General Fund costs of \$6.3 million for a six-month period in FY1988-89; additionally the DOC estimated that capital spending of \$93.2 million would be necessary to increase institutional capacity. While full funding in the above amounts was requested in the DOC's budget request for FY1988-89, the FY 1988-89 Governor's Executive Budget recommended approximately \$2 million during the upcoming fiscal year "to implement those (Task Force) recommendations requiring additional funds."^{b/} A representative of the Governor's Budget Office informed the auditors that it is anticipated that additional funding for implementation of Task Force recommendations will be made available in future fiscal years. One of the stated purposes of the Governor's Task Force was to find ways "for improving the Department's ability to rehabilitate offenders and manage Pennsylvania's correctional system." It appears to the auditors that implementation of the recommendations of the Task Force have considerable potential to assist the DOC in this regard. As indicated in a number of findings in this report, many areas addressed by the Task Force in its report were also identified by the LB&FC audit staff as being problematic.

RECOMMENDATIONS: IT IS RECOMMENDED THAT:

1. A SPECIAL INTERNAL STEERING COMMITTEE BE CONVENED BY THE DEPARTMENT OF CORRECTIONS TO FACILITATE THE RECEIPT OF INPUT AND PARTICIPATION FROM THROUGHOUT THE DEPARTMENT AND TO GUIDE AND OVERSEE IMPLEMENTATION OF THE GOVERNOR'S TASK FORCE RECOMMENDATIONS. IT IS RECOMMENDED THAT THIS STEERING COMMITTEE INCLUDE REPRESENTATION FROM VARIOUS SEGMENTS OF THE DOC WORKFORCE INCLUDING, FOR EXAMPLE, DESIGNATED CENTRAL OFFICE MANAGEMENT STAFF, PERSONS REPRESENTING INSTITUTIONAL SUPERINTENDENTS, CORRECTIONAL OFFICERS, SOCIAL SERVICES, TREATMENT AND MEDICAL STAFF, AND CORRECTIONAL INDUSTRIES. IT IS ALSO SUGGESTED THAT THE DOC INVITE LIAISON REPRESENTATION IN THE IMPLEMENTATION PROCESS FROM OTHER STATE AGENCIES WHICH ARE IN SOME WAY RELATED TO RECOMMENDATIONS MADE BY THE GOVERNOR'S TASK FORCE (FOR EXAMPLE, THE PA BOARD OF PROBATION AND PAROLE AND THE DEPARTMENTS OF EDUCATION, HEALTH, PUBLIC WELFARE AND LABOR

^{b/}Of the approximate \$2 million recommended in the Governor's budget, \$719,000 is to go to the DOC for drug and alcohol treatment services (\$115,000) and automation initiatives (\$604,000); the balance is to be directed to the Department of Education (\$936,000) to expand corrections education and job placement programs and to the Board of Probation and Parole (\$299,000) to provide for intensive parole supervision.

AND INDUSTRY). OPERATION OF THE STEERING COMMITTEE SHOULD CONTINUE UNTIL DISPOSITION OF ALL OF THE TASK FORCE RECOMMENDATIONS IS ACCOMPLISHED.

2. THE DEPARTMENT OF CORRECTIONS ESTABLISH A FIRM TARGET DATE FOR THE COMPLETION AND SUBMISSION OF A FORMAL WRITTEN RESPONSE TO THE RECOMMENDATIONS MADE BY THE GOVERNOR'S INTERDEPARTMENTAL TASK FORCE ON CORRECTIONS. IT IS FURTHER SUGGESTED THAT, IN ADDITION TO SUBMISSION TO THE GOVERNOR'S OFFICE, COPIES OF THE DOC RESPONSE ALSO BE MADE AVAILABLE TO INTERESTED MEMBERS OF THE GENERAL ASSEMBLY AND TO OTHER INTERESTED PARTIES UPON REQUEST.
3. THE DEPARTMENT CONSIDER INCLUDING IN ITS WRITTEN RESPONSE AT LEAST THE FOLLOWING:
 - a. A STATEMENT OF THE DOC POSITION ON EACH RECOMMENDATION ALONG WITH AN INDICATION OF ACTIONS TAKEN TO DATE AND THE CURRENT IMPLEMENTATION STATUS OF EACH;
 - b. A SPECIFIC TARGET DATE AND TIMETABLE FOR IMPLEMENTATION OF EACH OF THE RECOMMENDATIONS ALONG WITH A BRIEF ACTION PLAN OUTLINING STEPS NECESSARY TO ACHIEVE IMPLEMENTATION;
 - c. AN INDICATION OF THE NUMBER AND TYPE OF ADDITIONAL STAFF POSITIONS REQUIRED FOR IMPLEMENTATION; AND
 - d. AN INDICATION OF ESTIMATED ANNUAL (FISCAL YEAR) COSTS FOR EACH RECOMMENDATION WHICH REQUIRES ADDITIONAL FUNDING AS WELL AS AN INDICATION OF ESTIMATED REQUIRED CAPITAL COSTS.
4. THE DEPARTMENT ESTABLISH AN ONGOING REPORTING SYSTEM THROUGH WHICH PROGRESS MADE IN TERMS OF RECOMMENDATION IMPLEMENTATION CAN BE MONITORED INTERNALLY AS WELL AS PERIODICALLY COMMUNICATED TO THE GOVERNOR'S OFFICE, THE GENERAL ASSEMBLY AND OTHER INTERESTED PARTIES.

EXHIBIT J-A

Listing of Recommendations of the Governor's Interdepartmental Task Force on Corrections, October 1987

I. Human Services

A. Education

1. The Department of Corrections should employ certified school psychologists to ensure that inmates requiring special education are referred to the appropriate programs.
2. The Department of Corrections should employ one Vocational Counselor at each Diagnostic and Classification Center.
3. The Department of Education should hire additional teachers to provide all inmates with basic education skills in reading, math, and language arts.
4. The Department of Education should expand and improve vocational education programs available to inmates.
5. The Departments of Education and Corrections should undertake a comprehensive review of the academic and vocational curricula.

B. Job Training

1. Increase inmate participation in job training programs.
2. Provide additional job training programs and upgrade existing programs.
3. Improve coordination of job-related information.
4. Improve job placement programs and provide at least one job placement officer in every institution.
5. Implement a job training demonstration project.

C. Health Care Services

1. A Medical and Dental Advisory Committee should be established to advise the Department on the development of clinical medical policy.
2. The Department of Corrections should review its health care staffing deficiencies, determine the most critical needs, and develop and implement a staffing plan.

EXHIBIT J-A (Cont.)

Governor's Task Force Recommendations

3. The Department of Corrections should establish a health care survey to evaluate the delivery of health care in state prisons.
4. The Department of Corrections should provide expanded opportunities for in-service training for health care staff and correctional officers.
5. The Department of Corrections should improve its medical statistical reporting system to provide morbidity reports which focus on diagnostic groups.
6. The Corrections Department should establish a comprehensive health education program for inmates.
7. Pregnant inmates should be encouraged to report their suspected pregnancy immediately so that early and regular prenatal care and health education can begin and so that prescribed drugs which are harmful during pregnancy can be stopped.

D. Drug and Alcohol Treatment

1. The Department of Corrections should develop comprehensive drug and alcohol treatment programs at every correctional institution.
2. Greater emphasis should be placed on drug and alcohol treatment programs during pre-release and parole.

E. Mental Health Services

1. The Department should hire additional mental health professionals.
2. The Department should implement a pilot program for comprehensive mental health care.
3. The sex offender treatment programs should be evaluated to determine whether additional or alternative programs should be developed.
4. The Departments of Corrections, Public Welfare, and Health should establish programs for inmates with a dual diagnosis of mental illness and substance abuse.
5. The coordination of discharge and aftercare planning between correctional and forensic facilities should be improved.

EXHIBIT J-A (Cont.)

Governor's Task Force Recommendations

6. Correctional Officers should receive mental health training on an annual basis.
7. Community mental health services for persons on state parole should be increased.

F. Social Services

1. The one visit per week restriction should be eliminated.
2. Extended family visits should be permitted.
3. The Department of Corrections should develop programs to increase the availability of transportation to state correctional institutions.
4. The Department of Corrections should advise inmates of the new federal law concerning child support orders and provide inmates with assistance as needed in filing petitions to modify child support orders.
5. The Department of Corrections and the Board of Probation and Parole should assist eligible inmates in obtaining public assistance benefits by processing applications for pre-release grants and arranging follow-up application interviews for post-release benefits and services.

II. Prison Conditions

A. Conditions of Confinement

1. The Department of Corrections should work with the Legislature to develop an earned time system.
2. The inmate grievance system should be improved.
3. The impartiality of misconduct hearings should be ensured.
4. The Department must establish and maintain effective investigatory procedures to investigate all allegations of prisoner abuse.
5. The maximum punishment for disciplinary infractions should be reduced from six months to ninety days, except in exceptional cases.
6. "Death row" inmates should be removed from administrative custody.

EXHIBIT J-A (Cont.)

Governor's Task Force Recommendations

7. Inmates who become pregnant should not be placed in the Restricted Housing Unit.

B. Prison Overcrowding

1. The Department of Corrections should continue to pursue its goal of "one man/one cell."
2. The Department of Corrections should develop a comprehensive plan to address overcrowding in the state correctional system.

III. Management Issues

A. Affirmative Action

1. The Department should develop a new affirmative action plan for Fiscal Year 1987-88.
2. The Department should increase the visibility and authority of the Department's affirmative action program.

B. Automation

1. The Department should implement its multi-year plan for automation.
2. The current inmate record identification system should be changed.
3. The Department should review automation in other state correctional agencies to identify possible applications in Pennsylvania.
4. The Department should continue its participation in the Justice Assistance Network (JANET).
5. The Department should continue its participation on the Task Force reviewing the Criminal History Record Information Act (CHRIA).

C. Training of Corrections Personnel

1. The Department should strengthen its basic and in-service training programs.

Source: Compiled by LB&FC staff from The Report of the Governor's Inter-departmental Task Force on Corrections, October 21, 1987

TABLE J-1

Governor's Task Force Recommendations Identified by the Department
of Corrections as Requiring Additional Positions/Costs for Implementation
(\$000)

<u>Recommendation</u>	<u>DOC Budgetary Requests</u>	
	<u>New Positions</u>	<u>Associated FY88-89 Costs^{a/}</u>
<u>Education</u>		
1 - The DOC should employ certified school psychologists to ensure that inmates requiring special education are referred to the appropriate programs.....	5 ^{b/}	\$ 92
2 - The DOC should employ one vocational counselor at each Diagnostic and Classification Center.....	5 ^{b/}	81
<u>Job Training</u>		
2 - Provide additional job training programs and upgrade existing programs.....	9 ^{c/}	133
4 - Improve job placement programs and provide at least one job placement officer in every institution.....	10	128
5 - Implement a job training demonstration project.....	-0-	154 ^{d/}
<u>Health Care</u>		
2 - The DOC should review its health care staffing deficiencies, determine the most critical needs, and develop and implement a staffing plan.....	9 ^{e/}	114
<u>Drug & Alcohol Treatment</u>		
1 - The DOC should develop comprehensive drug and alcohol treatment programs at every correctional institution.....	3	40
2 - Greater emphasis should be placed on drug and alcohol treatment programs during pre-release and parole.....	23	199 ^{f/}

TABLE J-1

Governor's Task Force Recommendations Requiring
Additional Positions/Costs for Implementation
(Continued)

<u>Recommendation</u>	<u>DOC Budgetary Requests</u>	
	<u>New Positions</u>	<u>Associated FY88-89 Costs^{a/}</u>
<u>Mental Health Services</u>		
1 - The DOC should hire additional mental health professionals.....	28 ^{g/}	385
3 - The sex offender treatment programs should be evaluated to determine whether additional or alternative programs should be developed.....	5	97 ^{h/}
<u>Prison Crowding</u>		
1 - DOC should continue to pursue its goal of "one man/one cell".	1/	93,240 ^{i/}
2 - DOC should develop a comprehensive plan to address overcrowding in the state correctional system.....	7	3,044 ^{j/}
<u>Management Issues</u>		
2 - DOC should increase the visibility and authority of the Department's affirmative action program.....	1	11
<u>Automation</u>		
1 - DOC should implement its automated technology multi-year plan.....	<u>13</u>	<u>1,809^{l/}</u>
Totals.....	<u>118^{k/}</u>	<u>\$ 6,287 (General Fun- \$93,240 (Capital Bud-</u>

(Footnotes to this table appear on the next page.)

TABLE J-1

Governor's Task Force Recommendations Requiring
Additional Positions/Costs for Implementation
(Continued)

Footnotes to Table J-1

a/Amounts shown represent estimated 6 month costs for FY1988-89; in each case, the amount listed was included in the DOC's FY1988-89 budget request.

b/One at each Diagnostic and Classification Center (DCC).

c/Trades instructors; does not include Correctional Industries.

d/For costs of establishing an "Operation Outward Reach" vocational training program as a job training demonstration project at SRCF Mercer.

e/For additional health care staff positions "to improve services and reduce overtime costs."

f/\$115,000 for this purpose included in the Governor's FY1988-89 budget request; an additional \$579,000 in federal funds is available for drug and alcohol treatment services.

g/Counseling, psychological and activities staff positions.

h/For staffing of a therapeutic community setting for intensive treatment of sex offenders at SCI Camp Hill.

i/The DOC's FY1988-89 budget request included funding for two new correctional institutions and expansion of existing institutional capacity; the DOC estimates that approximately 550 positions would be required to staff these facilities.

j/For renovation of existing institutional space (modular housing), expansion of community service centers program and additional staff positions.

k/Does not include estimated number of staff positions that would be required to staff new correctional institutions.

l/\$604,000 for this purpose included in the Governor's FY1988-89 budget request.

Source: Compiled by LB&FC staff from information obtained from the PA Department of Corrections and the Governor's FY1988-89 Executive Budget Document.

III. BACKGROUND DESCRIPTIVE INFORMATION ON THE PA DEPARTMENT OF CORRECTIONS

Formerly a Bureau headed by a Commissioner of Corrections within the Department of Justice, the Department of Corrections (DOC) became an administrative department by enactment of Act 1984-245 (71 PS. §310-1). The Department maintains responsibility for the custody and rehabilitation of convicted adult criminals through operation of 13 State Correctional Institutions (see following map) and 15 Community Service Centers (CSCs). In addition to the operation of the CSCs, nine group homes operated by private organizations are contracted by the Department as additional pre-release facilities for the housing and rehabilitation of inmates who are preparing for parole. In addition to providing for the care, rehabilitation and custody of those individuals committed to the Department by the courts, the Department provides medical, surgical and psychiatric care to correct physical and emotional problems that may hinder the inmate rehabilitative process. Emphasis is also placed on providing vocational and educational training to offenders as part of the rehabilitation process. One means for providing for vocational training, for example, is through the operation of the Department's Correctional Industries Program.

The Department's goals as of December 1987 were identified as follows:^{1/}

- * To manage all facilities in a safe, secure and humane manner.
- * To provide treatment and classification services which are maintained at professionally accepted standards.
- * To operate a productive and viable Correctional Industries Program.
- * To recruit, develop and train qualified staff.
- * To operate the Department in a fiscally sound manner.
- * To provide assistance to local corrections agencies and cooperation with other governmental agencies.
- * To encourage greater community involvement in corrections.

During fiscal year 1986-87 the Department expended \$204.1 million from the General Fund plus approximately \$18.2 million from other sources. According to the Governor's fiscal year 1988-89 Budget Document, the Department has approximately \$259 million available for fiscal year 1987-88, including \$239.1 million from the General Fund. According to the Budget Document, \$279.4 million is proposed for Department spending for fiscal year 1988-89, including \$259.1 million from General Fund appropriations. See Table BKG-1 for the Department's budget summary by source of funds and institution for fiscal year 1986-87 through fiscal year 1988-89.

As of December 31, 1987, the Department of Corrections had an authorized staff complement of 5,289 positions. Of this number, 4,956 positions were filled and 333 were vacant as of that date. A chart illustrating the organization of the Department to the bureau level is provided in Exhibit BKG-A. Other background descriptive information concerning the Department's functions and other statistical information concerning Department operations are provided in the Legislative Budget and Finance Committee's Interim Report on a Performance Audit of the PA Department of Corrections released on October 21, 1987.

^{1/} The Department's short-term and long-term objectives which accompany these goals can be found in Appendix BKG-1.

Source: Compiled from information supplied by the Department of Corrections.

TABLE BKG-1

Department of Corrections Budget Summary
by Source of Funds and Institution
FY 1986-87 (Actual), FY 1987-88 (Available), and FY 1988-89 (Budget)
(\$Millions)

A. By Source of Funds:

<u>Source</u>	<u>FY 1986-87 Actual</u>	<u>FY 1987-88 Available</u>	<u>FY 1988-89 Budget</u>
General Fund.....	\$204.1	\$239.1	\$259.1
Manufacturing Fund...	17.2	18.2	18.4
Federal Funds.....	0.4	0.9	1.1
Augmentations.....	0.6	0.8	0.8
 TOTAL ALL FUNDS....	<u>\$222.4</u>	<u>\$259.0</u>	<u>\$279.4</u>

B. By Institution:


<u>Institution</u>	<u>FY 1986-87 Actual</u>	<u>FY 1987-88 Available</u>	<u>FY 1988-89 Budget</u>
Camp Hill.....	\$ 27.4	\$ 29.2	\$ 30.0
Cresson.....	5.1	11.0	11.4
Dallas.....	22.2	22.9	23.4
Frackville.....	4.7	10.1	10.4
Graterford.....	33.1	36.0	39.5
Greensburg.....	10.8	11.7	12.0
Huntingdon.....	20.6	21.0	21.6
Mercer.....	9.1	10.1	10.4
Muncy.....	11.1	11.6	12.0
Pittsburgh.....	22.0	23.6	24.1
Retreat.....	1.3	6.1	9.7
Rockview.....	19.9	21.2	21.6
Smithfield.....	.047	4.0	10.9
Waynesburg.....	4.0	4.7	4.9
Comm. Service Ctrs...	5.6	6.1	6.5
 TOTAL ^{*/}	<u>\$204.1</u>	<u>\$239.1</u>	<u>\$259.1</u>

^{*/}Also included in the funding totals are administrative costs of the Department (\$7.2 million in FY 1986-87, \$9.9 million in FY 1987-88 and \$10.8 million in the FY 1988-89 Budget); does not include State appropriations to the Department of Education for educational services at State correctional facilities.

Source: Developed by LB&FC staff from Governor's FY1988-89 Budget Document.

1

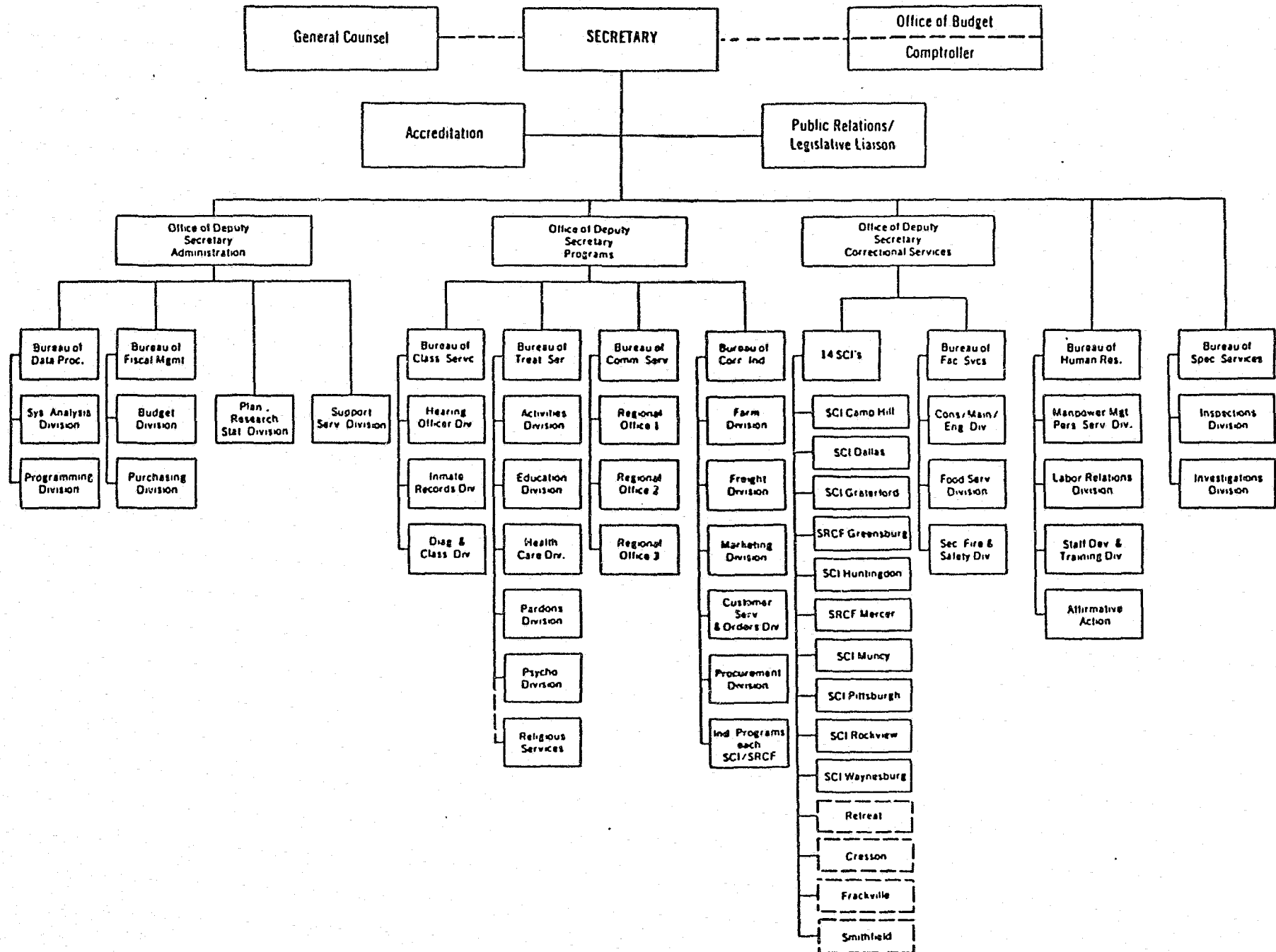


 PROPOSED CORRECTIONAL INSTITUTIONS

★ BUREAU HEADQUARTERS

Source: PA Department of Corrections

The Department of Corrections' Organization Chart



IV. AUDIT METHODOLOGY AND ACTIVITIES

The preliminary survey phase of the Legislative Budget and Finance Committee performance audit of the PA Department of Corrections was carried out during the period June 1987 to October 1987. Certain activities conducted by the auditors during this period which culminated in development of an interim report published in October 1987 included a review of pertinent Federal and Commonwealth statutes; dissemination of questionnaires to corrections employees, inmates and officials of other Pennsylvania criminal justice agencies such as Members of the PA Board of Probation and Parole; contacts with corrections related associations; and other information gathering through interviews with key Department officials and telephone contacts with other state corrections departments. (Please see Exhibit E in Section C of the October 21, 1987 Interim Report on a Performance Audit of the PA Department of Corrections for more details on preliminary survey audit methodology and activities.)

Some of the activities conducted by the auditors for this report included field visits to all 14 State Correctional Institutions and certain of the Department's Community Service Centers and Group Homes; detailed examinations of Department file information pertaining to audit issue areas and an expanded analysis of statistical information and identification of program measures. Some of the information in this analysis included, for example, inmate grievance reports, inmate misconduct reports, inmate escape statistics, inmate population and institution capacity statistics, inmate health care statistics, health care management survey reports, institution inspection reports, American Correctional Association (ACA) audit reports, statistics on rehabilitation programs, etc. During this time the auditors also made further contacts with and received other statistical information from other Pennsylvania criminal justice agencies, national criminal justice agencies and other state agencies responsible for corrections. The auditors also continued contacts with all pertinent DOC officials.

This report will be followed by another audit (planned for late June 1988) which will contain audit findings and recommendations dealing with additional aspects of the state correctional system.

V. APPENDICES

APPENDIX B.1

Three Year Follow-Up Supervision Outcome of State Parolees Only by Institution for the 1983 Release Cohort

Three Year Follow-Up Supervision Outcome of State
Parolees Only by Institution for the 1983 Release Cohort

Institution	Continued/Completed Active Supervision		Technical Parole Violator		Criminal Parole Violator		Criminal and Technical Parole Violator		Cohort Population	% of Total
	No.	%	No.	%	No.	%	No.	%		
SCIC	249	54.8	64	14.1	58	12.8	83	18.3	454	19.5
SCID	160	60.4	51	19.2	20	7.5	34	12.8	265	11.4
SCIG	285	62.1	69	15.0	35	7.6	70	15.3	459	19.7
SCIH	116	57.4	33	16.3	9	4.5	44	21.8	202	8.7
SCIM	86	76.8	10	8.9	10	8.9	6	5.4	112	4.8
SCIP	166	65.4	33	13.0	16	6.3	39	15.4	254	10.9
SCIR	252	59.2	70	16.4	42	9.9	62	14.6	426	18.3
SRCF	98	63.6	33	21.4	8	5.2	15	9.7	154	6.6
TOTALS	1,412	60.7	363	15.6	198	8.5	353	15.2	2,326	100.0

Source: PA Board of Probation and Parole.

APPENDIX C.1

PA Commission on Crime and Delinquency's Prison and Jail Overcrowding Task Force Membership List

APPENDIX

TASK FORCE MEMBERSHIP

PRISON AND JAIL OVERCROWDING TASK FORCE

Membership Listing

Mr. James Alibrio
Manager, Management Information
Division
Pennsylvania Board of Probation and
Parole
3101 North Front Street
Harrisburg, Pennsylvania 17120
(717) 787-1006

Mr. Arthur C. Amann
Chief Adult Probation Officer
Erie County Adult Probation
Department
Erie County Courthouse
Third Floor, West Wing — Room 9
Erie, Pennsylvania 16501
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Mrs. Charlotte S. Arnold
Executive Director
THE PROGRAM for Female
Offenders, Inc.
Penn Liberty Plaza
1520 Penn Avenue
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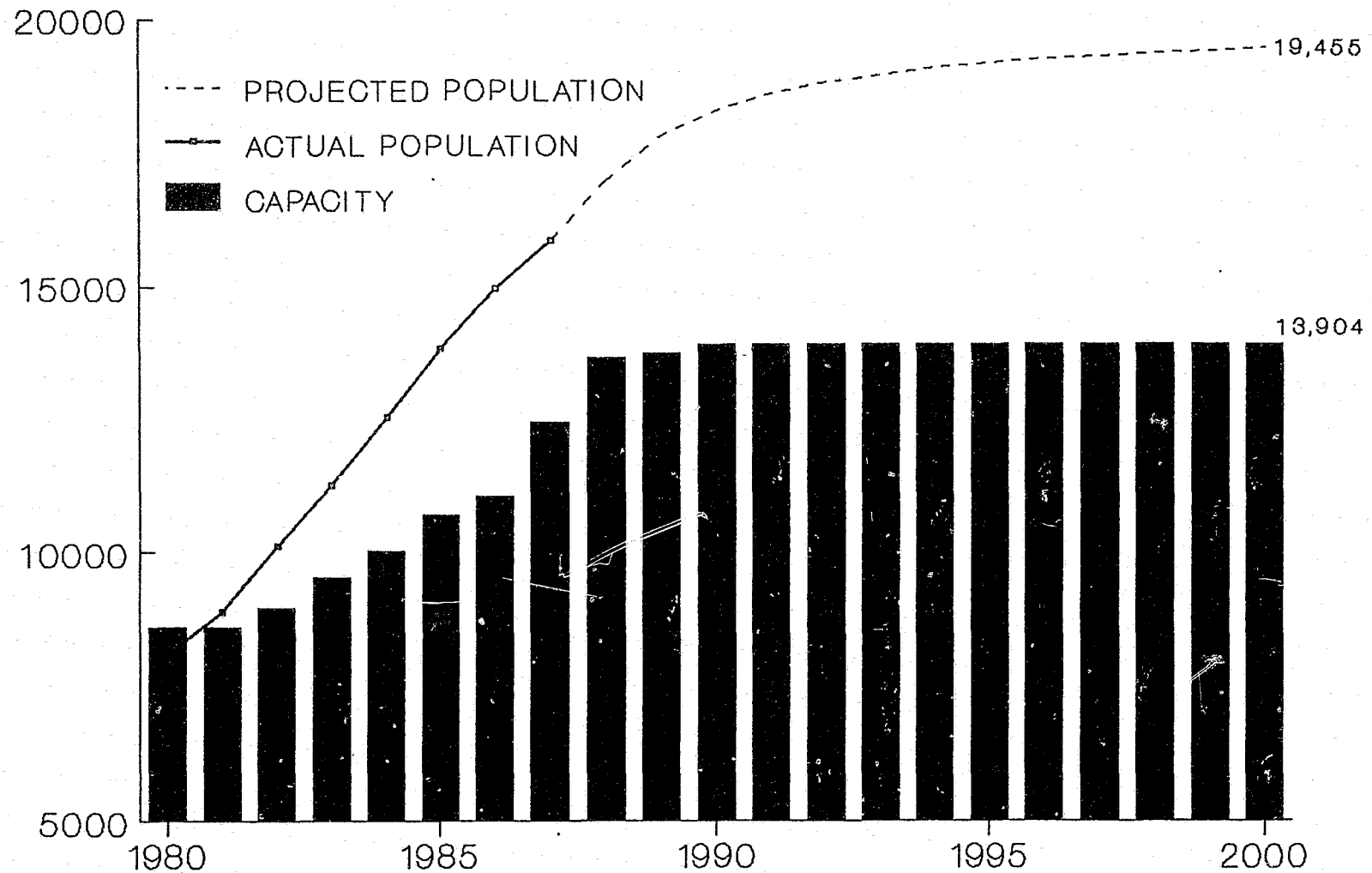
* Steering Committee Member

** Chairman, Task Force and Steering Committee until resignation from the Task Force in January 1985.

APPENDIX C.2

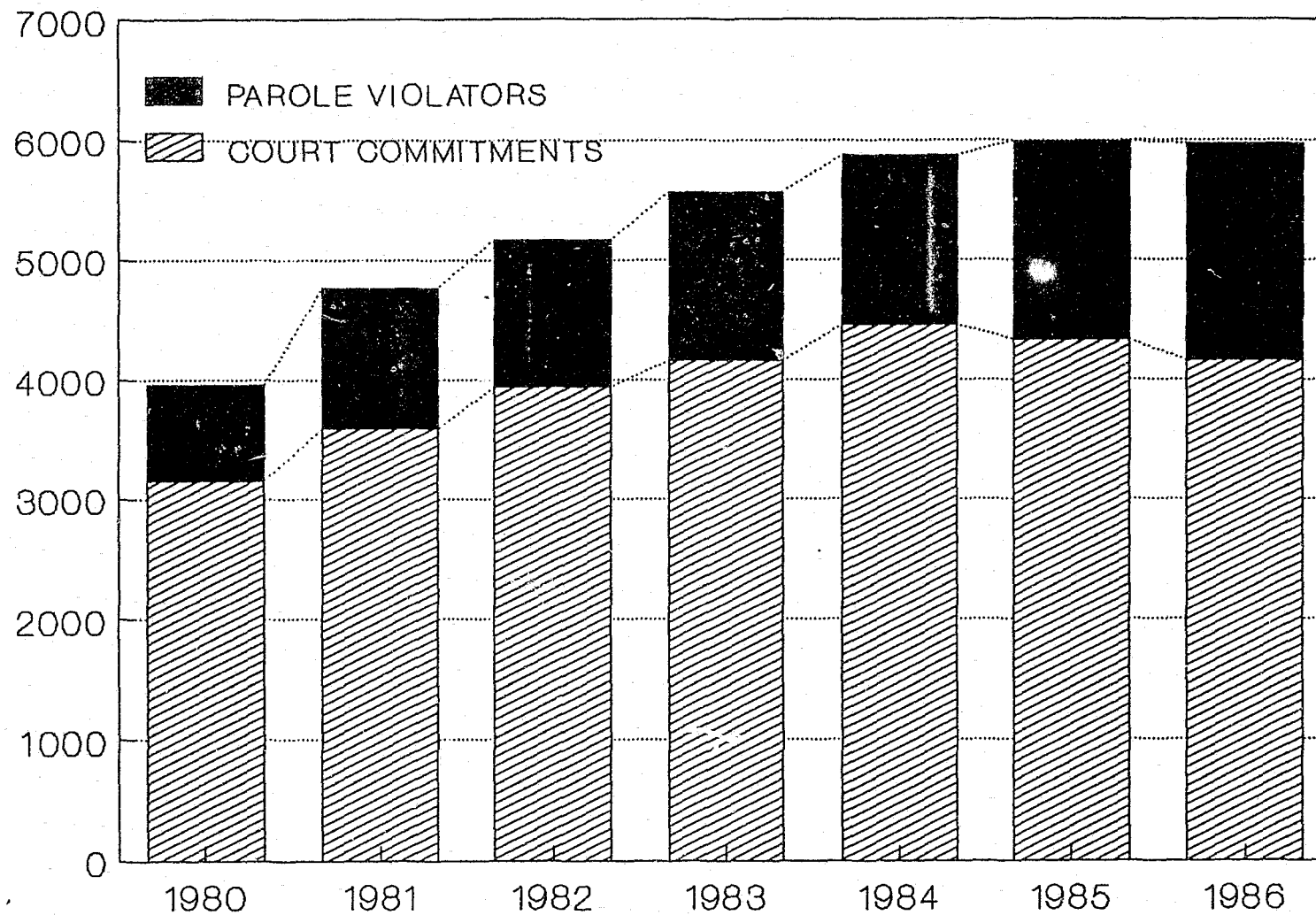
Informational Materials Developed by the Pennsylvania
Commission on Crime and Delinquency Staff for Presentation
at a March 1988 Meeting of Pennsylvania Criminal Justice Agencies
and Other Interested Persons for a Discussion on Prison Overcrowding.

PROJECTED PRISON POPULATION & CAPACITY 1980 TO 2000



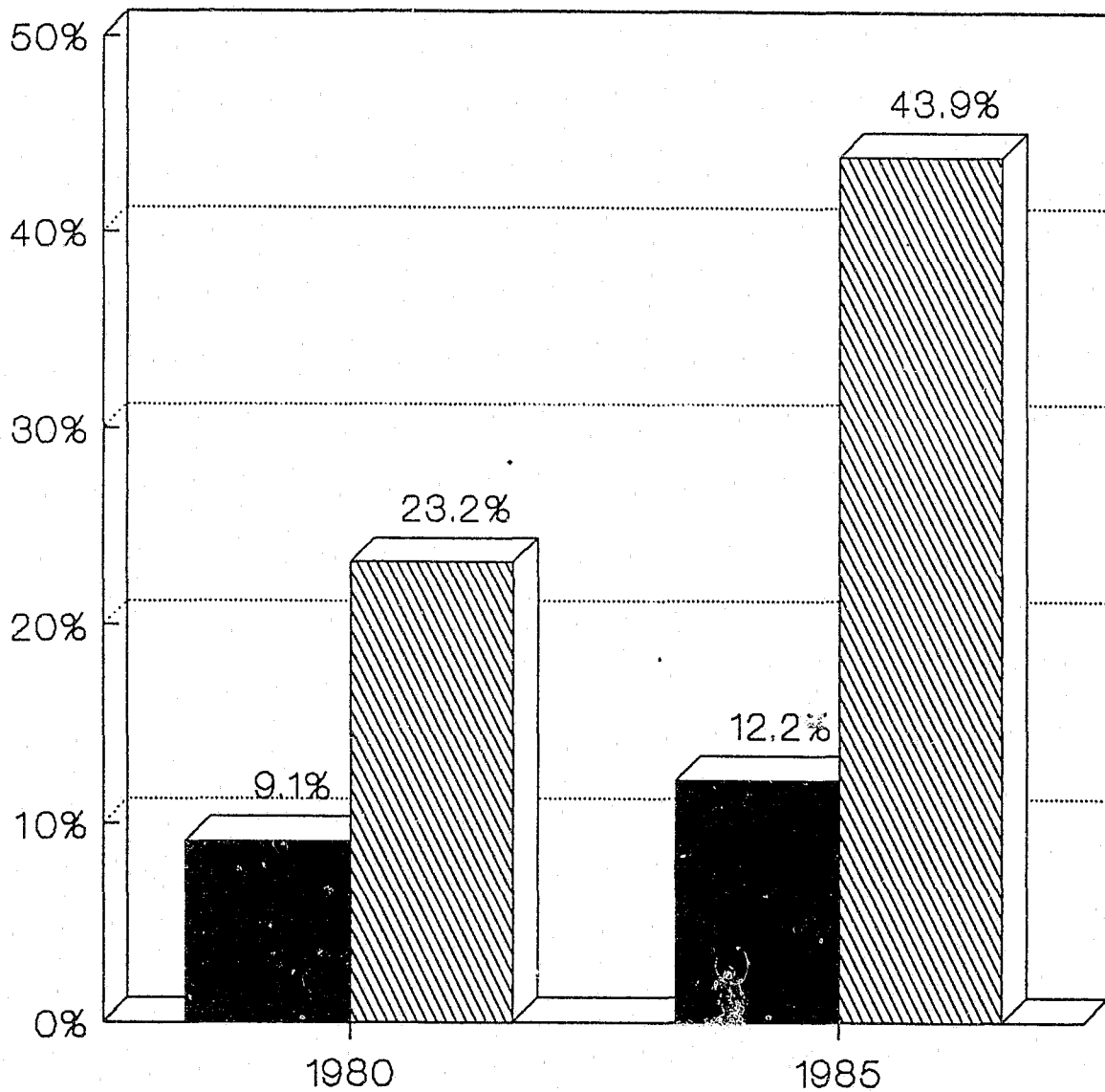
Source: Pennsylvania Commission on Crime and Delinquency.

DEPARTMENT OF CORRECTIONS ADMISSIONS 1980-1986



Source: Pennsylvania Commission on Crime and Delinquency.

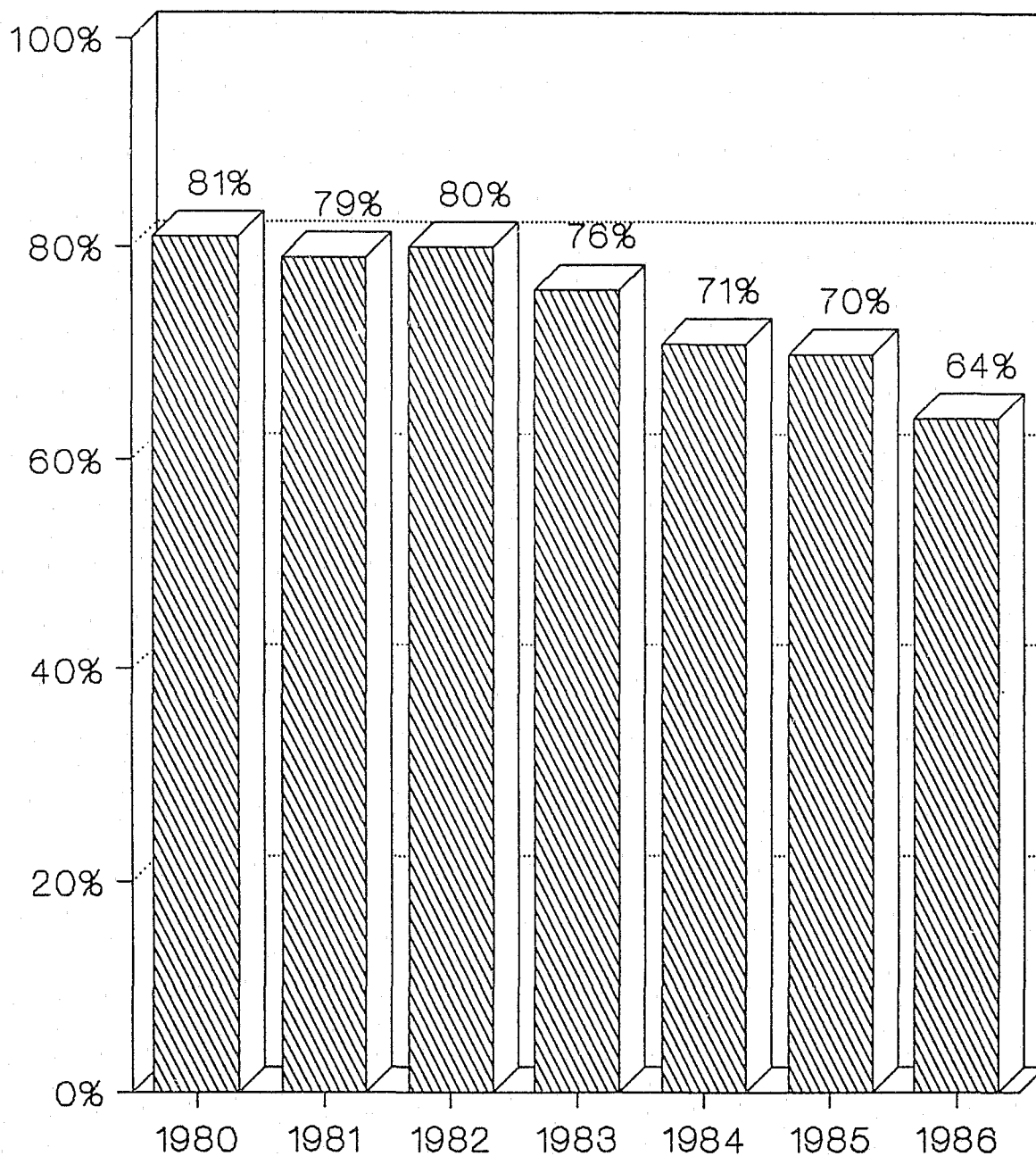
PERCENT OF CONVICTED OFFENDERS SENTENCED TO THE DEPARTMENT OF CORRECTIONS & COUNTY JAILS 1980 & 1985



■ DEPT. OF CORRECTIONS ▨ COUNTY JAILS

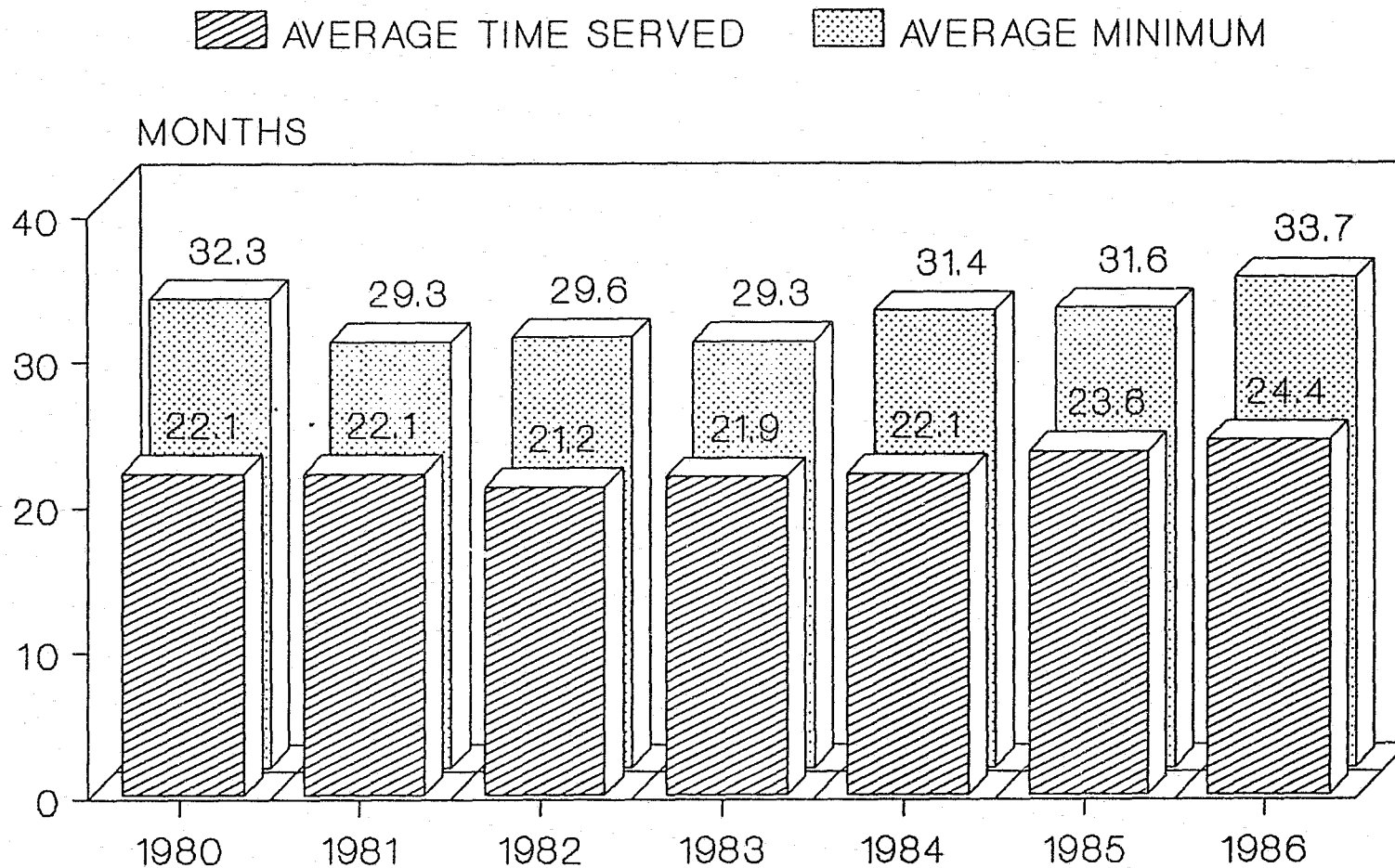
Source: Pennsylvania Commission and Crime and Delinquency.

**PERCENT OF DEPARTMENT OF CORRECTIONS
INMATES GRANTED PAROLE AT MINIMUM
1980-1986**



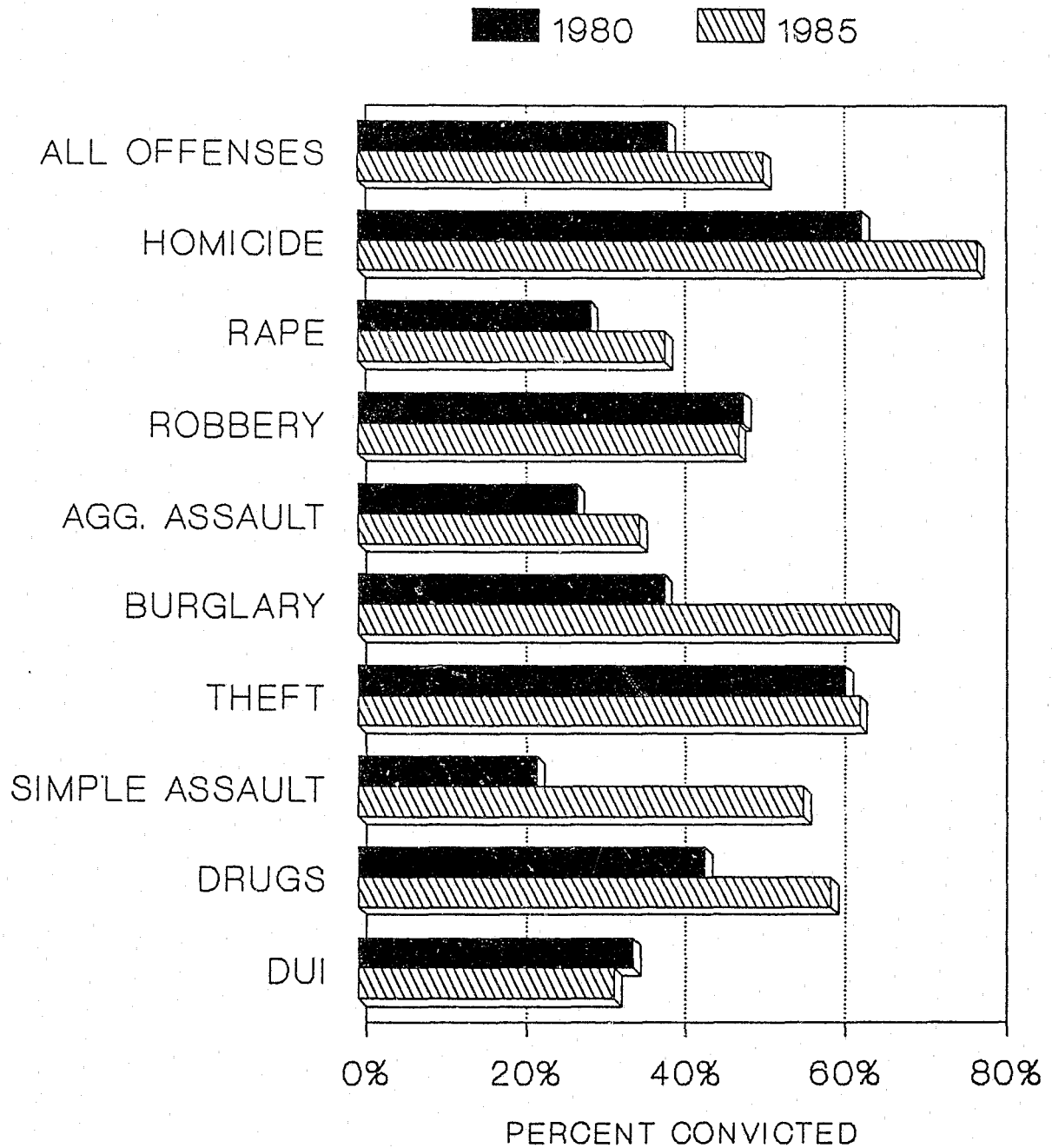
Source: Pennsylvania Commission on Crime and Delinquency.

AVERAGE MINIMUM SENTENCE OF COMMITMENTS & AVERAGE TIME SERVED OF RELEASES DEPARTMENT OF CORRECTIONS 1980-1986



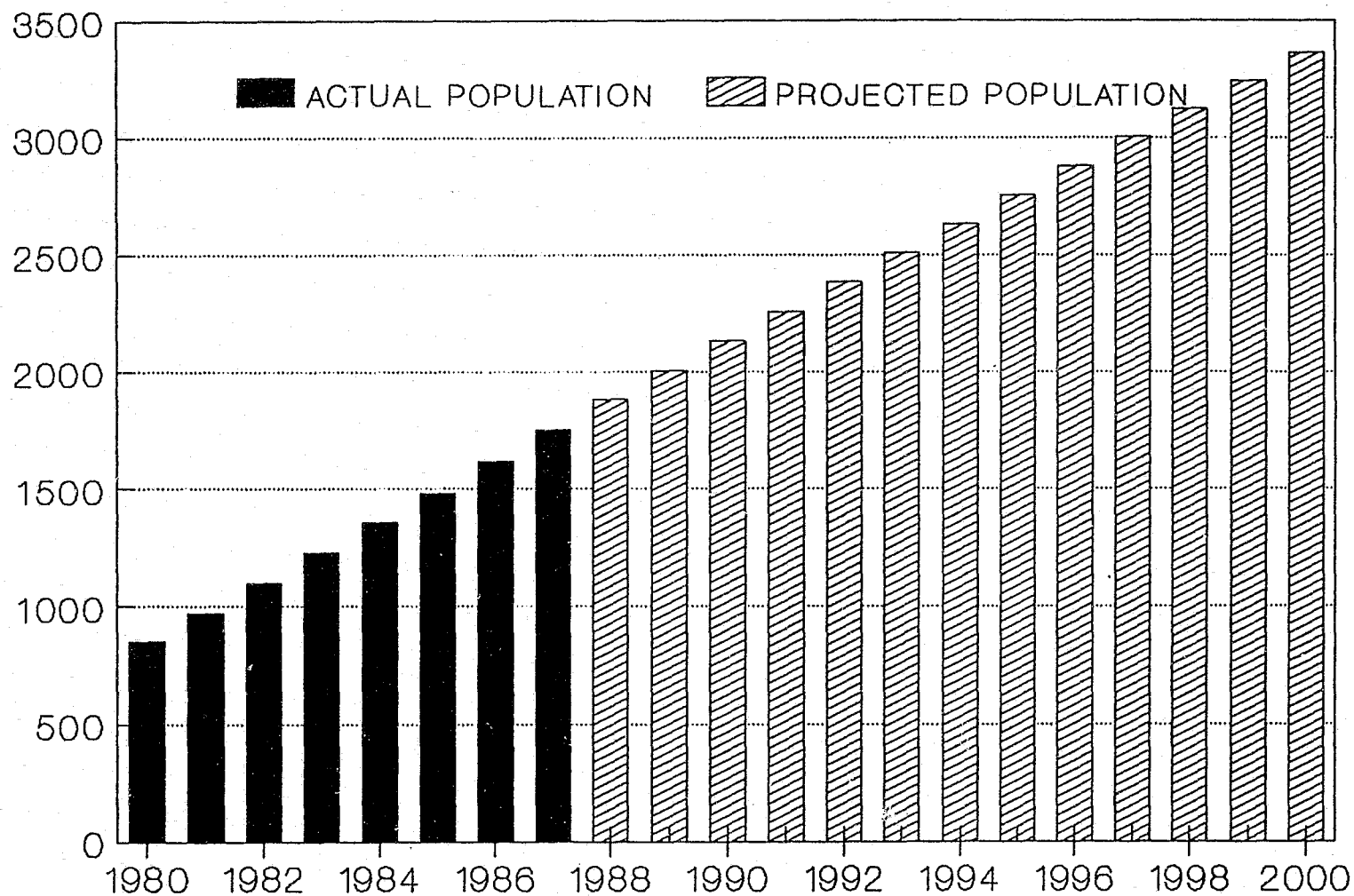
Source: Pennsylvania Commission on Crime and Delinquency.

CONVICTION RATES FOR SELECTED OFFENSES 1980 AND 1985



Source: Pennsylvania Commission on Crime and Delinquency.

YEAR END POPULATION OF LIFERS & EXECUTION CASES 1980-2000



Source: Pennsylvania Commission on Crime and Delinquency.

APPENDIX E.1

Description of Contractual Health Care Services for the Department of Corrections 13 State Correctional Institutions

APPENDIX E.1

Description of Contractual Health Care Services for the Department of Corrections 13 State Correctional Institutions

CAMP HILL

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Dr. Mark B. Cohen	Med/Optomtry	10,500
Teufel Orthotic - Prosthetic Assoc.	Prosthetics	5,500
West Shore Advanced Life Support	Ambulance Services	4,000
Seidle Memorial Hospital	Medical/EEG	5,540
Dr. Christopher Snyder	Services/Internal Med.	18,315
Beane, Kost & Cole	Medical/Urology	5,315
Dr. Barry R. Daub	Medical/Podiatry	315
Lower Allen Ambulance	Services/Ambulance	369
Brothers & Hayduk Assoc.	Med/Dental	630
Dr. Keith Deibert	Medical/Eye Care	315
Patterson, Litton, Lonergan, Yucha & Boal	Medical/Orthopedic	82,000
Dr. Henry Smith	Services/X-Ray	23,800
Dr. Carl Hoffman	Medical/Health Care	76,000
Balester Optical	Med./Optical	8,900
Dr. John F. Mira	Med./Psychiatric	10,800
Dr. Edward Russek	Med./Psychiatric	89,282
Internists of Central PA, LTD	Med./Internal- Cardiological	16,000
Cumberland Apothecary, Inc.	Services/Pharmaceutical	<u>175,000</u>
		<u>\$ 532,581</u>

CRESSON

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Correctional Medical Systems, Inc.	Health Care Services	890,000
Correctional Medical Systems, Inc.	Mental Health Services	<u>319,000</u>
		<u>\$1,209,000</u>

DALLAS

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Biernacki Eye Associates	Medical/Eye Care	16,020
Pocono Neuropsychiatric Center	Medical/Psychiatrist	87,441
A-1 Ambulance	Services/Ambulance	1,350
Balaster Optical Co.	Medical/Eye Glasses	10,000
Philip Censulla, Jr.	Medical/X-Ray Tech.	13,888
Valley Radiology	Medical/X-Ray Interpretation	29,000
Finos Rexall Pharmacy	Pharmacy	180,000
PA Inst. Health Services	Health Care Services	<u>600,000</u>
		<u>\$ 937,699</u>

FRACKVILLE

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Prison Health Services	Health Services	773,524
ARA Health Services	Mental Health Services	<u>350,000</u>
		<u>\$1,123,524</u>

GRATERFORD

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Correctional Medical Systems, Inc.	Mental Health Care	673,117
QC, Inc.	Services/Lab Analysis	1,913
Correctional Medical Systems, Inc.	Medical/Health Care	<u>3,227,000</u>
		<u>\$3,902,035</u>

GREENSBURG

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Diamond Drugs, Inc.	Services/Pharmaceutical	75,000
Union Artificial Limb & Brace Co., Inc.	Services/Prostheses	6,000
Comprehensive Health Care Group	Medical/Health Care	600,000
Mutual Aid Ambulance Services	Services/Ambulance	2,508
Dr. Hugh E. Chavern	Medical/Psychiatric	39,520
Towson Professional Contact Lens	Medical/Eyeglasses	<u>9,900</u>
		<u>\$ 732,928</u>

HUNTINGDON

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Thomas R. Mainzer, M.D., P.C.	Med./Surgical	75,000
Blair Medical Associates	Med./Neurology	8,000
Mark A. Ritter, DDS	Med./Dental	17,500
Huntingdon Ambulance Division	Services/Ambulance	5,950
Huntingdon Radiology, P.C.	Med/Radiological	45,000
Balaster Optical Company	Med./Eyeglasses	9,500
Dr. Stanley Burgess	Med./Optometrist	15,660
Ms. Judy K. Weller	Med./X-Ray	5,200
Fairway Laboratories, Inc.	Services/Lab Testing	4,907
Warner Laboratories, Inc.	Services/Lab Testing	1,300
Huntingdon Bone & Joint Surgery, Inc.	Med./Orthopedic	60,000
Huntingdon Radiology, P.C.	Med./Radiological	2,736
Elizabeth A. Isenberg, R.T.	Med./X-Ray	4,701
Stephen M. Yovino, DMD	Med./Oral Surgery	19,000
Edith Burkett	Med./General	37,440
Easter Seal Society	Med./Speech Pathology	1,200
Deininger and Rupe	Med./Dental	15,000
Ramesh K. Chopra	Med./General	46,800
Diamond Drugs, Inc.	Med./Pharmaceutical	260,000
		<u>\$ 634,894</u>

MERCER

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Robert L. Eisler, M.D.	Medical/Psychiatric	29,120
American Optometric Asso.	Medical/Eyes	6,210
Balaster Optical	Medical/Eyeglasses	4,000
Stewart Oxygen Services	Medical/Oxygen Tanks	312
Diagnostic X-Ray Laboratory	Medical/X-Ray Tech.	18,000
Dr. Vaughn R. Long, D.O.	Medical/Health Care	25,840
Dr. David Hoyt, D.O.	Medical/Health Care	25,840
HPI Health Care Services, Inc.	Services/Pharmaceutical	60,000
		<u>\$ 169,322</u>

MUNCY

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Prison Health Services, Inc.	Mental Health Care	623,447
Muncy Valley Hospital	Services/Radiological	9,180
Analytical Laboratories	Services/Lab	1,366
Montgomery Volunteer Fire Co.	Services/Ambulance	2,500
North Central X-Ray, Inc.	Maint/X-Ray	1,690
Balester Optical Co.	Services/Eyeglasses	4,950
Prison Health Services, Inc.	Health Care Services	<u>280,199</u>
		<u>\$ 923,332</u>

PITTSBURGH

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Mon-Yough Human Services, Inc.	Med/Treat. for Sex Offenders	95,000
Hans Koenig, M.D., Inc.	Med./Orthopedic	23,000
Ogrodnik Ambulance Service	Services/Ambulance	2,090
Thomas J. Campeau	Med./Physical Therapy	6,000
Herbert E. Thomas, M.D.	Med./Psychiatric	49,140
Stuart S. Burstein, M.D.	Med./Psychiatric	7,200
Balester Optical Co., Inc.	Med./Eyeglasses	5,500
J. P. Harika, M.D.	Med./Psychiatric	24,960
Roberta C. Horwitz	Med./Vision Care	12,750
Bauer Surgical Assoc.	Med./General Health Care	11,250
Marvin R. Plesset, M.D.	Med./Psychiatric	31,200
Dr. Athen Georgiades	Med./General Health Care	11,250
Jeffrey Wolf, M.D.	Med./Dermatological	13,000
Paul G. Hofbauer, DPM	Med./Foot Care	4,760
Howard B. Finkelhor, M.D.	Med./Neurology	40
Osborne Mobile Diagnostic Services	Med./X-Ray Tech.	4,446
Luzerne Optical Labs., Ltd.	Med./Eyeglasses	299
Kang-Ning Hu, M.D.	Med./Urological	11,000
General Electric Company	Maint/X-Ray Equipment	8,644
Terence Shaffer, M.D.	Med./Radiologist	17,450
Dr. Paul M. Kiproff	Med./Radiological	7,500
Robert L. Baker, M.D.	Med./Neurology	1,500
Kenneth B. Skolnick, M.D.	Med./Otolaryngologist	25,000
Sidney M. Lytton, M.D.	Med./Psychiatric	32,908
Diamond Drugs, Inc.	Med./Pharmaceutical	<u>250,000</u>
		<u>\$ 655,887</u>

ROCKVIEW

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Martha S. Bennett	Services/X-Ray	720
Tom S. Mebane, M.D.	Services/Health Care	29,120
Balester Optical Co., Inc.	Services/Eyeglasses	14,000
Pleasant Gap Fire Co., Inc.	Services/Ambulance	2,600
G. Robert Royer	Services/X-Ray	1,496
Kevin W. Burke, M.D.	Services/Psychiatric	43,200
Geisinger Medical Group State College	Services/Health Care	46,000
Hussein Aboul-Hosn, M.D.	Services/Health Care	7,000
Gary F. Schell, M.D.	Services/Health Care	70,200
Hugh J. Rogers, M.D.	Services/Health Care	49,400
State College Urologic Assoc., Inc.	Services/Urology	10,000
Stanley Askin, M.D.	Services/Orthopedic	18,000
Gerald B. M. Stein, O.D.	Medical Services	12,600
Abdollah Nabavi, M.D.	Services/Psychiatric	45,677
Centre Diagnostic Imaging, P.C.	Services/Radiological	8,000
Clifford Newman	Services/X-Ray	5,200
Gay D. Dunne, M.D.	Services/Dermatologic	5,000
Douglas E. Collins, D.D.S.	Services/Dentist	12,000
Reidell Surgical Asso., Inc.	Services/Surgical	50,000
NUS Corporation	Services/Lab.	2,148
Institutional Pharmacy Services, Inc.	Services/Pharmaceutical	<u>165,000</u>
		<u>\$ 598,161</u>

WAYNESBURG

<u>Vendor</u>	<u>Purpose</u>	<u>Amount</u>
Greene Podiatry Assoc., Inc.	Services/Podiatrist	1,620
Behavioral Asso. P.C.	Services/Psychological	26,520
Stewart Oxygen Service	Maint./Oxygen Equipment	300
Western Psychiatric Inst. & Clinic	Services/Psychiatric	4,410
Mon-Yough Human Services, Inc.	Medical/Therapy	15,600
Comprehensive Health Care Group	Medical Services	52,100
David Szarell, D.M.D.	Services/Dental	41,600
Centerville Clinics, Inc.	Services/Psychiatric	16,800
Paula Raugellis	Services/Podiatrist	<u>1,080</u>
		<u>\$ 160,030</u>
		<u>\$11,579,393</u>

Source: DOC Budget Request Presented to Appropriations Committees for FY 1988-89.

APPENDIX E.2

Health Care Costs by Organizational
Location, FY 1980-81 through FY 1986-87

APPENDIX E.2

Health Care Costs by Organizational Location, FY 1980-81 through FY 1986-87 (in thousands)

<u>Organization</u>	<u>1980-81</u>	<u>1981-82</u>	<u>1982-83</u>	<u>1983-84</u>	<u>1984-85</u>	<u>1985-86</u>	<u>1986-87</u>
Central Office.....	\$ 314	\$ 431	\$ 512	\$ 736	\$ 592	\$ 582	\$ 694
SCI Camp Hill.....	886	1,107	1,406	1,738	1,909	2,036	2,404
SCI Cresson.....	---	---	---	---	---	---	377
SCI Dallas.....	590	972	1,294	1,393	,466	1,736	1,730
SCI Frackville.....	---	---	---	---	---	---	256
SCI Graterford.....	1,522	1,604	1,674	2,500	3,154	3,551	3,213
SCI Greensburg.....	163	277	307	417	584	848	1,046
SCI Huntingdon.....	695	839	1,032	1,197	1,437	1,693	1,980
SCI Mercer.....	174	199	297	305	413	527	654
SCI Muncy.....	430	561	697	822	1,057	1,294	1,175
SCI Pittsburgh.....	1,352	1,240	1,603	1,924	3,035	2,309	2,288
SCI Rockview.....	621	712	859	961	1,061	1,320	1,514
SCI Waynesburg.....	---	---	---	---	124	272	354
TOTAL ^{a/}	<u>\$6,747</u>	<u>\$7,942</u>	<u>\$9,679</u>	<u>\$11,993</u>	<u>\$14,832</u>	<u>\$16,169</u>	<u>\$17,685</u>

Inmate Population..	8,859	10,161	11,146	12,496	13,834	15,055	16,005
Per Inmate Health Care Costs ^{b/}	\$762	\$782	\$868	\$960	\$1,072	\$1,074	\$1,105

^{a/}Totals may not add due to rounding.

^{b/}Per inmate costs computed by LB&FC staff using the June end-of-month population figures for FY 1980-81 through FY 1985-86. The FY 1986-87 per inmates costs were computed by LB&FC staff using the July 1987 end-of-month population figures.

Source: Developed by LB&FC staff from information obtained from the Bureau of Fiscal Management, PA Department of Corrections.

APPENDIX E.3

Recommendations of the Report on the Medical Services at SCI Muncy

APPENDIX E.3

Recommendations of the Report on the Medical Services at SCI Muncy

A. Women's Health Issues

1. End policy of punishing pregnant inmates, because of the effect on the developing fetus.
2. Have obstetrical and pediatric resuscitation equipment present and train people to use it.
3. House pregnant women in the infirmary during the last month of pregnancy.
4. Send women to hospitals at the beginning of labor, with their records.
5. Separate forensic work from medical work; the former should not be the job of the clinic.
6. Ensure confidentiality of pregnancy records. Lack of security destroys confidence in the clinical team and keeps inmates from confiding.
7. Implement a pregnancy diet and encourage stress reduction and increase rest for pregnant inmates.
8. Hold prenatal classes and counseling, including mothering, family, and labor preparation.
9. If HIV antibody screening is done a confidential system must be in place and adequate counseling offered.
10. Abortion counseling should take place and be documented in the chart.
11. Provide therapeutic abortions where necessary; where financial support is needed it should be provided.
12. Institute a nursery program so that the mothers could keep their babies and breastfeed and bond with them for a period of time.
13. Provide contraception for furloughs.

B. Medical Supervision/Staffing

1. A clinical director should be trained to the level of either board-eligible or board-certified internist or family practitioner. He should be on site daily (at least 20h/week). Another (lesser trained) physician could provide the other 20h per week.
2. He or she should head up an ongoing program of education and enhancement of clinical skills and assessment.

3. He or she should review all laboratory results, X-ray results and consultations.
4. Chart review is a necessity: periodically all charts should be reviewed by the clinical director and the cases summed up and collated.
5. The director should train various people providing different levels of care, for instance, the triage nurses should go through training with this person so that they know what he or she wants. This needs to be an ongoing practice.
6. He or she should set standards and sit on all clinical committees (e.g., mortality committee, pharmaceutical and therapeutics committee).
7. The clinical director should supervise the infirmary and establish admission procedures which include full vital exams and a full physical exam before entrance. Daily assessment standards (again, vital signs!) need to be established.
8. He or she should provide phone coverage but should also be available to the site when necessary.

The use of a physician assistant or a nurse practitioner would also be helpful. Staffing should be increased to include a physician extender with daily (40h/week) coverage.

C. Quality Assurance

A program of quality assurance along lines recommended by JCAH should be set up. This would include standing committees that generate minutes, identify problems and track them until they are solved.

D. Emergency Preparation

ACLS equipment should be on hand. Doctors and physician assistants and nurses should be ACLS-trained. Pediatric and obstetrical equipment should be available for births and a transport system should be in place so that the time between SCI-M and Muncy Valley Hospital is short. Helicopter transport to Geisinger Medical Center is necessary and should be willing to transport inmates.

E. Intake Procedures

Screen for pregnancy and gonorrhea. Be more aggressive about tuberculosis prophylaxis. Modify medical isolation protocols so that inmates do not remain in isolation for unnecessary lengths of time.

F. Review Laboratory Work, Consults and X-rays in a Timely Manner

G. Pharmacy

Establish an on-site pharmacy and hire a pharmacist. An awning should be put over the medications line.

H. Segregation Housing

These areas need a visit from a medical doctor or physician assistant on a daily basis. Correctional officers should never act as surrogate practitioners. The inmates' medical needs (when possibly emergent) need qualified medical staff to make assessments and institute treatment plans. Finally, consultative and specialty follow-up for inmates housed in segregated housing should not be delayed.

I. The X-ray Technician should have State Certification

J. Dental

Hire a hygienist.

K. Charting

Consider reorganization to make important information in the charts more accessible. Use a problem list and SOAP format. The mental health progress notes should be in a separate section of the medical chart. There should be one chart, not three.

L. Diabetic Care

Provide routine podiatric care for all diabetics.

M. Equipment

Purchase a peak flow meter, microscope, centrifuge and Gram stain materials. Train all clinical personnel in the proper use of this equipment.

N. Diets

Provide pregnancy diets along with frequent snacks for all pregnant women, regardless of where they are housed.

O. Overcrowding

Maintain 70 sq. ft. per inmate as a standard.


P. AIDS Education

Ongoing programs should be in place to provide vital facts on prevention, in this high risk population. The clinical team, especially the nurses are best suited to plan and provide this service to inmates and correctional staff.

Source: Report of Dr. Steven M. Safyer, M.D., through the Women's Law Project, Philadelphia, Pennsylvania.

APPENDIX F.1

Department of Corrections'
Administrative Directive on the Use of Force and Restraints

BC-ADM 201 Administrative Directive	COMMONWEALTH OF PENNSYLV.
Subject: USE OF FORCE AND RESTRAINTS	BUREAU OF CORRECTION 

I. PURPOSE

This directive is provided to instruct personnel in the policy of the Bureau of Correction on the use of force and in the justification for its use. Force and restraints will be used by corrections personnel only to accomplish legitimate penological objectives.

II. JUSTIFICATIONS FOR USE OF FORCE

A. Force may only be used against an inmate in one of the following situations:

1. A staff member may use force against an inmate when he reasonably believes such force is necessary for self-defense, in order to protect himself from bodily harm.
2. A staff member may use force against an inmate when he reasonably believes such force is necessary for the defense of others, in order to protect others from bodily harm.
3. A staff member may use force against an inmate when he reasonably believes such force is necessary for the defense of property, in order to protect such property from damage or destruction.
4. A staff member may use force against an inmate when he reasonably believes such force is necessary to prevent the escape of an inmate or to recapture an escaped inmate.

B. A staff member may not use any greater force against an inmate than is necessary to protect himself, or others from bodily harm or to protect property from damage or destruction.

C. A staff member may not use force against an inmate for purposes of punishment or revenge.

D. A staff member may use deadly force against an inmate (force which could reasonably be expected to result in serious bodily injury or death) when such force is necessary to prevent death or serious bodily harm to himself or to another person.

E. A staff member may not use deadly force to protect property from destruction or damage. A staff member may only use deadly force to protect property from destruction or damage where the staff member reasonably believes that the destruction or damage of property will result in death or serious bodily harm to a person.

F. Deadly force may not be used if some lesser degree of force will likely safeguard against death or serious bodily harm.

- G. A staff member may use deadly force against an inmate to prevent an escape or to recapture an escaped inmate in conformity with state law. However, a staff member may not use deadly force to prevent an escape or to recapture an escaped inmate if some lesser degree of force will likely prevent the escape or enable recapture of an escaped inmate.
- H. Firearms and mace may be used only when the use of deadly force is authorized.

III. USE OF RESTRAINTS

- A. Instruments of restraint shall never be applied as punishment.
- B. Instruments of restraint designed to inflict pain or humiliation shall never be used.
- C. Security restraints: Except as otherwise provided herein, instruments of restraint may only be used as a security precaution to prevent escape or as a protection against an inmate injuring himself or other persons. Those items listed in D. 2 below and other instruments of restraint may be used. Some examples include: Plastic flexible cuffs, waist chains, etc.
- D. A licensed physician may direct the use of instruments of restraint on medical/psychiatric grounds.
 - 1. Instruments of restraint may be used when an inmate is confined in a cell or infirmary area only on medical/psychiatric grounds at the direction of a licensed physician or by order of the superintendent or his designated representative, and if the physician is unavailable, if other methods of control fail to prevent an inmate from injuring himself or other persons or from damaging property. The superintendent or his designee should immediately consult a licensed physician for oral medical orders regarding the use of the restraints. Within 24 hours, a physician should examine the inmate and confirm the restraint orders in writing in the medical file. Each inmate in restraints must be seen daily by a physician until the restraints are removed.
 - 2. Instruments of restraint that may be used on order of a licensed physician include:
 - a. Specialized restraints - mittens, bedsheet, halfsheet, and other non-lockable medical techniques.
 - b. Position stabilizers - canvas "crashcart" straps to maintain a supine position.
 - c. "Posey" type padded leather restraints with lockable straps for wrist and ankle.
 - d. Straight jacket - canvas with leather straps and locking mechanism to restrain upper body movement.
 - e. Handcuffs, ankle restraints, and leather waist belt with steel chain connectors.

- f. Other medically acceptable instruments as may be prescribed by the licensed physician for a specific situation.

IV. USE OF MACE

A. When to be used

Mace may be used where an inmate barricades or arms himself and cannot be approached without definite danger to personnel or to himself and when it is determined that a delay in apprehension would constitute a serious hazard to the inmate or other persons or result in a disturbance or property damage. Mace may also be used in other situations where the use of deadly force is authorized.

B. Availability and Storage

1. Mace shall not be carried by personnel except as specifically provided herein. It shall be stored in a secure area of the control center, accessible to authorized personnel only.
2. If in the opinion of the superintendent (or, in his absence, the highest ranking prison official present and available), a scheduled or unscheduled gathering of inmates, general institution climate or the conditions in a specific area of the institution, present a danger to staff or other inmates, the superintendent or such official may decide to arm officers with Mace. In these instances, the superintendent or such official shall supervise the issuing of the Mace and its collection and storage when the danger subsides.
3. When inmates are to be transferred to other institutions, court, hospital or other authorized movement outside the institution and a determination has been made that the inmates involved present a danger to staff or other inmates, the decision to carry Mace may be made.
4. The officer-in-charge of the Restricted Housing Unit, with the approval of the superintendent, or such other official as described in subparagraph 2 herein, shall determine the need for carrying concealed Mace or the use thereof during the movement of inmates for exercise, bathing and similar activities based upon the physical facilities, type and attitude of the inmate involved and the personal safety of himself and of his fellow officers.

C. How to be Used

1. Mace shall not intentionally be directed at the eyes so that it results in a stream hitting the eye but rather administered in a short burst aimed at the face. Permanent eye damage may result when the spray is directed into the eyes.
2. Mace shall not be dispensed at ranges closer than four (4) feet.
3. Mace shall not be used in small rooms where there is no ventilation except in extreme cases and then all personnel and inmates must be

evacuated immediately for severe damage may result from prolonged inhalation of Mace.

4. When using Mace, the stream should be in a short burst, of approximately two (2) seconds in duration. If control is not achieved within fifteen (15) seconds after the first firing, a second burst may be fired.

D. Medical Staff Role

1. If the circumstances do not require immediate action, the medical staff should be contacted prior to the use of Mace to determine whether or not the inmate has any disease or condition that would make the use of Mace particularly dangerous.
2. If the inmate has respiratory or cardiovascular disease, chronic dermatitis or psychosis, Mace may be extremely harmful. Use of it on any inmate with any of these diseases is prohibited except in the most exigent of circumstances where to refrain from its use could cause death and other lesser means to subdue the inmate have been considered or attempted and determined to be ineffective. Also, if the inmate is already known by the psychiatrist, the psychiatrist should, whenever possible, be consulted regarding the best method of managing an inmate.
3. The inmate's eyes shall be flushed with cold water when possible, within five (5) minutes after exposure. All exposed surfaces shall be washed and contaminated clothing shall be changed.
4. The inmate shall be examined immediately by a member of the medical staff and at twenty-four (24) hour intervals for a minimum of fourteen (14) days.

E. Reporting Use of Mace

In all cases where Mace is used, a full written report of the circumstances including medical reports, shall be submitted to the superintendent and forwarded to the Commissioner of Correction.

- F. All personnel shall receive training in the proper use of Mace at the training schools or during the institutional orientation phase. Training shall include the review of this directive and actual use of Mace canisters.

V. SUSPENSION DURING EMERGENCY

In an extended emergency situation or extended disruption of normal institution operation, the time requirements of the directive may be suspended by the Superintendent for a specific period of time with the approval of the Commissioner of Correction.

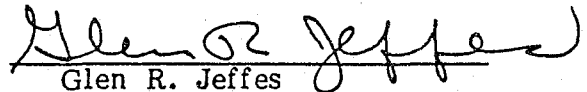
VI. RIGHTS UNDER THIS DIRECTIVE

This directive is intended to reflect the current status of the laws. It sets out policy and procedure. It does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. The directive should be interpreted to have sufficient flexibility so

as to be consistent with law and to permit the accomplishment of the purpose of the directives and policies of the Bureau of Correction.

VII. EFFECTIVE DATE

The foregoing has been approved by the Bureau of Correction and shall be effective May 1, 1984. This supersedes all previous directives on this subject and shall apply to all state correctional institutions and regional correctional facilities.


Glen R. Jeffes
Acting Commissioner

APPENDIX G.1

Major Approved and Funded Capital Projects of
the Department of Corrections, as of January 4, 1988



PENNSYLVANIA DEPARTMENT OF CORRECTIONS

P.O. Box 598
Camp Hill, Pennsylvania 17011

(717) 975-4860
(717) 975-4884

Commissioner
David S. Owens, Jr.

Deputy Commissioner
Administration
LEE T. BERNARD II

Deputy Commissioner
Correctional Services
LOWELL D. HEWITT

Deputy Commissioner
Programs
ERSKIND DERAMLS

(717) 975-4884

January 4, 1988

Major Construction Projects

The following capital projects have been approved and funded. Status of each project is shown, along with the actual construction allocation. All projects completed in F.Y. 85/86 have been deleted.

PROJECT	CONSTRUCTION FUNDS	STATUS	*COMPLETION DATE
<u>SCI-Camp Hill</u>			
DGS 573-9 Renovate Hospital	705,000	Construction @ 85%	Feb 88
DGS 573-12 Mental Health Facility	2,590,000	Waiting for assignment of Architect	
DGS 573-13 Renovate Main Gate	241,000	In Design - Sketch Stage	Apr 89
DGS 573-14 Boiler Plant Impr.	2,600,000	In Design - Sketch Stage	July 90
DGS 573-15 Coal Storage Area	138,000	In Design - Sketch Stage	May 89
DGS 573-16 Reno. of Shower Rooms	1,219,000	Waiting for assignment of Architect	
<u>SCI-Cresson</u>			
DGS 1574-1 Remodel Institution	17,164,000	Phase I - Completed Phase 2 - Completed Phase 3 - Completed	
<u>SCI-Dallas</u>			
DGS 578-10 2nd Fence and Lighting	1,500,000	Construction @ 90%	Mar 88
DGS 578-11 Add. C.O. Tower	200,000	Additional Funds Required	
DGS 578-12 Mental Health Facility	1,750,000	Waiting for assignment of Architect	
DGS 578-13 (Utility Co. Tie Line)	1,500,000	Waiting for legislative approval	

SCI-Frackville

DGS 1576-1	New Institution	31,917,000	Phase I - Completed
			Phase 2 - Completed
			Phase 3 - Completed

SCI-Graterford

DGS 577-10	Sanitary Sewage System	7,716,000	Phase I - Completed
			Phase 2 - Completed
			Phase 3 - Completed
			Phase 4 - Add'l Funds Required
DGS-577-13	Water Systems Rehab.	4,344,000	Phase 1 - Completed
			Phase 2 - Completed
DGS 577-14	New Boiler Plant	6,749,000	Phase 1 - Completed
			Phase 2 - Completed
			Phase 3 - In Design - Pre-Final Stage
DGS 577-15	Expansion of Institution Phase II (418 Cells)	24,469,000	Construction @ 93% July 88
DGS 577-15	Transformers/Switchgear Phase III		Out for Bids
DGS-577-16	Field House Phase I	2,262,000	Construction @ 21% Sept 88
	Athletic Field Phase II		Waiting for Assignment of Architect
DGS-577-18	Electric Dist. System	1,032,000	Construction @ 99% June 88
DGS 577-19	Expansion - Phase II	14,463,000	Construction @ 49% Jan 89
DGS 577-20	Rehab. Existing Bldg.	5,000,000	Construction @ 63% Aug 88
DGS 577-21	New Well and Reservoir	2,120,000	In Design - Sketch Stage Sept 90

SCI-Greensburg

DGS-1570-4	Phase II Expansion	6,585,000	In Design - Sketch Stage April 91
DGS-1570-5	Perimeter Fence	526,000	In Design - Sketch Stage April 91

SCI-Huntingdon

DGS 572-12	Refrigeration/Butcher Shop (By Institutional Staff)	227,000	Construction @ 80%
DGS 572-13	Reno. Elect. System	584,000	Waiting for assignment of Architect
DGS 572-14	Water System Impr.	1,483,000	Architect Assigned
DGS 572-15	Boiler Plant Impr.	2,600,000	In Design - Sketch Stage Dec 90
DGS 572-16	Infirmary Reno.	910,000	In Design - Sketch Stage Nov 89

SCI-Muncy

DGS 574-12	Life Safety Code	1,893,000	Completed
DGS 574-13	Mental Health facility	840,000	Waiting for assignment of Architect

SRCF-Mercer

DGS 1572-3	Site Lighting Phase III	130,000	Construction @ 35%
DGS 1572-4	Warehouse	687,000	Waiting for assignment of Architect

SCI-Pittsburgh

DGS 570-21B	Admn. Bldg./Cell blks. (480 Cells)	19,838,000	Completed
DGS 570-22	Interim Infirmary Phase I		Out for Bids
DGS 570-22	Demolition Work Phase II		Ready for Bidding
DGS 570-22	Health Services Bldg. Phase III	4,965,000	Ready for Bidding
DGS 570-23	Expansion Ph. II	35,807,000	Waiting for assignment of Architect
DGS 570-24	Additional Lighting	212,000	In Design - Sketch Stage April 89

SCI-Retreat

DGS 1575-1	Remodel Inst. Ph. I (482 Cells)	18,674,000	Construction @ 99%	Dec 87
	Remodel Inst. Ph. II (112 Cells)		Funding Required	
DGS 1575-2	Reno. Boiler Plant	1,700,000	Waiting for assignment of Architect	

SCI-Rockview

DGS 571-12	Renovate Cells & Rotunda Ph. I	1,019,000	Completed	
	Renovate Cells & Rotunda Ph. II	1,225,000	Construction @ 1%	Feb 89
DGS 571-14	Extend Sewer Lines	355,000	Construction @ 99%	
DGS 571-16	Life Safety Code	5,410,000	Completed	
DGS 571-17	Infirmary Building	6,808,000	Construction @ 64%	May 88
DGS 571-18	New Water Dist. System	530,000	Waiting for assignment of Architect	
DGS 571-19	Upgrade Electric Systems	530,000	Architect Assigned	

SCI Smithfield

DGS 1573-1	New Institution Ph. I	25,276,000	Construction @ 94%	April 88
	(492 Cells)			
	New Sanitary Sewer Line Phase II		Construction @ 1%	May 88
	One Cell Block Ph. III	1,953,000	Ready for Bidding	
	(64 Cells)			

SCI-Waynesburg

DGS 1577-1 Perimeter Fence/Lighting 614,000 In Design - Final Stage

Total \$270,930,000

Construction Funding:

Act 167 of 1972	_____	\$ 120,000
Act 228 of 1980	_____	\$ 12,724,000
Act 166 of 1981	_____	\$ 81,132,000
Act 156 of 1982	_____	\$ 40,317,000
Act 290 of 1982	_____	\$ 31,917,000
Act 62 of 1984	_____	\$ 33,854,000
Act 118 of 1986	_____	<u>\$ 70,866,000</u>
		\$270,930,000

* Completion dates shown are an estimate based on the best information available at this time.



Robert W. Lorenz
Director
Bureau of Facility Services

RWL/bt

cc: Commissioner Owens
Deputy Commissioner DeRamus
Deputy Commissioner Bernard
Deputy Commissioner Hewitt
Secretary David L. Jannetta
Deputy Secretary Anderson
Superintendents
Director Tepsic
Ken Robinson

APPENDIX G.2

GUIDELINES FOR
PENNSYLVANIA
DEPARTMENT OF CORRECTIONS
STATE INSTITUTION INSPECTIONS

SPECIAL SERVICES DIVISION
Harry E. Wilson, Director
B. R. Faust, Chief Inspector
Revised, 12/6/85

VERIFICATION OF INSPECTION

I CERTIFY THAT THE _____
WAS INSPECTED AND EXAMINED ON THE DATE(S) OF _____
BY DEPARTMENT OF CORRECTIONS INSPECTOR(S) _____

SIGNED: _____ TITLE: _____

(PRINT NAME AND TITLE)

SUMMARY OF FINDINGS

SECTION A

HOUSEKEEPING, SAFETY, SECURITY AND MAINTENANCE

Housing units - list each one and make positive or negative comments. Include information on fire equipment and exit routes. Are routes posted, exits clear and approved signs in place?

FOOD SERVICE DEPARTMENT

KITCHEN AND PREPARATION AREA. Note condition of equipment. Note fire fighting equipment.

SERVING LINES - PROPER DRESS

DINING ROOM

COLD STORAGE

DRY STORAGE

BAKERY

CONTROL OF UTENSILS

PROCEDURES FOR THERAPEUTIC DIETS

Who inspects and how often? Review of reports.

(SECTION A)

MEDICAL DEPARTMENT

DRUG STORAGE Security and temperature control.

SYRINGE AND NEEDLE DISPOSAL

PATIENT SUPERVISION AND SICK CALL

MAINTENANCE AND TRADE SHOPS

HOUSEKEEPING

SAFETY Fire fighting equipment. Safety glasses and Safety Committee (Reference collective bargaining agreement).

TOOL CONTROL Ref; Vol VI OM-082.08

INDUSTRY SHOPS

HOUSEKEEPING

SAFETY

TOOL CONTROL Ref; Vol VI OM-082.08

INDOOR RECREATION

HOUSEKEEPING

SUPERVISION OF INMATES Activities available?

(SECTION A)

VISITING AREA(S)

SUPERVISION

STRIP SEARCH

OUTDOOR RECREATION

SUPERVISION AND CONTROL OF INMATES

CONTROL OF TRASH AND LITTER

CONTROL OF EQUIPMENT

SECTION B

PERIMETER, TOWERS, ARMORY AND CONTROL

SAFETY AND SECURITY (Including weapons and ammo)

KEY CONTROL Any keys to inmates?

POST ORDERS

DETAILED INSPECTION OF ARMORY AND COMPLETE REPORT

FARM BUILDINGS AND WAREHOUSES

SAFETY AND MAINTENANCE

(SECTION B)

RESTRICTED HOUSING UNIT(S)

PHYSICAL CONDITIONS

HOUSEKEEPING

MAINTENANCE

SECURITY

PROCEDURES (ADM - 801)

COMPOSITION OF PROGRAM REVIEW COMMITTEE

REVIEW OF VISITING LOG AND CUMULATIVE ADJUSTMENT (DC-14) (DC-17)
(COUNSELOR, CHAPLAIN, ETC. HOW OFTEN?)

FREQUENCY OF BATHING

OUTDOOR/INDOOR EXERCISE

SECTION C

ADMINISTRATIVE MEMORANDUMS

CONTROL AND STORAGE OF TOXIC AND FLAMMABLE SUBSTANCE Ref; Volume VI, OM-82.08)

SEARCH OF PERSONNEL - ANY RECORDS?

DESCRIPTION OF POST DUTIES Ref; Volume VI, OM-081.07 dated April 21, 1982.

EMERGENCY SQUAD - Ref; Volume VI, OM-084. ACTIVE? WRITTEN PROCEDURES?
EMERGENCY PLAN - REVIEWED WITH ALL STAFF AND DOCUMENTED?

SAFETY, FIRE PREVENTION AND SANITATION Ref; Volume VI OM-086-01 CHECK ALL ITEMS.

INSTITUTION SECURITY Ref; Volume VI OM-082 Section E, Internal Security, #1, 2, 3, and 4. Comment on each. Ref; Counts 082.05. Ref; Security Inspections of Inmate Cells, Volume VI, OM-082.10.

INMATE MAIL - Ref; BC-ADM 803 IV Security C & D, Process for logging of mail which is read and/or reproduced.

APPEARANCE AND CONDUCT OF OFFICERS. PERSONAL CLOTHING INVENTORY RECORD ON EACH EMPLOYEE ISSUED STATE CLOTHING Ref; BC ADM 208

(SECTION C)

INMATE GROOMING Ref; BC ADM 807, IS ENFORCED.

APPENDIX BKG.1

Department of Corrections' Goals and Objectives

Pennsylvania Department of Corrections

GOALS AND OBJECTIVES

The following are major goals — and objectives within those goals — for the state correctional system. Short-term objectives are to be accomplished within fiscal year 1987-88. Long-term objectives are to be completed within the next four years.

I. Goal: To manage all facilities in a safe, secure and humane manner.

A. Short-term Objectives

1. To reduce institutional overcrowding by opening the State Correctional Institution (SCI) at Retreat, SCI Smithfield and the expansion at SCI Graterford.
2. To open 60 additional community service center (CSC) beds for special-needs inmates.
3. To obtain passage of "earned time" legislation.
4. To appoint an in-house task force to meet regularly and recommend solutions to the commissioner regarding the problems of overcrowding.

B. Long-range Objectives

1. To develop and implement a plan to house the anticipated increase in inmate population and, at the same time, reduce the number of inmates currently double celled by 25 percent. This will be accomplished through a combination of the following:
 - a. Additional permanent cells.
 - b. Implementation of earned time legislation
 - c. Work with other governmental agencies, such as the Pennsylvania Commission on Crime and Delinquency, the courts and the legislature, to develop new and innovative programs to reduce overcrowding, such as intensive probation, accelerated release disposition (ARD), community service work, community treatment, restitution and other alternatives to incarceration.
2. To expand planning and research capabilities by forming a Policy and Planning Unit to develop long-range plans, draft policy and procedures, and perform program evaluations.

II. Goal: To provide treatment and classification services which are maintained at professionally accepted standards.

A. Short-term Objectives

1. To determine, within 15 working days of their reception, the operational and programmatic needs of inmates committed to this department by the courts.
2. To develop a prescriptive program plan for each inmate to meet his or her needs.
3. To develop four additional mental health units to provide short-term treatment for 35 additional inmates on a daily basis. These units will be located at SCIs Cresson, Frackville and Retreat.
4. To develop two more drug and alcohol therapeutic communities, located at SCIs Graterford and Pittsburgh. Each of these will provide intensive treatment to 50 inmates at any one time.

B. Long-range Objectives

1. To develop 200 additional mental health unit beds by expanding SCI Graterford's unit and adding units at SCIs Rockview, Pittsburgh, Camp Hill, Dallas and Smithfield.
2. To develop and implement additional resources for special-needs inmates, such as AIDS victims, the elderly, retarded, handicapped, those with long-term sentences and sex offenders.

III. Goal: To operate a productive and viable Correctional Industries Program.

A. Short-term Objectives

1. To increase vocational training opportunities for inmates by 10 percent by creating two new correctional industries programs.

B. Long-range Objectives

1. To replace outdated equipment in the Metal Products Plant at SCI Pittsburgh with modern equipment and safety features, thereby reducing incidents of injury and increasing productivity.
2. To expand the existing garment and printing programs to add 30 inmate jobs, increase productivity and improve working conditions, early in fiscal year 1988-89.

IV. Goal: To recruit, develop and retain qualified staff.

A. Short-term Objectives

1. To staff all new facilities at 100 percent of complement by June 30, 1988.
2. To expand management training programs in new techniques of correctional management to assure that each top- and mid-level manager receives at least 40 hours of annual training.
3. To recognize the importance of affirmative action and increase the number of minority and female employees in all levels of employment — especially mid-management and technical categories — by 15 percent during this fiscal year.
4. To increase, consistent with state regulations, the number of contracts awarded to minority businesses by 15 percent.
5. To increase the number of on-site compliance reviews by 15 percent.

B. Long-range Objectives

1. To increase the number of minority and female employees in all levels of employment — especially mid-management and technical — by 15 percent over the second through fourth years.

V. Goal: To operate the Department in a fiscally sound manner.

A. Short-term Objectives

1. To improve productivity through increased automation, including a new computerized inmate records system.
2. To reduce overtime hours by three percent during this fiscal year.

B. Long-range Objectives

1. To reduce overtime hours by 20 percent over the next four years.
2. To further improve productivity through additional increases in the use of automated technology.

VI. Goal: To provide assistance to local corrections and cooperation with other governmental agencies.

A. Short-term Objectives

1. To increase cooperative research efforts with institutions of higher learning. This will improve our ability to recruit qualified staff and enhance the quality of course content.
2. To ask the governor to convene a meeting of the County Commissioners Association and county prison administrators to assist in the development of plans to solve overcrowding problems and identify necessary resources.
3. To increase technical assistance to counties to improve their operating capabilities.

B. Long-range Objectives

1. To recommend legislation that would create a mandatory training program for county prisons, modeled after the current commonwealth training program for municipal police officers. This would include grants to counties to offset training costs.
2. To join with other criminal justice agencies in a statewide computer network for sharing of information and greater cost efficiency by eliminating duplications of effort.

VII. Goal: To encourage greater community involvement in corrections.

A. Short-term Objectives

1. To collect information from other agencies and other state correctional systems currently having effective community advisory boards which would be useful in establishing our own.

B. Long-range Objectives

1. To establish local community advisory boards for each facility.

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