

OHIO DEPARTMENT OF REHABILITATION AND CORRECTION

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A Systems Approach
to
Corrections in Ohio

Resource Guide

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STATE OF OHIO
DEPARTMENT OF REHABILITATION AND CORRECTION

FALL 1993

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A Systems Approach to the Ohio Corrections Process

Resource Guide

NCJRS

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Director

Ohio Department of Rehabilitation and Correction

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I am extremely appreciative to everyone who provided their valuable expertise in assisting in the preparation of this report, and without whose collective knowledge this document would not have been possible.

* * *

To the executive staff for their tireless efforts and professionalism, talents and contributions in collecting data, providing progress action reports and facilitating the continuous tasks of assuring that each established initiative is directed towards the concluded stage of this project.

* * *

And to the committee whose dedication to professional talents, and willingness to contribute to the mission of the Ohio Department of Rehabilitation and Correction (ODRC) have worked many hours in compiling, assembling, and packaging this document for use as a resource guide.

* * *

To all ODRC support staff who provided technical assistance in the preparation of this document.

EXECUTIVE SUMMARY

Recently, the eyes of the nation were focused on the Ohio Department of Rehabilitation and Correction (ODRC). An eleven day siege at Ohio's only maximum security prison in Lucasville, Ohio began on April 11, 1993; thus marking the nation's longest prison siege where lives have been lost. While national attention was focused on the disturbance at the Southern Ohio Correctional Facility (SOCF), it should be emphasized that this crisis reflected a single event within a highly diverse and complex correctional system. Historically, the role of corrections has been to provide systematic and organized punishment for offenders; to protect society by isolating offenders; to change offender's behavior and to compensate victims. The contemporary era of corrections represents a broader arena and includes multifaceted philosophies, ideologies, approaches and techniques when dealing with incarcerated offenders who have exhibited anti-social behavior. As the inmate population continues to soar at an alarming rate at local, state and national levels, it becomes imperative that the different entities of the Criminal Justice System, particularly the correctional component, enlist leadership and management styles that facilitate and permeate both creativity and pro-activity in meeting the penological challenges of the future.

During the disturbance's aftermath, an abundance of data was generated about the siege and its implications for the future of corrections in Ohio. As Director, I decided to develop and disseminate this resource guide in order to assemble and monitor major initiatives. The resource guide is designed to represent many progressive, as well as aggressive, initiatives currently being instituted as A Systems Approach to the Ohio Corrections Process. This is an ongoing pro-active endeavor to be responsive to the changing demands encountered by the Ohio Department of Rehabilitation and Correction following the SOCF disturbance. These initiatives provide the framework to efficiently manage one of the nation's largest correctional systems.

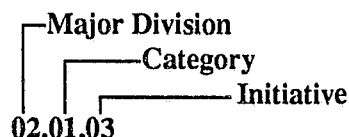
In an effort to look at these initiatives in a broader perspective, and to provide an overview of the myriad, complex issues impacting the operation of this organization, the focus now is to let the right hand know what the left hand is doing. Therefore, through Quality Services Through Partnership (QSTP), our new systems approach, and practical experiences we can all work together to provide safe, secure, and humane prisons in the State of Ohio.

The resource guide reflects the proposed initiatives which are identified by eight major divisions:

01.00.00	Security and Supervision
02.00.00	Inmate Services
03.00.00	Inmate Programming
04.00.00	Human Resources
05.00.00	Parole and Community Services
06.00.00	Communication and Education
07.00.00	Fiscal/Audits
08.00.00	Committees-Synopses and Status

EXECUTIVE SUMMARY

All of the divisions, categories and initiatives are numerically codified to provide for simple identification, systematic documentation and future updates. A three number structure is given to each item with the following breakdown:



Each proposed item is assigned a number that it retains through the process of being initiated and concluded. Each major division is described briefly to introduce the various categories containing relevant material.

The appendices contain Reference Materials, Committee Summaries and additional information. The categories being used are **Proposed**, **Initiated** and **Concluded** and are used throughout the Resource Guide to provide clarity for the reader.

This Resource Guide is a vehicle to portray the paramount initiatives of the Ohio Department of Rehabilitation and Correction; to promote a systems approach for the department; to promote networking and cooperation within the department, media, legislators and other interested stakeholders; and to provide an instrument for evaluating the on-going status and effectiveness of the department's primary goals and objectives.

SECURITY AND SUPERVISION

Security and Supervision

01.00.00

The mission of the Ohio Department of Rehabilitation and Correction includes the admonition "... to protect Ohio's citizens by ensuring effective supervision of adult offenders in environments that are safe, humane and appropriately secure..." The 1993 disturbance at the Southern Ohio Correctional Facility compelled us to take a fresh look at that mission and review policies, practices and procedures that impact our mission. For example, issues emerging during the disturbance were the presence of confidential documents in unit management offices and the use of inmate clerks to type sensitive material. Such infractions in security practices should serve as warnings to all ODRC staff to evaluate their roles in institution security and employee safety.

- 01.01.00 Critical Incident Review**
- 01.02.00 Disturbance Control**
- 01.03.00 Inmate Classification**
- 01.04.00 Inmate Housing**
- 01.05.00 Prison Violence**
- 01.06.00 Prisoner Focus Groups**
- 01.07.00 Security Threat Groups (Gangs) Management**
- 01.08.00 Unit Management**
- 01.09.00 Use of Force**

SECURITY AND SUPERVISION

Critical Incident Review

01.01.00

Any serious event at a prison, such as an escape or assault is termed a critical incident. Currently, critical incidents are reported to central office and investigated by staff where the incident occurred.

Proposed

Initiated

01.01.01

The Office of Prisons has been directed to form independent review teams to investigate critical incidents at ODRC facilities. The teams will be composed of ODRC staff from other institutions or divisions and central office. A meeting on the topic was held in September 1993.

Concluded

SECURITY AND SUPERVISION

Disturbance Control

01.02.00

Disturbance control is a term used for the containment and resolution of inmate mob action ranging from a sit down labor strike to a riot. Each prison has a trained Disturbance Control Team available to manage such incidents.

Proposed

Initiated

01.02.01

All security and disturbance control plans and policies are under review to determine whether revisions are necessary.

01.02.02

A new system of practical exercises and mock scenarios for Disturbance Control and Tactical Response Teams is being developed.

Concluded

SECURITY AND SUPERVISION

Inmate Classification

01.03.00

Inmate classification is designed to provide a fair, uniform and objective method for the security classification of inmates for institutional assignment and control. This classification establishes a means to protect the public, ensure staff safety and achieve the department's rehabilitative goal.

Proposed

01.03.02

Hire two staff to be used as trainers for institution unit staff concerning classification, disciplinary transfers, working philosophies and to perform audit activities.

01.03.03

Hire an additional support person for central office.

01.03.04

Acquire two state vehicles to facilitate travel during training activities.

01.03.05

Acquire a software package to assist in monitoring separations.

Initiated

01.03.01

Conduct a unit management seminar as an initial step toward improving bureau training.

Concluded

SECURITY AND SUPERVISION

Inmate Housing

01.04.00

Inmate housing in Ohio's prisons ranges from minimum security dormitories to maximum security cell blocks and segregation units. Most inmates are housed in general population status. Groups of inmates may be housed together for peer support in programming areas such as literacy and substance abuse.

Cell Assignments

The current practice of random cell assignment emanates from the White v. Morris court case that addressed racial "bunching" in prisons. Random cell assignments combined with crowding have resulted in strong objections from inmate hate groups.

Oakwood Forensic Center

The Oakwood Forensic Center is a 164-bed maximum security psychiatric treatment facility providing acute clinical care for mentally ill inmates. The facility is currently being operated by the Ohio Department of Mental Health (ODMH) at less than capacity despite the critical need for psychiatric care in Ohio's prisons.

Segregation

Inmates requiring specially managed environments to protect the safety and security of the institution are housed under the following designations:

Security Control (SC) - pre-hearing detention for inmates who violate serious rules of conduct or are in isolation for investigative purposes.

Disciplinary Control (DC) - Inmates may spend up to thirty days in DC after being found guilty of violating institution rules.

Local Control (LC) - housing is for inmates who have shown an inability to adjust to prison life and present a threat to security.

Protective Control (PC) - provides a protective environment to ensure the safety of inmates who may be endangered by placement in the general population.

Administrative Control (AC) - houses predatory or assaultive inmates who pose a serious threat to the safety of staff and inmates.

SECURITY AND SUPERVISION

Proposed

01.04.04

The department and the Ohio Attorney General's Office have asked for more flexibility from the Federal District Court in implementing racially neutral cell assignments. While "forced integration" has resulted in some progress in inmate racist attitudes, a faction of the inmate population will remain adamantly against celling with inmates of other races. (See Legal Issues)

01.04.05

Additional specially managed housing will be needed as the numbers of inmates entering the system create an increase in the number of inmates violating prison rules. The construction of a super-max prison would serve to house the most dangerous of Ohio's inmates is under consideration.

Initiated

01.04.02

Staff are benchmarking other states to study their solutions to racially integrated celling.

01.04.03

The ODRC and ODMH have proposed a plan to the legislature turning the operation of Oakwood over to the ODRC with clinical services provided by the ODMH. The increased population would require more staff and funding for the facility. The proposal has been fully funded by the legislature. (See Mental Health Services)

Concluded

01.04.01

Due to expanding prison populations, managers have devised additional disciplinary steps such as cell and privilege restriction, extra duty assignments and loss of good time credit.

SECURITY AND SUPERVISION

Prison Violence

01.05.00

Prison violence can be distinguished by the following three categories: inmate on inmate violence, inmate on staff violence and inmate on facility violence. During calendar year 1991, there were 200 inmate on staff assaults and 637 inmate on inmate assaults which required medical attention.

Proposed

01.05.02

Conduct research and evaluation of programs, security features and staff issues such as communication skills, policies and staffing levels.

01.05.03

Develop a system for tracking prison violence which would lend itself to statistical analysis.

01.05.04

Expand staff training to identify signs of violence and measures to address general violence problems.

Initiated

01.05.01

ODRC is currently evaluating the forms and methods for reporting prison violence in order to assist in analysis. A 90-day trial run on new report forms is in process at this time.

Concluded

SECURITY AND SUPERVISION

Prisoner Focus Groups

01.06.00

Some prison systems have utilized inmate advisory groups to keep management updated on issues and concerns. A prisoner focus group may be a short or long-term association of inmates to express concerns and inform staff on population moods and issues.

Proposed

01.06.01

The Office of Prisons has been directed to evaluate a system for conducting inmate focus groups to discuss and provide input regarding quality of life issues in prison.

Initiated

Concluded

SECURITY AND SUPERVISION

Security Threat Groups (Gangs) Management

01.07.00

Controlling and dispersing groups of inmates with destructive agendas are an important function of maintaining an effective prison security operation. Prior to May 1992, ODRC informally identified inmates associated with a Security Threat Group (STG) during the reception process. The department has not designated staff or management and control strategies for tracking STG inmates throughout the system.

Proposed

Initiated

01.07.05

A policy for the management of STG activity in ODRC has been drafted and is under review.

01.07.06

A single personal computer database has been developed at central office and discussions are being held with Management Information Systems (MIS) to incorporate STG data collection needs into the Inmate Progression System (IPS).

Concluded

01.07.01

STG training for institutional training officers and STG coordinators began in December 1992. STG training is in place for both inservice and pre-service training activities.

01.07.02

An ODRC Rule of Conduct for inmates prohibiting STG activities among inmates was adopted in January 1993 and is currently enforced.

01.07.03

STG coordinators have been established at each institution and have held a statewide meeting.

01.07.04

Formal classification of STG inmates began at the reception centers in January 1993.

SECURITY AND SUPERVISION

Unit Management

01.08.00

Unit management is an approach to inmate institutional management designed to improve control and relationships by dividing the larger institution population into smaller, more manageable groups and to improve the delivery of correctional services. In unit management, a team approach is utilized. Programmatic and personal needs are addressed in a timely manner, reducing inmate frustration and creating a less tense environment. Unit management staff work in conjunction with other areas of the institution to enhance prison security.

Proposed

Initiated

01.08.01

A statewide unit management summit is planned for September 1993 and will cover topics of concern regarding the unit management concept. The summit will focus on developing cooperation between departments within the prisons.

01.08.02

A revised unit management reporting system is under development to enhance in-house intelligence gathering and improve cooperation between unit management staff, custody staff and others.

01.08.03

Social service supervisors and unit management staff have been directed to meet regularly to share concerns and participate in on-going training.

Concluded

SECURITY AND SUPERVISION

Use of Force

01.09.00

The use of force in a prison system ranges from slight force (guiding an inmate by the arm) to deadly force. Any time an inmate is physically handled in Ohio's prisons, a use of force report and review is conducted to ascertain whether the force used was the least force necessary to address the situation.

Proposed

Initiated

01.09.01

A Use of Force Process Review Committee has submitted a preliminary report on policies and procedures governing the use of force on prisoners. The committee is reviewing the appropriateness of use of force cases in calendar year 1992 to determine any unusual patterns.

01.09.02

The Use of Force Process Review Committee is developing procedures to conduct independent reviews in controversial use of force cases.

Concluded

INMATE SERVICES

Inmate Services

02.00.00

The mission of ODRC includes the goal of instilling in offenders an improved sense of responsibility and the ability to become productive citizens. The department provides trained staff and resources to address medical problems, mental health issues, religious services and substance abuse recovery services. The diverse character of our inmate population necessitates a broad range of services within each of these categories.

- | | |
|-----------------|-----------------------------|
| 02.01.00 | Medical Issues |
| 02.02.00 | Mental Health Issues |
| 02.03.00 | Recovery Services |
| 02.04.00 | Religious Services |

INMATE SERVICES

Medical Issues

02.01.00

The issue of forced Tuberculosis testing under lockdown conditions was found to be a triggering factor in the SOCF disturbance. Illness, and the availability and quality of medical care cause more anxiety in a prison setting than in the general population. On a typical working day, ten percent of the inmate population seeks access to health care. Since the disturbance in April, 1993, a great deal of attention has been focused on prison medical issues.

Proposed

02.01.04

The department medical director will conduct an assessment of the role of nurses in the prison setting. Currently, nurses spend a great deal of time dispensing non-prescription medication. It is felt that a role making greater use of nurses' training and abilities will not only enhance the delivery of medical care, but serve as a morale booster for the nurses.

02.01.05

The Bureau of Medical Services proposes that I&E money be targeted to fund a program to directly evaluate and address grievances related to medical care and staff.

02.01.06

A program to coordinate non-mandated, but often litigated medical care such as non-prescription medication and medical prosthetics has also been proposed.

Initiated

02.01.02

Once nearly eradicated, Tuberculosis has made a comeback in the United States. This airborne disease is especially dangerous in a crowded prison setting. The department has taken pro-active steps to discover, isolate and treat all inmates testing positive for exposure to this deadly disease.

Concluded

02.01.01

As part of the surrender agreement with the rioting inmates at SOCF, the department consulted with Islamic experts and the Ohio Department of Health (ODH) on the issue of Tuberculin testing. Islamic leaders provided assurances to Muslim inmates that there is no prohibition against inoculations in the Koran. The Ohio Department of Health worked with the department to evaluate our tuberculin testing policies and procedures and offered advice on moving forward with the testing program. (see SOCF Inmate Demands, Appendix A)

02.01.03

The Corrections Medical Center in Columbus opened in August, 1993. The CMC will serve as a centralized medical unit for Ohio's prison system. The scope of medical care at CMC will include 23 medical specialty clinics in cooperation with the Ohio State University, physical therapy, radiology, laboratory work, long-term and skilled nursing care.

INMATE SERVICES

Mental Health Services

02.02.00

Mentally ill inmates are treated through a jointly operated system provided by the ODRC and the ODMH. The increase in inmate population has caused a corresponding increase in the number of mentally ill inmates requiring treatment. Staff from ODRC and ODMH work to identify, diagnose, stabilize and treat mentally disturbed offenders.

Proposed

02.02.04

The department is exploring the possibility of contracting with local mental health providers to augment current service delivery systems and provide after hours call coverage.

02.02.05

The department is proposing contracting with a university to develop a curriculum for training custody staff assigned to psychiatric residential units.

02.02.06

A contract with a nursing school to develop a training video to teach skills for the management of acute psychiatric illness and to recognize side effects of psychiatric medications is under consideration.

02.02.07

Mental health staff recommend the establishment of additional psychiatric residential units to house behaviorally disabled and mentally retarded inmates.

Initiated

02.02.02

The transfer of the Oakwood Forensic Center to ODRC to provide specialized programming for chronically mentally ill inmates who have demonstrated a history of treatment failures has been funded by the legislature. (see Inmate Housing)

02.02.03

Staff are reviewing existing residential treatment programs to identify problem areas in the delivery system for the mentally ill inmate.

Concluded

02.02.01

Aftercare treatment coordination has been increased through the establishment of aftercare committees composed of ODRC, ODMH and community service care providers.

INMATE SERVICES

Recovery Services

02.03.00

The relationship between substance abuse and crime is well documented. Ohio has not been immune to this nationwide problem. The 1992 ODRC Intake Study shows that between 70 percent and 80 percent of new admissions have alcohol and/or other drug problems while 32 percent were convicted of a drug offense. ODRC's mission in regard to recovery services is to provide an array of services to include identification, assessment and treatment for those needing substance abuse programming. Changes in the sentencing structure for non-violent inmates could open up funding opportunities and programming space for substance abuse recovery services.

Proposed

02.03.02

Develop new job descriptions, appropriate pay classifications and specialized training to attract and retain qualified service providers.

02.03.03

Include in the upcoming budget, funds targeted for resources such as computers, current literature and training to enhance the delivery of substance abuse and recovery services.

Initiated

02.03.01

ODRC developed a treatment-matching pilot project at the Corrections Reception Center (CRC) in collaboration with the Ohio Department of Alcohol and Drug Abuse Services (ODADAS). This pilot will match the assessed needs of the inmate with the appropriate treatment modality. An application has been prepared for a grant award from the Center for Substance Abuse Treatment to support matching 2500 inmates with supervision, control and treatment programs appropriate to their assessed needs and perceived risks.

Concluded

INMATE SERVICES

Religious Services

02.04.00

Religious Services oversees all organized religious activities within institutions. A ratio of one chaplain to 1,150 inmates currently exists. Activities include conducting worship services, supervising chaplains and religious volunteers, providing pastoral care and counseling inmates within the institution.

Proposed

02.04.02

The effectiveness of increased security measures has funneled attempts to organize gang activities under the guise of religious groups. Increase inmate work and program opportunities to combat this trend.

02.04.03

Increase the number and type of inmate jobs and school programs to reduce inmate idleness as well as provide training and hope for the inmates.

02.04.04

Conduct pre-service training at the Corrections Training Academy (CTA) for new staff on religious issues and concerns and give similar periodic presentations to the Leadership Development Classes.

02.04.05

Produce a Religious Services Handbook to outline basic tenets, holidays and practices for each faith group.

02.04.06

Fill the chaplain positions at Lorain Correctional Institution (LORCI), Southeastern Correctional Institution (SCI) and Warren Correctional Institution (WCI) and then add a third position at SOCF.

Initiated

02.04.01

Plans have been made to implement Project Angeltree organized by Chuck Colsen's Prison Fellowship Ministry that will provide Christmas gifts to the children of incarcerated parents.

Concluded

INMATE PROGRAMMING

Inmate Programming

03.00.00

Inmate programming has long been a principle tool to manage idleness in the inmate population and includes work assignments, scholastic and vocational education, special programs and recreation. Specialists in each of these areas function to increase the inmates' exposure to and involvement in a variety of activities to help defuse tensions inherent in inmate idleness. Work, education and recreation programs help prepare inmates for the transition to becoming successful citizens.

03.01.00 Educational Programs

03.02.00 Female Inmate Issues

03.03.00 Recreation Programs

03.04.00 Work Assignments

INMATE PROGRAMMING

Educational Programs

03.01.00

Educational programming is an integral part of the correctional process. In Ohio formalized education was initiated in 1961, and today provides educational programming that encompasses an average daily enrollment of 7,991, and an involvement of approximately 50 percent of our inmate population in some type of educational activity during the year.

Proposed

03.01.04

Explore, develop and implement programming that emphasizes career motivation, orientation and exploration.

03.01.05

Emphasis should be placed on identifying potential administrators for the Ohio Central School System (OCSS).

03.01.06

Regionalization should be reviewed to determine its success relative to staff development and providing career opportunities for all staff, especially minorities.

03.01.08

Establish and develop linkages between vocational education and private business and industry for placement of vocational completers.

03.01.09

Explore the use of private and community agencies to provide resources and services to address job readiness and job placement and OCSS needs in Special Education.

03.01.10

Explore the use of interactive video to offer specialized courses and/or expanded program offerings to the OCSS either through local educational programs, joint vocational schools or colleges and universities.

03.01.11

Explore the use of local educational programs, local joint vocational schools, community colleges as well as four year colleges and universities to provide resources and services to address the educational needs of Community Based Correctional Facilities (CBCF).

Initiated

03.01.02

Identified an institution whose staff and mission will address the educational needs of inmates in pre-release status.

03.01.07

Non-traditional programming for both men and women is being emphasized in the development and implementation when planning new educational programs.

03.01.12

A strategy is being designed for implementing a state-wide computer network that will allow educational data to be stored centrally and will be disseminated and shared by all educational entities in OCSS and other appropriate departments.

INMATE PROGRAMMING

Proposed

03.01.13

Initiate an effective mechanism for developing and implementing a formalized research component for OCSS.

03.01.14

Develop a strategy to more effectively integrate educational programming in the overall operation of the institutions.

03.01.15

Hire staff and develop techniques at reception centers for identifying inmates eligible for special education.

Initiated

Concluded

03.01.01

Created ten literacy units designed to provide intensive academic exposure for program participants to develop social and academic skills in a residential setting.

03.01.03

Courses of study have been developed which emphasize student outcomes and disseminate to all instructional staff.

INMATE PROGRAMMING

Female Inmate Issues

03.02.00

Each of the three female institutions is experiencing crowding levels exceeding 150 percent. The development and utilization of alternatives to incarceration for female offenders would serve to ease serious crowding in the women's prisons, allowing for more effective use of limited bed space and program opportunities. Most incarcerated women are first time offenders who have committed property crimes for which community sanctions could be a more appropriate punishment. Extensive programming is available to incarcerated women with focuses on prenatal training, parenting and substance abuse counseling.

Proposed

03.02.04

Evaluate staffing levels to be commensurate with crowding.

03.02.05

Make a determination on programming funds to either allocate a ODRC line item for funding or assign line items to other state agency budgets for programming for incarcerated women.

Initiated

03.02.03

As an older facility, ODRC is addressing the physical plant needs at the Ohio Reformatory for Women (ORW) with additional fiscal resources.

Concluded

03.02.01

ORW has been very successful in using local resources, providing services to the community and working with an advisory group.

03.02.02

ORW has developed a cost saving initiative group assigned to find ways to lower expenses and conserve resources.

INMATE PROGRAMMING

Recreation Programs

03.03.00

Recreational activities provide a positive outlet for inmate energy, significantly reducing stress and enhancing security within prisons. Recreation reduces inmate idleness while encouraging cooperation and teamwork. Following the crisis at the Southern Ohio Correctional Facility, a focus group was convened to study the issue of recreational activities in the prison setting.

Proposed

03.03.04

The focus group will research ways to develop a system to streamline and provide consistency and efficiency in the recreational activity budgeting process. The group will also solicit clear instructions on the appropriate use of Industry and Entertainment (I&E) funds.

03.03.05

The recreational directors will study the role of correctional officers in the recreational process with a view toward improving cooperation and supervision.

03.03.06

Incentives and ideas for career growth in the recreational staff classification will be proposed by the focus group.

03.03.07

An informational and educational initiative will be developed to inform ODRC employees and the general public about the benefits of recreational programming.

Initiated

03.03.02

A staff member has begun benchmarking other state's weight lifting programs to gain input.

03.03.03

The medical director is conducting a survey of injury causing activities to create a comparison with the number of injuries incurred by weight lifters.

Concluded

03.03.01

The focus group initiated a study and submitted a report on the use of free weights and alternative methods of body building activities in prisons of different security levels.

INMATE PROGRAMMING

Work Assignments

03.04.00

Good work programs for inmates are critical in helping accomplish three important goals: to establish a controlled and positive prison environment where productive work reduces idleness; to provide efficient labor to operate and maintain the prisons; to assist the inmates in developing good work habits and acquiring skills useful in securing employment after release.

Proposed

03.04.02

Increase departmental efforts to determine how to match excess available labor to projects in the community in need of labor.

03.04.03

Explore the use of existing space in OPI and school areas with additional supervisors for a second and third shift of inmates performing community service activities.

03.04.04

Increase housing rehabilitation projects using trained inmate labor.

Initiated

03.04.01

The Special Projects Coordinator has met with representatives of the Mid-Ohio Food Bank and interested institutions to discuss a larger effort on the Green Bean Project in 1994.

Concluded

HUMAN RESOURCES

Human Resources

04.00.00

Human resources are among the most important elements of any organization. All staff offer services and bolster security to the environment. The Human Resources Division strives to recruit and retain a high quality of employee which mirrors the general population of the state.

- 04.01.00 Employee Qualifications/Evaluations**
- 04.02.00 Labor Relations**
- 04.03.00 Minority Recruitment**
- 04.04.00 Staffing Issues**
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HUMAN RESOURCES

Employee Qualifications/Evaluations

04.01.00

The Department of Rehabilitation and Correction continues to improve its professionalism by recruiting prospective employees who possess higher education qualifications and by continually improving and refining the evaluation process for all employees.

Proposed

04.01.04

Additional training should be implemented for conducting non-discriminatory performance evaluations for supervisory staff.

Initiated

04.01.03

The department has developed an employee skills inventory to be used to identify minorities with potential for advancement.

Concluded

04.01.01

The minimum qualifications for correctional officers have been upgraded to meet physical ability, literacy and high school education requirements.

04.01.02

The process for conducting and strengthening performance evaluations was reviewed.

HUMAN RESOURCES

Labor Relations

04.02.00

The ODRC is the State's largest agency, with over 9,000 employees. Of those, 7,500 are bargaining unit employees represented by four unions. Fostering a better relationship and improving lines of communication between the unions and management are top priorities for the department.

Proposed

Initiated

04.02.03

Steps to enhance relationships between unions and management have been initiated. A directive to include union representation in all decision making groups has been issued. The Office of Labor Relations is dedicated to improving labor and management cooperation and networking.

Concluded

04.02.01

A focus group comprised of American Federation of State, County and Municipal Employees/Ohio Civil Service Employee Association (AFSCME/OCSEA) chapter presidents and bargaining unit members has been formed and met to discuss issues related to Ohio corrections. (see QSTP)

04.02.02

The Office of Collective Bargaining presented a seminar on future bargaining unit negotiations to senior staff and wardens.

HUMAN RESOURCES

Minority Recruitment

04.03.00

Over the past several years the department has hired and promoted minorities into all classifications and management levels. Because over 50% of the inmates are minorities, the department recognizes the continued need for aggressive recruitment and retention of women and minority employees throughout Ohio's prisons to improve staff and inmate interaction.

Proposed

04.03.05

The Employee Relations Division has been directed to set a goal of 25% minorities and 25% females in newly hired correctional officers. The goal for new hires would continue at any new prison to open in the future.

04.03.06

A number of institutions are located in geographical areas with low minority populations. As a possible recruitment motivation, incentives for minority applicants should be reviewed.

Initiated

04.03.02

The director has established an Assessment Center and has assigned an employee from the Bureau of Personnel as recruitment coordinator to assist in a comprehensive recruitment effort. The Assessment Center is to be operational by December 1, 1993.

04.03.03

The department has expanded its recruitment strategies to include: live radio interviews, public service announcements and recruitment fliers for churches, schools and universities. The ODRC has begun production of a departmental video to be utilized at job fairs, testing sites and speaking engagements.

04.03.04

The Deputy Director of Employee Relations has been working with Central State University to develop a recruitment and academic training program for minorities to be hired in a correctional setting.

Concluded

04.03.01

The director met with the Executive Director of the Scioto County National Association for the Advancement of Colored People (NAACP) to explore avenues for improved minority recruitment at SOCF and statewide.

HUMAN RESOURCES

Staffing Issues

04.04.00

The issue of staffing, particularly correctional officer to inmate ratios, has been a major concern of the ODRC for a number of years. Initiatives to enhance staff to inmate ratio have included the addition of correctional officer positions and the placement of previously remote staff services into the living areas under the concept of Unit Management.

Proposed

04.04.03

Add additional staff positions to reduce the inmate/staff ratio. The ODRC is urging the legislature to include support service positions, i.e., food service, medical, psychological and management to enhance the safety and security of our institutions and the community.

Initiated

04.04.02

"Cornerstones for Corrections," a Voinovich/DeWine administration initiative promotes and supports community corrections punishment sanctions as alternatives to incarceration. The number of offenders diverted from prison will improve the staff to inmate ratio.

Concluded

04.04.01

The legislature has approved funds for the hiring of over 900 correctional officers during the biennium.

HUMAN RESOURCES

Training/Inservice Programs

04.05.00

Employee training and re-training continue to be a top priority for the ODRC. The department has numerous training programs including pre-service training, on-the-job (OJT) training and inservice training. Numerous specialized training programs are conducted both at a centralized location (CTA) and locally at each work site. Pro-active training programs are provided to ensure the safety of the general public, the department staff and the inmates under our jurisdiction.

Proposed

04.05.11

New monitoring requirements will necessitate hiring additional persons in institution training offices.

04.05.12

The CTA proposes the need for increased staff to accommodate increased training demands.

04.05.13

An additional one week training program for staff working in close and maximum security housing areas will be developed and implemented by January 1, 1994.

04.05.14

Diversity training is to be increased to a total of eight hours in correctional supervision training, a mandatory program for all newly promoted custody supervisors.

04.05.15

Chiefs of Security (Majors) will attend a twelve hour retreat at the Corrections Training Academy on diversity issues and effective supervision of staff.

04.05.16

Refine and implement Mid-management Training.

04.05.17

Create a training supervision position to develop, coordinate, implement, and supervise Hostage Negotiation Teams (HNTs), regional Tactical Response Teams (TRTs) and Disturbance Control Teams (DCTs).

Initiated

04.05.04

A satellite training facility has been identified for the southern part of the state to be located at the South-eastern Correctional Institution.

04.05.06

As a result of the recent disturbance at Lucasville, seven weeks of pre-service training for correctional officers will be added to the curriculum by October 1, 1993 to include diversity concerns, communication, role-playing, hostage situations and other "hands on" learning experiences.

04.05.07

An inservice training program emphasizing communication between urban and rural cultures will be provided by January 1, 1994.

04.05.08

Enhanced training for Disturbance Control Teams (DCT) and Tactical Response Teams (TRT) is under development and may incorporate regionalization of some of the teams to enhance response efficiency.

04.05.09

The ODRC is working with the American Correctional Association (ACA) regarding a new curriculum for law enforcement personnel training.

04.05.10

A 16 hour intensive diversity training program for SOCF staff has been developed and is in place.

HUMAN RESOURCES

Proposed

Initiated

04.05.10

The department is assessing the use of an instrument to measure the effectiveness of diversity training in institutions. The Community Relations Service (CRS), an agency of the U.S. Department of Justice has produced a "Model for Conducting Training of Corrections Officials in Reducing or Preventing Racial Conflict in Correctional Facilities."

Concluded

04.05.01

Diversity training was conducted for top administrators at the Managing Officer's Retreat in June 1993.

04.05.02

The director has appointed a Training Advisory Council to ensure that training is relevant, up-to-date and timely.

04.05.03

A three day inservice seminar on STG (gangs) has been developed for appropriate staff and will be implemented in October, 1993.

04.05.05

The department has received a technical assistance grant through the National Academy of Corrections to have a consultant train staff on a problem-solving process called "Quality Function Deployment."

PAROLE AND COMMUNITY SERVICES

Parole and Community Services

05.00.00

The ODRC supports community alternatives to incarceration to assist in curtailing the rate of growth in prison populations. The Adult Parole Authority (APA) is conferring with local authorities, associations and agencies to address pre-sentencing issues and community resources to alleviate stress on the criminal justice system.

05.01.00 Alternatives to Incarceration

05.02.00 Local Jails

05.03.00 Parole Board Issues

05.04.00 Probation and Parole

PAROLE AND COMMUNITY SERVICES

Alternatives to Incarceration

05.01.00

Many inmates are non-violent property offenders who could be safely and more effectively punished in a community setting. Diverting offenders from prison would greatly reduce prison crowding, increase safety and security, and improve programming effectiveness.

Proposed

Initiated

05.01.05

The Division of Parole and Community Services is expanding halfway house beds by another 500 beds in FY 95, for over 1,300 beds.

05.01.06

The Community Based Correctional Facilities (CBCF) network will be expanded to include 13 facilities by the end of the biennium, providing over 900 beds for more than 2,700 offenders annually.

05.01.07

The APA is implementing statutory authority to purchase community services needed (counseling, substance abuse treatment, etc.) to reduce an offender's risk in community supervision. The result will be an increase in the opportunities to release hard-to-place inmates and aid in the reduction of recidivism.

05.01.08

The capacity of several existing Community Corrections Act (CCA) programs are being expanded to further reduce commitments to prison.

05.01.09

The Division of Parole and Community Services is working with the Governor's Office of Criminal Justice Services (GOCJS) to develop day reporting projects as demonstration efforts.

05.01.10

The department is negotiating with CBCFs to increase the capacities of some existing facilities to 120 percent.

PAROLE AND COMMUNITY SERVICES

Proposed

Initiated

Concluded

05.01.01

A meeting was held with Ohio Halfway House Association representatives regarding the ODRC's budget and their specific interest in the halfway house line item.

05.01.02

The department has established an award to recognize excellence in community corrections programs. The Cliff Skeen Award, instituted in 1993, is given to outstanding residential and non-residential programs which divert offenders from prison. State Representative Cliff Skeen was an advocate of community corrections.

05.01.03

The Division of Parole and Community Services expanded halfway house beds by over 200 beds in FY 94 totaling more than 800 beds.

05.01.04

The ODRC has increased the percentage of budget devoted to community corrections from nine-ten percent to 11-12 percent.

PAROLE AND COMMUNITY SERVICES

Local Jails

05.02.00

The problems of crowding and limited resources are mirrored at the local level. All ODRC assistance provided to local authorities will serve to further protect Ohio citizens and improve the efficiency of the criminal justice system.

Proposed

Initiated

05.02.01

The Bureau of Adult Detention is preparing to provide technical assistance to the local jails in the state by conducting disturbance control training.

Concluded

PAROLE AND COMMUNITY SERVICES

Parole Board Issues

05.03.00

The Ohio Parole Board is responsible for releasing or continuing the incarceration of inmates serving indefinite sentences in Ohio prisons. Decisions are based on information contained in inmate records regarding the nature of the crime, sentence, prison record, escape risk, institution behavior and program participation.

Proposed

05.03.02

The Parole Board will restructure how information is gathered and presented at parole hearings to improve the quality of the information considered.

Initiated

05.03.01

The Parole Board is reviewing its hearing practices to determine if hearings can be reduced and the hearing process streamlined.

Concluded

05.03.03

The Parole Board has eliminated the Review Committee procedure at correctional institutions and replaced it with a Parole Board review that requires less staff time for all concerned.

PAROLE AND COMMUNITY SERVICES

Probation and Parole

05.04.00

Probation and Parole serve as alternatives to prison incarceration. Parolees and probationers remain under the supervision of state or local authorities. The decision to place offenders on parole or probation is often based on information provided in Pre-Sentence Investigations (PSIs).

Proposed

Initiated

05.04.01

The APA is surveying PSI users to identify key information required for sentencing, classification, programming, release and supervision decisions.

05.04.02

A procedure to include STG (gangs) identification will be included in the PSI process.

05.04.03

A plan to expand the number of PSIs was requested by the director. Pre-sentence investigations will be done for all felony commitments.

05.04.04

The APA is preparing to implement two new forms of release from prison to community supervision for non-violent, eligible inmates: electronically monitored early release; and release to halfway house 120 days prior to a determinate release date for eligible offenders.

05.04.05

The Adult Parole Authority is developing a system to provide a range of sanctions for technical (less serious) parole violators. This will provide alternatives to an inmate's return to prison. The plan is loosely based on a process used in South Carolina. Under this system, parole officers will be empowered with more decision-making authority.

05.04.06

The APA is preparing for ACA accreditation.

PAROLE AND COMMUNITY SERVICES

Proposed

Initiated

05.04.07

A procedure is being developed to streamline the processing of recommendations for final parole releases.

05.04.08

A procedure is being created to streamline parole placements, thereby expediting releases from the institution.

Concluded

COMMUNICATION AND EDUCATION

Communication and Education

06.00.00

Communicating the department's message to stakeholders is a vital function determining public, legislative and judicial perceptions of the agency and its needs. Research, provided by the MIS is the backbone for communication efforts. Providing quality services to the citizens of Ohio is a primary responsibility which is initiated department wide by eliciting input from staff. The Ohio Department of Rehabilitation and Correction employs over 9,000 people, making effective internal communications necessary for staff morale, security and safety.

- 06.01.00 Advisory Committees**
- 06.02.00 Management Information Systems**
- 06.03.00 Media/Legislative/Judicial Relations**
- 06.04.00 Quality Services Through Partnership**
- 06.05.00 Staff Communication**

COMMUNICATION AND EDUCATION

Advisory Committees

06.01.00

During the past decade, the ODRC has recognized the value of input from a variety of advisory groups. In particular, the new generation of prisons was developed in consultation with neighborhood advisory committees.

Proposed

Initiated

06.01.01

Those prisons without advisory committees in place have begun to develop active committees. All prisons were directed to form advisory committees comprised of local officials and citizens to provide the institution with local resources and communicate positive aspects of the institutions to the community.

Concluded

COMMUNICATION AND EDUCATION

Management Information Systems

06.02.00

A new on-line mainframe computer system has recently been implemented. The system integrates two older systems and several extensive stand-alone micro computer applications. This system will provide for data sharing between the bureaus within the MIS and increases data security and integrity.

Proposed

06.02.03

The number of data intensive applications require an upgrade to a high speed digital network. The department should consider the purchase of computer hardware and software to interface with Wide Area Network (WAN) for use across the state.

06.02.04

To undertake a systematic replacement of old computer equipment with a standardized department wide configuration.

06.02.05

To begin an upgrade of the telecommunications cable plan within existing facilities.

06.02.06

The existing Commissary Automation System should be replaced with an industry standard Microsoft Disk Operating System (MS-DOS) to be compatible with all other existing ODRC systems.

06.02.07

Purchase an on-line interface software package that will link the ODRC Employee Timekeeping Payroll system with the Department of Administrative Services (DAS) state payroll system.

Initiated

06.02.01

The Bureau of Data Processing has hired one programmer to assist in programming for the new IPS system.

06.02.02

Computer equipment has been ordered by the Training, Industry and Education (TIE) division to provide the Local Area Network (LAN) at each facility.

Concluded

COMMUNICATION AND EDUCATION

Media/Legislative/Judicial Relations

06.03.00

The department communicates with the general public through broadcast and print media. It is important that we respond to media inquiries in a prompt, courteous and accurate manner. The ODRC receives funds via the legislative budget process. We solicit input from legislators and also inform them of the impact of proposed legislation. The department also interacts with judicial organizations.

Proposed

06.03.08

The Public Information Office (PIO) staff has been directed to review their role in crisis situations to determine whether new policies or processes are required.

Initiated

06.03.06

The PIO staff has conferred with a committee of news organizations to improve relations and to view the media as their primary customer.

06.03.07

The legislative liaison has been pro-active in communicating critical incidents to legislative representatives. The legislative liaison also responds to requests for information from constituents and stakeholders in a timely manner.

Concluded

06.03.01

A full time employee has been added to handle the higher volume of media calls to the PIO office.

06.03.02

A staff member has been temporarily assigned to SOCF to research and respond to media calls, improve internal SOCF communications and update executive staff.

06.03.03

The PIO conducted special media training for executive staff and assisted them in improving crisis preparation plans.

06.03.04

Division of Parole and Community Services staff made a presentation to the Ohio Common Pleas Court Judges Association on the need for expanded community punishment options to help reduce crowding in Ohio's prisons.

06.03.05

The director and other department staff have provided input to the Ohio Criminal Sentencing Commission to minimize the effect on prison crowding created by proposed sentencing laws.

COMMUNICATION AND EDUCATION

Quality Services Through Partnership

06.04.00

The Quality Services Through Partnership (QSTP) committee was formed to further the State of Ohio goals of excellence by incorporating all staff in decision-making processes through focus groups, town meetings and problem solving process groups. The QSTP Committee has developed a mission statement, goals, ground rules and a training implementation plan.

Proposed

Initiated

06.04.05

The department is negotiating for an educational program developed by the Pacific Institute and the American Correctional Association. The program is designed to unlock human potential, improve working conditions and enhance personal development.

Concluded

06.04.01

A focus group consisting of ten recreational directors met to discuss the status of prison recreational programs. An action plan to address issues raised by the group, including the use of free weights in the prison setting, has been developed.

06.04.02

Departmental issues and continuous improvement are the venues of the Ronald C. Marshall Award recipient focus group. The group is made up of all Ohio Correctional Officer of the Year Award recipients. The focus group also serves in an advisory capacity to the director.

06.04.03

A focus group was conducted to generate ideas for involving more staff in the department's quality initiatives.

06.04.04

The AFSCME/OCSEA chapter presidents met with the director to discuss issues related to Ohio corrections and bargaining unit members. (see Labor Relations)

06.04.06

Executive staff were trained in Quality Function Deployment by Thomas Fujiyoshi in September 1993.

COMMUNICATION AND EDUCATION

Staff Communication

06.05.00

Maintaining effective communication with over 9,000 employees is a critical aspect of the department's operation. The safety and security of staff and inmates throughout the organization is dependent on the exchange of accurate and timely information.

Proposed

06.05.05

The PIO office will focus more on communicating with employees and other stakeholders via newsletters.

Initiated

06.05.02

A special edition of the department's staff newsletter "The Communicator" is being edited. The special edition will cover the SOCF disturbance.

06.05.03

In accordance with recommendations for staff communication from Pennsylvania Department of Corrections Commissioner Joe Lehman, the director will issue a "question and answer" column about the SOCF disturbance and its aftermath for inclusion in all departmental newsletters. Questions for the column were solicited from the Ronald C. Marshall focus group and the SOCF disturbance Hostage Negotiation Team.

06.05.04

A speakers bureau consisting of employees in attendance at the SOCF disturbance is being assembled. The speakers will be available to interested ODRC groups throughout the state to answer questions and address issues generated by the riot.

06.05.06

The department is in the process of hiring a systems analyst to oversee data collecting for offenders and to develop a "systems" approach to inter-departmental communication and cooperation.

Concluded

06.05.01

The Hostage Negotiation Team (HNT) in place during the SOCF disturbance has completed a series of speaking engagements covering all 24 Ohio prisons. Their audience included, but was not limited to, prison HNTs.

FISCAL/AUDITS

Fiscal/Audits 07.00.00

Managing large systems requires that fiscal resources are sought and maximized to assure the optimal results. To ensure security and safety of staff and inmates, infrastructure issues must be addressed. A sound operation is enhanced by policies, procedures and practices maintained through standards and audits to direct their use.

- 07.01.00 Fiscal Issues**
- 07.02.00 Infrastructure**
- 07.03.00 Inmate Grievance Procedure**
- 07.04.00 Legal Issues**
- 07.05.00 Standards and Accreditation**

FISCAL/AUDITS

Fiscal Issues

07.01.00

The State of Ohio is operating under budgetary constraints. At the same time, the number of inmates admitted to ODRC continues to increase, thus impacting the level of services and security provided to the institutions and the community.

Proposed

Initiated

07.01.02

Staff persons are directed to continue to identify ways to save funds and "do more with less." Staff have been asked to provide periodic reports reflecting this information.

07.01.03

Wardens, budget staff and Office of Prisons staff have been directed to ensure that I&E funds are being spent appropriately.

07.01.04

The Grants Office has been directed to seek and apply for outside resources to help subsidize ODRC's General Revenue Fund.

07.01.05

The department is working closely with the Office of Budget Management in developing the FY 94/95 budget.

Concluded

07.01.01

The fiscal office has a system of justifying the disbursement or denial of funds in place. Records of monetary requests and responses are maintained to assist the department in defending itself against law suits.

FISCAL/AUDITS

Infrastructure

07.02.00

Overall, institutions are well managed and do a good job of providing basic services despite crowding. Prison crowding has placed extreme stress on structures, utilities and equipment. Crowding has outpaced the ability of maintenance staff to keep up with crucial repairs. Limited maintenance budgets engender a "rob Peter to pay Paul" syndrome, forcing staff to underfund important maintenance requirements as they address critical needs areas. To address prison crowding, the department must continue to build new prisons while working to adequately maintain existing facilities.

Proposed

07.02.03

As we design and build a new generation of prisons, it is proposed to include better and more durable equipment, harder interior and exterior materials, increased water and waste water treatment facilities and increased electrical capacities to allow for high levels of use.

Initiated

07.02.01

For adult correctional facilities more than ten years old, maintenance issues are being addressed to upgrade facility structures.

07.02.02

For adult correctional facilities built in the past ten years, maintenance issues are being addressed to upgrade facility structures.

Concluded

FISCAL/AUDITS

Inmate Grievance Procedure

07.03.00

The ODRC inmate grievance procedure was developed to resolve inmate complaints regarding quality of life issues such as health and safety, nutrition, job assignments, personal property and family visits. At the institution level, such problems are addressed by the inspector. The Office of Chief Inspector employs an assistant chief inspector for each of the two regions. Issues unresolved at the inspector and chief inspector levels may be appealed to the director. The ODRC's inmate grievance procedure is fully certified by the U.S. Department of Justice.

Proposed

07.03.02

The Office of the Chief Inspector proposes that communication regarding changes in policy affecting the grievance procedure be improved system wide.

07.03.03

Prison crowding has greatly increased the number of grievances filed. Inspectors are currently overwhelmed by the number of grievances and inmate correspondence. The increased volume has made an adjustment to response time frames mandated in the Administrative Rules necessary. It is proposed that all institutional inspectors be given an assistant and access to clerical support so that they may better focus on problem solving and investigations.

07.03.04

A mechanism to discourage abuse of the inmate grievance system should be incorporated.

Initiated

07.03.01

The Office of the Chief Inspector has expanded the mission of institutional inspectors to work in cooperation with prison investigators, STG (gang) coordinators and majors. This team approach will assist in the development of a more sophisticated and comprehensive intelligence network.

Concluded

07.03.05

Staff from the Office of the Chief Inspector toured L-Block and retrieved and catalogued personal property left behind by prisoners after their surrender.

FISCAL/AUDITS

Legal Issues

07.04.00

Legal Services staff deal primarily with issues which include inmate litigation, court compliance issues and public records requests. Legal Services attorneys represent the department and its employees in providing in-house legal services

Proposed

Initiated

07.04.03

Most of the 120 to 130 claims made by prisoners whose property was damaged during the disturbance in K-block have been settled.

07.04.04

A hearing on the McDowell settlement is scheduled for October 15, 1993. Concerns expressed by female staff at SOCF will be considered following the hearing.

07.04.05

Legal Services and the Attorney General's office have developed a questionnaire to be completed by SOCF inmates regarding the extent of racism at SOCF and potential problems resulting from interracial celling. The purpose of the questionnaire is to provide information to the court regarding the White v. Morris mandate to assign cells randomly. The court will receive regular progress updates toward implementation of the original court order and supplemented order.

07.04.06

A draft of an employee tattoo provision to be included in the Employee Grooming Code is under development.

07.04.07

The department is seeking a consultant to monitor compliance with inmate demands made at the time of the SOCF surrender.

07.04.08

Chief Counsel continues to communicate with Special Prosecutor Mark Piepmeier to ensure cooperation with the criminal investigation.

FISCAL/AUDITS

Proposed

Initiated

7.04.09

Legal services is assisting in a special review of AC placements resulting from the SOCF disturbance.

Concluded

07.04.01

A tour of L-block with potential defense attorneys was conducted on August 3, 1993.

07.04.02

A revised procedure for responding to public records requests has been issued. The new system will expedite the delivery of information to journalists.

07.04.10

Two staff members have been assigned to monitor and report on compliance with the 21-point agreement. (see 07.04.07)

FISCAL/AUDITS

Standards and Accreditation

07.05.00

The ODRC has recently created a new Bureau of Accreditation to be responsible for internal management audits. The Bureau will ensure that ODRC operations and management will be based on the American Correctional Association (ACA) Adult Correctional Institution Standards for both accredited and nonaccredited institutions.

Accreditation provides the blueprint for corrections. The accreditation process serves to:

- Assist in the implementation of quality management
- Provide increased accountability
- Enhance public credibility
- Provide measurable criteria for upgrading programs, staffing and physical plants on a continuous basis

Proposed

Initiated

07.05.04

The department has developed a plan which strives to have all institutions accredited by January of 1999. Currently ODRC has fifteen institutions involved in the accreditation process. Additionally, the Corrections Training Academy and the Adult Parole Authority's Parole Board and Field Services are pursuing accreditation.

Concluded

07.05.01

The Bureau of Accreditation and Standards has completed a revised management audit process which will measure compliance with policies and monitor practices to ensure they match the policies.

07.05.02

The ODRC currently has seven accredited institutions.

07.05.03

The new internal management audit program, provides for a systems approach combining the ACA's Adult Correctional Institution Standards (3rd ed.) and Ohio's management audit standards to establish national standards as our guiding management document.

COMMITTEES - SYNOPSES AND STATUS

Committees-Synopses and Status

08.00.00

Several committees have been assembled to research the SOCF disturbance and make recommendations to improve the security and efficiency of the department. The appendix to this report includes Executive Summaries where available. The scope and status of each committee is outlined in this section:

- | | |
|-----------------|--|
| 08.01.00 | Correctional Institution Inspection Committee |
| 08.02.00 | Disturbance Cause Committee |
| 08.03.00 | Governor's Select Committee on Corrections |
| 08.04.00 | The Initial Hours Chronology Committee |
| 08.05.00 | QSTP Steering Committee |
| 08.06.00 | Renovation/Planning Committee |
| 08.07.00 | SOCF Disturbance Follow-up Committee |
| 08.08.00 | SOCF Delivery of Basic Services Committee |
| 08.09.00 | Use of Force Process Review Committee |

COMMITTEES - SYNOPSES AND STATUS

Correctional Institution Inspection Committee

08.01.00

The CIIC is an on-going legislative committee focusing on the Ohio Department of Rehabilitation and Correction. The CIIC is conducting a separate investigation of the SOCF disturbance as it relates to the management of Ohio's prisons. The CIIC toured L-block and spoke with staff and inmates. On June 10, 1993, Director Reginald A. Wilkinson submitted the "Chronology" and "Cause" reports to the CIIC and testified about the disturbance's impact on the prison system.

Disturbance Cause Committee

08.02.00

This committee was directed to identify facts that caused, contributed to or triggered the disturbance. The committee examined the environment, management systems, policies and staff interaction as well as inmate demands and complaints. They also interviewed staff, hostages and inmates cleared for interview by the OSP. The "Cause" committee submitted their findings June 10, 1993. Their report will be used as a reference in the implementation of new policies and procedures.

Governor's Select Committee on Corrections

08.03.00

Governor George V. Voinovich appointed the Select Committee April 21, 1993, and charged them with conducting a comprehensive evaluation of all reports and information pertaining to the SOCF disturbance. The Select Committee's stated mission is "to examine the philosophy, policies and practices of the ODRC and to make recommendations germane to preventing institutional violence and to make our institutions safer and less stressful for all." The Select Committee has met in several institutions, interviewing ODRC staff and inmates. The Select Committee report is due in the Fall of 1993.

The Initial Hours Chronology Committee

08.04.00

This committee's charge was to document the events immediately leading up to the riot at SOCF on Easter Sunday, focusing on the hours of 3:00 PM to 6:00 PM. The committee conducted interviews with staff involved in the initial hours of the disturbance. In order to avoid jeopardizing the criminal investigation, the committee was limited to interviewing inmates cleared for interview by the Ohio State Highway Patrol (OSP). The Chronology committee submitted initial findings June 10, 1993.

QSTP Steering Committee

08.05.00

This committee was established in May of 1993 to implement and monitor ways in which all employees of the department may be informed and involved in the decision making process. This is achieved primarily through newsletters, training, focus groups and town meetings. Focus groups established to date are: Ronald C. Marshall Award recipients (Correctional Officer of the Year); Quality Initiatives group, AFSCME/OCSEA chapter presidents, recreation

COMMITTEES - SYNOPSES AND STATUS

directors, and a number of problem solving groups. Director Wilkinson has mandated that Union representatives be named to planning committees statewide.

Renovation/Planning Committee

08.06.00

This committee was formed to assess the damage caused during the SOCF disturbance and make recommendations for renovation. Their mission also included recommending structural changes to SOCF to ensure staff and inmate safety and security. The Renovation/Planning Committee has submitted a report for review.

SOCF Disturbance Follow-up Committee

08.07.00

The follow-up committee was appointed by Director Wilkinson July 6, 1993 to monitor the problem-solving process in the aftermath of the SOCF disturbance. The committee's mission is to review relevant committee and report findings and recommend action plans to address resulting concerns and issues. The Follow-up committee has met on-site at SOCF and at central office.

SOCF Delivery of Basic Services Committee

08.08.00

Following the disturbance at SOCF, the prison was placed on a lockdown status, severely restricting inmate movement. Tension between some staff and inmates remained high. SOCF Warden Arthur Tate, Jr. was directed to form a committee of staff, including bargaining unit members, to plan for the eventual easing of the lockdown. Beginning in early August, the first small groups of prisoners were escorted to the prison cafeteria for lunch. The warden will continue to work with SOCF staff to ease the lockdown while maintaining safety and security at the prison.

Use of Force Process Review Committee

08.09.00

A Use of Force Review Committee was impaneled to address allegations that minority inmates at SOCF are involved in a disproportionate number of use of force actions. Inmates also allege that the Use of Force Review process is dysfunctional. A report on Use of Force issues has been submitted for review.

APPENDIX A - REFERENCE MATERIALS

CHIC Testimony

Joe Lehman Report, The Recovery Process, Summary

Lansom Newsome Report Summary

SOCF: Inmate Demands

The State of Corrections - Executive Summary and Overview

White Paper Listing

APPENDIX A - REFERENCE MATERIALS

CIIC Testimony

Submitted by Director Reginald A. Wilkinson

THE STATE OF CORRECTIONS: IMPACT OF THE SOCF DISTURBANCE

Chairman Montgomery and members of the Correctional Institution Inspection Committee. Thank you for the opportunity to appear before you today to present testimony regarding the state of corrections in Ohio since the recent 11 day disturbance at the Southern Ohio Correctional Facility at Lucasville. I would like to present to you some of the highlights of the report I have provided which summarizes the Department's current operational status. The Report is divided into three separate executive and administrative areas which are outlined within the Executive Summary. These areas are: (1) Management, (2) Impact of SOCF Disturbance, and (3) External Factors Impacting Corrections. In each of these areas we have tried to provide a historical perspective, information on current operations, and how these areas specifically relate to SOCF.

As you are well aware, the eyes of the nation were riveted on SOCF for 11 days in April as the State experienced the nation's longest prison siege where lives have been lost. By the end of the siege, one correctional officer and nine inmates had perished. We are all grateful that the disturbance ended peacefully and that many lives were saved through the skills of the negotiators and the professionals on the scene. I want to thank the CIIC for its help in disseminating accurate information to the legislature and for its continual support of the Department throughout the ordeal. Your actions played an important role in the outcome of events at Lucasville.

There will certainly be many lessons learned by Ohio and corrections nationally in the aftermath of the siege at SOCF. I know that the comprehensive assessment of our operations reflected by this document will only serve to enhance our future ability to attain many of our agency's strategic goals and objectives.

Let me now highlight some of the key areas contained in the Report. Then I would be happy to answer any questions which you may have.

MANAGEMENT

UNIONS

The Department currently has about 9,500 employees represented by four employee unions, with the majority of these employees represented by OCSEA/AFSCME. The history of DRC labor management relations has been marked by disagreement, with high levels of grievances regarding discipline, overtime issues, and staffing levels. Staffing in the correctional officer ranks and the Department's low inmate to correctional officer ratio have been cited in particular by the union leadership in recent years. Under the leadership of Governor Voinovich, I have given priority to improving the management/labor relationship. Along with my staff, I have had numerous meetings with Paul Goldberg, Executive Director of OCSEA, and other union officials. At the end of March, the Department held the first ever corrections assembly, which included participation from all institutional chapter presidents. The union has also actively participated in the State's quality training and several internal problem solving groups.

I was extremely pleased with the cooperation displayed by the union during the SOCF incident. The union was especially helpful to SOCF family members and in controlling rumors during the crisis. In the aftermath, union membership will participate in reviewing operational issues at SOCF as well as the future reconstruction of L-Complex. Both, I and Executive Director Goldberg have been meeting with staff to discuss issues and will be meeting to set up other regionalized problem solving groups. Language in the Senate version of the budget bill would also set

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up a formal labor management group to review operational and staffing issues.

RECRUITMENT/AFFIRMATIVE ACTION

The Department began organized minority recruitment in 1984 with the opening of the Corrections Training Academy at Orient. The Department prioritized minority recruitment at institutions such as SOCF and CCI which were below five percent total minorities. Several recruitment strategies were developed including EEO job fairs and workshops, development of statistical reports and skills data bank and job notifications sent to community action agencies and other recruitment sources. Cultural Sensitivity Training was also provided for SOCF staff. In 1988, a Deputy Director of Human Resources was appointed and EEO was separated into a distinct bureau. Recent Department recruitment efforts have included working with universities, minority churches and community organizations. In light of the SOCF incident, I have appointed a special minority recruiter and have established a comprehensive employee assessment center which will begin full-time operation on June 14, 1993.

TRAINING

The Corrections Training Academy is at the heart of the Department's employee training with more than 8,800 new employees trained since 1984. All departmental staff receive three weeks of pre-service training including training in human relations, EEO, and inter-personal communications. Correctional supervision and executive management curricula contain classes on EEO and cultural sensitivity. Department policy also mandates at least two hours of inservice training annually. With the potential for over 11,000 employees by the end of FY 1995, the Department will have an enormous training burden for existing staff. Specialized training needs such as cultural training for all DRC staff, gang training, and hostage disturbance training must be made available. The Department is reviewing proposals including the possibility of regionalized training to meet this future demand. Additionally, a Technical Assistance Grant from the National Institute of Corrections is being pursued to provide training in the area of Quality Function Deployment with specific focus issues resulting from the SOCF disturbance.

UNIT MANAGEMENT

The Department decided to implement the concept of Unit Management in 1985, and today all 23 of Ohio's prisons are unit managed. SOCF converted to Unit Management in 1991. The idea behind Unit Management is to improve management control and the delivery of correctional services to the inmate by dividing the institution and its population into smaller more manageable groups. The Unit Management system allows a team comprised of management, treatment, security, and clerical staff to respond more quickly and efficiently to inmate concerns. A recent report to the General Assembly documented positive benefits such as lowering of escapes and assaults that Ohio has experienced by utilizing Unit Management. Unfortunately, the Unit Management concept depends on maintaining workable staff to inmate ratios. These ratios have been eroded over the last several years due to the large influx of inmates. It is important that any additional staff resources provided by the Legislature provide the Department flexibility to hire all disciplines within the unit teams. In light of SOCF, the Department has planned additional training including a Unit Management Summit for all departmental unit managers.

MENTAL HEALTH SERVICES

The issue of inmate mental health services continues to be of primary concern to the Department, and I know, to members of the General Assembly. A 1988 departmental study showed that the prison population contains a disproportionate number of persons with psychiatric and psychosocial impairment. The Department of Mental Health provides care for inmates diagnosed as suffering from a major psychiatric disorder while DRC is responsible for lesser disorders. Distinctly differing philosophies have created inefficient communication and lack of coordination between the departments over the years. A lack of resources has also hurt service delivery. The incident at SOCF has put further strain on the system, forcing the shift of several inmates needing mental health services to other less appropriate facilities. I have been working closely with Director Hogan and the Legislature regarding the proposed

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transfer of the Oakwood Forensic Center to DRC. The proposed transfer will allow the facility to be more fully utilized and can assist us in providing needed services to a greater number of inmates.

DRUGS IN PRISONS

As I have stated on numerous occasions, I have zero tolerance for drugs in Ohio's prisons. The Department has taken several steps to combat the flow of illegal drugs in recent years. The Governor's 1989 Task Force on Drugs chaired by David Sturtz facilitated numerous interdiction strategies such as cooperative efforts with OSHP to utilize drug dogs, inmate drug testing, and additional investigatory staff. Enhanced penalties for conveying contraband were also approved by the Legislature in SUB. SB 258. Since that time, inmate drug testing has been enhanced to include annual saturation testing, for cause testing, 5% random testing, and testing of specific sub populations. All inmates who test positive must attend a minimum of 24 hours of drug education classes. The Department has worked closely with ODADAS on collaborative efforts such as the therapeutic community drug treatment programs, and with the Governor's Office of Criminal Justice Services to obtain funding for innovative treatment programs. A myriad of recovery services exist across Ohio's prisons including AA/NA, counseling services, residential units, and drug education programs. These efforts have lead to a marked reduction in Department drug usage, falling from 6.9 percent in October 1990 to 2.9 percent in October 1992.

PRISON CROWDING

Prison crowding continues to be the underlying source of many of the problems currently facing the Department. Population has grown from 13,360 (119.4 percent of design capacity) in 1980 to 39,142 (180 percent of design capacity) as of June 1, 1993. With removal of L-Complex beds which are currently unavailable, Ohio stands at almost 186 percent of design capacity. We are one of the most crowded prison systems in the United States. The Department's two reception centers currently exceed 200 percent of their design capacities. Crowding in our prisons places a great strain on institutional physical plants, and staff's ability to provide inmate services.

As noted in the Department's Report, crowding at SOCF has been less dramatic. Due to the particular mix of offenders at this prison, we have always been especially cautious about excessive crowding. Even so, SOCF population has reached as high as 2,451 (151 percent of capacity) in April of 1983 before declining steadily to 1,829 in January of 1991. The population was further reduced to 1,623 in October 1991 following the Select Committee Report and the opening of the Mansfield Correctional Institution. At the time of the SOCF incident, population had been increased back to 1,824, but crowding stood at only 112.6 percent, second lowest in the system.

STAFFING PATTERNS AND DIVERSIONARY PROGRAMS

The Department has attempted to hire sufficient staff to keep pace with the growing inmate population. In spite of an increase of over 270 correctional officers since 1991, the Department's inmate to correctional officer ratio has grown from 7.4 : 1 to a current level of 8.7 : 1. The inmate to CO ratio at SOCF has been much lower during this time period, going from 4.0 : 1 to 4.2 : 1. As I mentioned previously, it is important to realize that in a correctional setting that all staff positions contribute to effective security and staff additions must be made in a balanced manner.

Several diversionary programs have been enacted by the General Assembly or are under consideration in the budget. These include 120 day definite sentence early release, 180 day electronic monitored release, expanded community based correctional facilities and pilot day reporting programs. Preliminary recommendations of the Ohio Criminal Sentencing Commission would also appear to provide some relief to Ohio's system through diversion of non-violent third and fourth degree offenders.

ACCREDITATION

The process of accreditation represents an important component of achieving a quality correctional system. A

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correctional facility which is accredited must be in satisfactory compliance with rigorous correctional standards developed by corrections professionals within the American Correctional Association (ACA). The Department began seeking accreditation in 1987, with accreditation of the first facility, the Dayton Correctional Institution in 1989. Currently five prisons and components of two other prisons are accredited. Two additional prisons have been recommended for accreditation this summer and several other institutions are at various stages of the process.

The Southern Ohio Correctional Facility was accredited in 1991. The ACA has scheduled a monitoring visit of SOCF on June 28. This visit will include a review of all mandatory standards and an examination of areas of concern which have transpired since the audit process. The auditors will also interview staff and inmates and will assess quality of life issues. A report will be sent to the Department from the ACA regarding findings of the audit process.

BUDGET

The Department's GRF budget continues to climb, growing from \$159 million in FY 1983 to almost \$601 million in the current fiscal year, an increase of 378 percent over this period. This rate of growth far exceeds the rate of inflation over the same period. The Senate version of the budget would increase GRF appropriations to \$695 million in FY 1994 and \$777 million in FY 1995.

The budget at SOCF has grown from \$19.9 million in FY 1985 to \$31.3 million in FY 1993 despite a reduction in population. Most of this increase can be attributed to the growth in staff salaries. The total costs of the SOCF incident in FY 1993 are currently estimated at \$5.3 million. Additional operating costs for FY 1994 are being calculated due to the anticipated conversion of compensatory time to overtime by bargaining unit employees. L-Complex reconstruction costs are currently being reviewed and will probably impact on the Department's FY 1994 capital appropriations.

IMPACT OF THE SOCF DISTURBANCE

The April 11, 1993 disturbance at the Southern Ohio Correctional Facility (SOCF), Lucasville, had a paramount impact on the Department's correctional environment. The Department responded expeditiously with immediate intervention strategies and by deploying various committees and task forces to review, evaluate and implement proactive initiatives to facilitate the management of current and future operations.

INVESTIGATIVE REPORTS

A review of five prior investigative and audit reports and the May 1993 investigative report prepared by Lansom Newsome following the SOCF disturbance provided a delineation of critical issues needing policy, procedural or programmatic changes and/or modifications to improve the overall management of the Lucasville maximum security prison.

In 1985, a security audit conducted by National Consultant, J. Henderson identified six areas of concern regarding the security of SOCF. The recommendations proposed increasing the physical security of the control centers; instituting a more practical emergency key program to ensure that staff has immediate access to all parts of the institution during riot, fire, and evacuation purposes; modification of mail-handling procedures for "special mail" coming into the institution or completely removing inmate workers from the mailroom; removing inmate workers from the medical records area; and changing the schedule for shift supervisors to have the most experienced staff in the institution on the weekends.

The Department response included submitting a plan following consultation with the maintenance department to secure the opening in the control centers to prevent the introduction of a dangerous device such as bomb or incendiary device; agreeing to modify the key board to include an emergency key section in order to simplify access to entire

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units; eliminating inmates working in the mailroom by adding an officer position. A contingency plan was requested pending the addition of the officer position; removal of inmate workers from the medical records area and adding a clerical specialist to the medical records department; upgrading a Lieutenant position to a Captain's position to serve as a relief for Shift Captain during periods when the Shift Captain is absent (in the event that a Lieutenant is in charge, the Duty Officer is available to assist with serious problems.)

OHIO STATE HIGHWAY PATROL INVESTIGATION

The Ohio State Highway Patrol Investigation Report of June, 1990 included several of the same concerns delineated in the Henderson Report.

With regards to inmate movement, the patrol recommended closer observation of inmate activities related to stationary metal detectors and the establishment of an "Inmate Use Only" lane designated by painted lines on the corridor floors.

A policy was established for inmate traffic lanes, effective August 8, 1990 with additional movement restrictions imposed.

Improvement in security throughout the institution was another Highway Patrol issue of concern similar to the Henderson Report; however, with more specific recommendations, such as adding stationary metal detectors in sensitive areas and the implementation of a complete shakedown after each major incident.

An additional officer and a metal detector was added to the Library Area, additional officers were hired and increased monitoring and escorting of inmates was enacted.

Operation shakedown went into effect November 5, 1990.

Another recommendation suggested that staffing of key positions should be entrusted civilian employees only. Inmates were removed from sensitive positions and a memorandum from the Warden dated August 1, 1991 reinforced the direct supervision of inmates in office areas.

Development of inservice training curriculum specific to working at SOCF was assessed as a key training need.

Civilian staff are currently trained in self-defense, use of force and weapons in pre-service and annual inservice training. In 1988, the Corrections Training Academy presented a course entitled "Dealing with Super Max Inmates." Cultural diversity seminars were developed at SOCF in May, 1990.

HOUSE SELECT COMMITTEE

Recommendations from the House Select Committee's Report of September, 1990 that addressed issues not included in the previous investigative reports were:

- to ease crowding at SOCF by moving inmates to the Mansfield Correctional Institution
- to obtain accreditation by the American Correctional Association
- to have a security audit conducted by an outside source

Inmates were transferred to Mansfield Correctional Institution (ManCI) in 1991. However, following the death of Officer Davis at ManCI, maximum security inmates were transferred back to SOCF after June, 1992.

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The American Correctional Association review team evaluated SOCF and granted accreditation in October, 1991. In January, 1992, SOCF was in 100% compliance in mandatory standards and 97% in non-mandatory standards. The recommended security audit by an outside source was conducted May 28, 1991 to June 5, 1991 and a report was submitted June 17, 1991.

Additional recommendations emphasized by the House Select Committee Report included:

- requests for institution staff budgets to go directly to committee
- a suggestion to create a bad-time policy for certain offenses occurring within SOCF (such as assaults on officers, drug possession)
- institute stress management/stress reduction programs to accommodate the mental health needs of employees at SOCF
- increase minority hiring
- indemnification for damages awarded in lawsuits

Other than the addition of stress management programs and minority hiring, these issues are outside of the purview of DRC authority.

Minority hires did increase at SOCF; however, due to resignations, transfers and an increase in the overall T.O., the cumulative figures showed only slight increase.

NATIONAL INSTITUTE OF CORRECTIONS AUDIT

Mr. L. E. Dubois, consultant with the National Institute of Corrections, conducted a security audit of SOCF in June, 1991.

Mr. Dubois' summary of inmate and staff interviews reported concerns related to integrated celling and security staff's resistance to Unit Management. Prison gangs were reported, but did not seem to be organized. Inmate classification appeared to be appropriately managed and new staff positions were deployed appropriately within the institution.

AMERICAN CORRECTIONAL ASSOCIATION (ACA) AUDIT

The ACA audit of October, 1991 results indicated 100% compliance in mandatory areas and 97% compliance in non-mandatory areas.

The non-mandatory areas have all been addressed with written policies to reflect the required time-frames.

LANSOM NEWSOME REPORT

Lanson Newsome submitted his report post-SOCF disturbance on May 6, 1993.

The main concerns included weapons control, inmate personal property, medical and mental health issues, management leadership, use of force and physical plant design deficits.

The Department is diligently evaluating these critical areas to prepare appropriate strategic deployment functions to remedy these management issues.

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CURRENT INVESTIGATIONS STATUS REPORT (CRIMINAL INVESTIGATIONS)

Ohio State Highway Patrol have completed approximately 690 inmate and staff investigations to date.

The special prosecutor coordinator is Mark Piepmeier assisted by Tom Longano.

The F.B.I. provided technical assistance two days following the inmates' surrender (April 22, 1993), and agreed to provide DNA analysis.

(CURRENT FACT FINDING COMMITTEES)

The "Cause" Committee and the "3:00 p.m. - 6:00 p.m." Disturbance Chronology Committee were established by me on April 22, 1993. Their findings of their reports will be presented to you today. Governor George V. Voinovich created the Select Committee on Corrections on April 21, 1993 with several stated objectives. The committee was asked to conduct a comprehensive evaluation of all reports and information pertaining to the SOCF disturbance. The formal stated mission of the Select Committee is "to examine the philosophy, policies and practices of the Ohio Department of Rehabilitation and Corrections and to make recommendations germane to preventing institutional violence and to making our institutions safer and less stressful for all..."

COMPILATION OF SOCF DEATHS

Employee and inmate deaths documented since the inception of SOCF indicated a total of five employee deaths and 38 inmate deaths from July, 1973 to April 21, 1993. The largest number of inmate deaths in a single year is nine. All nine died during the L-Complex riot in April, 1993.

MANSFIELD CORRECTIONAL INSTITUTION

The Mansfield Correctional Institution's inmate population was impacted by the need to accommodate population shifts from SOCF. During the week of the SOCF disturbance, ManCI received 62 general population inmates when SOCF emptied their K-Complex. After the riot ended, ManCI received 129 of the inmates from L-Complex. These numbers increased ManCI population to 2,500 inmates resulting in a 200% capacity in the institution.

As an immediate intervention strategy, approximately 92 inmates were transferred to Trumbull Correctional Institution from ManCI. In order to accommodate the SC/DC Unit, it was necessary to build inside and outside recreation cages. ManCI was also able to convert the empty OPI factory into a 100 bed medium dormitory. This allowed other institutions to relieve some of their crowding.

As a pro-active initiative, Mansfield is in the process of assembling an Inmate Liaison Committee whose purpose is to discuss and advise institutional officials on matters concerning the general welfare of the inmate population. Further, it is expected that this committee will provide accurate exchange and dissemination of information between the administration and the inmate population.

STAFF ATTITUDES AND BEHAVIOR PATTERNS

As a result of the numerous staff/inmate interviews conducted by DRC committee members, reports suggest that personal attitudes at SOCF are a primary source of dissension between staff and inmates.

The issues creating many of the staff/inmate conflicts are reflective of rural/urban differences in values and limited experiences with diverse racial and ethnic groups and cultures on the part of both staff and inmates.

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The department has begun an enhancement of the inservice training curriculum to incorporate more extensive courses in social and cultural sensitivity which is an ACA annual training compliance area.

CHRONOLOGY OF SOCF DISTURBANCE

I have incorporated in the comprehensive document disseminated to you today a complete chronology of the SOCF disturbance and the intervention strategies from its onset Easter Sunday, April 11, 1993 at 3:00 p.m. to the inmate surrender on Thursday, April 22, 1993.

HOSTAGE ASSISTANCE

I have nominated all hostages for the ACA Medal of Valor and each one has been named Employee of the Month for April 1993. All hostages have received critical incident stress debriefing and are under a personal physician's care including counseling intervention.

Those hostages who suffered physical injuries are receiving injury pay and hostage pay is being received by those without physical injuries. After hostage pay and injury pay has expired, the hostages may receive worker's compensation or disability leave if they are still unable to work. DAS has been notified and will assist the hostages in finding other employment if it is desired. I certainly welcome the hostages to return to active status with the Department and have offered necessary support measures to facilitate their return to work.

EXPERTS ON-SITE

A decision was made by Governor Voinovich, Lt. Governor DeWine and me to bring in experts early during the disturbance for advise and counsel. This included representatives from: Ohio State Highway Patrol, Ohio National Guard, F.B.I., detectives from the Dayton Police Department, Ohio Department of Health/Biodyne-Counseling for staff and families, Attorney Generals' offices; State Fire Marshall, Georgia Department of Correction consultant; and local agencies including the Portsmouth Police Department, Lawrence County Sheriff Department, New Boston Police Department, Parks Police Department, Jackson Police Department, Scioto Police Department, and Waverly Police Department.

DRC staff from all institutions assisted with Tactical Response Disturbance Teams, negotiators, snipers, transportation, and union representatives.

L-COMPLEX RENOVATION

The actual design and construction schedule for the renovation of L-Complex has not been formalized. Initial impressions of the review team of professional engineers, architects and construction managers estimated a renovation time frame from four to six months, depending upon competitive bidding requirements. The Division of Public Works has indicated that this project will receive its highest priority and will assist in marshalling forces to streamline the process for immediate and timely completion.

EXTERNAL FACTORS IMPACTING CORRECTIONS

The live media capabilities made the SOCF disturbance media issues very different from any previous incidents experienced by the Department receiving media coverage. On the scene at SOCF, DRC officials sought to keep the media at a safe and reasonable distance from the action.

Eventually, it was a media demand that was a key to the mass inmate surrender. The surrender took hours to complete. WLW-TV, a Cincinnati station, negotiated the surrender.

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The experience gained from the DRC public information officers and designees will be incorporated in a media training plan for Central Office and Institution Public Information Officers.

SENTENCING COMMISSION

The Ohio Criminal Sentencing Commission was created by statute in 1990 as one aspect of a major proposal to rework drug penalties for Ohio. Early estimates of the Department and from the Legislative Budget Office suggested that the drug penalties in the bill would dramatically increase prison population.

Clearly the riot at SOCF has heightened the concern of the potential of crowding to increase the risk of further rioting.

Key questions to be considered in reviewing the Sentencing Commission proposal are: Does the proposal create any gaps in public protection? Will it relieve prison crowding? Will the State be able to punish offenders appropriately at less cost to the State and counties? Will the proposal ensure that a victim feels that his or her concerns are addressed in sentencing? I wholeheartedly concur with the aspects of the Commission's mission to support making public protection and punishing offenders an emphases in criminal sentencing and considering the impact on the victim in any sentencing decision; however, it is important to focus the budgetary resources into effective community diversionary alternatives, developing a continuum of sanctions to give judges more sentencing options, to place all offenders under supervision following release from prison and provide adequate controls to enable the parole authorities to safely manage offenders placed under post-release supervision.

In conclusion, my testimony before you today is a capitulation of the Ohio Department of Rehabilitation and Correction's vision, mission and perspective on pro-active initiatives for the operation and management of a benchmark correctional system.

The April 1993 SOCF disturbance has brought us to this juncture.

Critical success factors are contingent upon legislative initiatives which facilitate budget allocation, personnel increases and support for prison and community-based corrections.

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Pennsylvania Department of Corrections Commissioner Joe Lehman The Recovery Process, Summary

CAMP HILL PRISON RIOT

Case Study: Studied to death
Benchmark in history of DOC before/after.

Significance of event should be looked at in at least two ways:

1. Internally — what happened, how has it affected us and what changes are needed?
2. Externally — How is it being viewed or described? Has it or will it be politicized?

What Happened:

Day One - October 25, 1989

Incident began with an unprovoked assault of a correctional officer by an inmate.

Twelve correctional officers were taken as hostages.

Negotiations succeeded in resolving the situation late in the evening.

Day Two - October 26, 1989

Superintendent's televised news conference agitated inmates.

Inmates began breaking out of cells around 7 p.m.

Five correctional officers were taken as hostages.

Inmates rioted throughout the night, setting numerous fires.

After negotiations broke down, assault mounted by Pennsylvania State Police and correctional officers to retake the institution.

Toll of two days of rioting — injuries to 69 staff and 41 inmates. Seventeen hostages taken.

More than half of the facility's buildings destroyed or severely damaged.

Property damage — \$17 million.

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THE AFTERMATH

From organizational perspective (looking at it internally) it is helpful to look at Camp Hill and your Lucasville incidents as victimization.

What we went through was an assault and what we experienced as an organization was post traumatic stress.

If you look at the trauma a victim experiences, organizations go through the same thing:

- IMMEDIATE REACTION SYSTEMWIDE:

Shock - disbelief - not Camp Hill.

- ANGER WHICH CAN BE EXPRESSED IN VARIOUS WAYS:

Internalized.

Acted upon - RAGE

- ANGER:

Comes from sense of loss of control — vulnerability.

Organization culture based on maintenance of order and authority — that has been seriously violated

- GUILT (introspection and second guessing):

What could we have done?

What should we have done?

Did I or we do all that we could?

- BLAME — usually beings in a very diffused manner — look to whomever, and what ever:

Inmates

Media

The Administration

Legislature

- ULTIMATE RISK: If the "affective," emotional reaction is not dealt with, the anger can turn into:

- Paranoia, distrust and general hostility
- Frustration - despair

THE CHALLENGE

Organizationally, the challenge is to develop an intervention strategy to ensure that generalized anger and despair don't set in.

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THE PROCESS OF RECOVERY

- Talking Through The Reaction:
 - Not looking for emotional baggage but are definitely looking to educate.
 - This is a matter of getting staff at all levels of organization to understand that what they are feeling is a normal reaction to an abnormal event.
 - Activity is primarily a process-laden one.
 - Not just status reporting but actual debriefing.
- Defining the Future

Since victims' overriding reaction is this loss of control (a feeling of vulnerability) the second major task is to:

- Develop action plans to take control again.
- Ask yourself what OPPORTUNITIES this presents:
 - From internal
 - From external perspective - Governor's Office/Legislative.
- Key is to achieve some easy doable wins as soon as possible.
- Key is to involve as much of the organization as you can in the process.

PA DOC CHANGE INITIATIVES

(NOTE: REALIZE WHAT YOU DO DEPENDS ON YOUR CIRCUMSTANCES.)

- PACs and FACs, prototypical process.
- Reorganization/Restructuring:
 - Structure is a tool.
 - Executive staff.
 - Unit management.
- Team building - Mission/Values statement.
- Communication - Docket, News briefs.
- Inmate classification.
- Climate control/weekly reports.
- Key indicator monitoring.

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National Institute of Corrections Criminal Justice Consultant, Lanson Newsome Report Summary

OPERATIONAL ISSUES

Most of the Consultant's time was spent assessing operational procedures in J and K units. Warden Tate and many of his staff were involved in manning the command center and responding to issues involving the rioting inmates in L unit. It was evident that a normal schedule should have been established for the inmates who did not participate in the riot.

Weapons:

Upon his initial arrival at Southern Ohio Correctional Facility, the Consultant's immediate concern focused on the number of weapons being allowed inside the perimeter of the facility. After touring the institution for the first time and observing the presence of weapons in all of the hallways and in the housing units on K side of the institution, the Consultant talked with Warden Tate and expressed his concern in the matter. Past mistakes have taught that the strict control of weapons in all institutions is crucial, especially when a disturbance occurs. An objective look at the conclusion of the Attica riot proves the theory that individuals who do not possess adequate knowledge of the operation of an institution can become over-anxious and the consequences to that reaction can be devastating. During the week, as larger numbers of staff arrived at the institution, the number of weapons entering the institution increased. At one time, it was reported to the Consultant that staff members were bringing personally-owned weapons into the institution. It was the Consultant's recommendation that the number of weapons be limited, and he further recommended that if future disturbances occur in the Ohio prison system, that the introduction, control and placement of weapons be strictly enforced by the administration. Warden Tate is to be commended for his actions following the end of the disturbance on April 22, 1993, when he ordered all weapons out of the J and K units and the hallways leading from the administrative unit to the inmate housing units. The only weapons he allowed in the area where the inmates were being processed from L side to K side were those under the control of the Ohio National Guard and Colonel Rice of the Ohio State Patrol.

Personal Property:

Inmates housed in K2, K7, and K8 did not have personal property for various reasons. A group of inmates who did not participate in the riot which occurred on L side were placed in cells on K side. A disturbance occurred in K8 on Monday, April 12, at which time personal property was removed from the inmates and disposed of in an inappropriate manner. It became evident by Friday, April 16, that the manner in which the inmates in K side were being treated had to change or the institution would be confronted with continual problems from those inmates as a result. This situation will be discussed in detail on following pages. On Saturday, April 17, it was decided that the personal property that had been taken from inmates would be returned. Several staff members were assigned to different areas of the institution to retrieve personal property, especially the property that had been taken from K8 and stored in E unit. Considerable progress was made by staff on Sunday, Monday, and Tuesday in return of personal property.

Food Service:

Because of the riot situation, Warden Tate directed that all of the inmates be placed in lockdown status beginning on Sunday, April 11, which was certainly a wise decision on his part. As a result of the inmates being placed in lockdown, the food service unit had to be operated by staff, and inmates were served sandwiches in the morning and afternoon. When Warden Tate, the Consultant, and other institutional staff toured K unit on Saturday, April 17, the inmates complained to Warden Tate concerning the amount of food they were receiving. Warden Tate examined the sandwiches which had been given to the inmates for breakfast and determined that the inmates were, in fact, not being served sufficient food. He immediately ordered additional sandwiches and other items for their consumption. At

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approximately noon on Saturday, the inmates received additional sandwiches and fruit, which relieved the tension in the cellblocks considerably. On Saturday afternoon, the food service director met with Warden Ben Bower and the Consultant and requested that the food service unit be allowed to feed inmates regular hot meals in their cells. He stated that it would be much easier and more economical to prepare hot meals rather than the sandwiches presently being given to the inmates. This matter was discussed with Warden Tate, who approved the recommendation of the food service director. On Sunday morning, a hot meal was prepared for the inmate population, and they continued to receive hot meals three times a day during the remainder of the crisis situation. The food service staff should be commended for the excellent manner in which the meals were prepared and delivered to each unit. The preparation of trays by line staff from the units became a period of time that was most enjoyable. The officers, especially those on K side, are to be commended for the professionalism and the spirit in which they prepared the meals and delivered them to the inmates in their individual cells.

Showers:

The inmates had not been permitted to leave their cells from Sunday, April 11, until Saturday, April 17, at which time Warden Tate ordered that all inmates be allowed to shower. During Saturday evening and the following Sunday morning, every inmate was allowed to leave his cell, enter the shower, bathe, and return to his cell. The process occurred without incident. A system was then established to provide for the exchange of soiled clothing for clean items each time the inmates showered.

Mail:

On Monday, April 19, mail privileges for inmates in J and K sides were restored. The warden provided paper, an envelope, and postage to inmates who did not have them, which allowed them to correspond on a one-time basis with their family to inform them of their well-being. Restoring mail privileges and encouraging the inmates to correspond with their families had a very positive effect on the inmate population and further reduced tension.

Sanitation:

On Saturday, April 17, a system was developed whereby two porters were allowed out of their cells to clean up the trash that had been thrown out of the cells onto the ranges by the inmate population. The cleaning process was extremely smooth on Saturday and improved each day thereafter. The inmates were provided with brooms, mops, and other supplies needed to clean the individual cells, and on numerous occasions the Consultant noticed the inmates washing the walls and all of the fixtures, as well as mopping the floors of the cells. A semblance of order and routine had been re-established and the staff, as well as inmates, seemed to be less stressed when they began to interact with each other.

Medical:

The Consultant was concerned by the manner in which the medical staff performed their duties during the period of time he was on site. Many of the inmates had not been seen by medical staff since the disturbance began on April 11. By Monday, April 19, and Tuesday, April 20, many of them were displaying symptoms of physical conditions that obviously needed medical attention. It is extremely important for medical staff at any institution to convey to the inmate population that they are concerned about their well-being and the problems they face. The inmates can not purchase over-the-counter items or visit the doctor as private citizens do. The Consultant noticed on several occasions that it took two, three, or more contacts with medical staff before even minor situations could be resolved.

Mental Health:

Another extremely important operation in a maximum security prison is the mental health unit. If mental health staff function properly in a maximum security environment, many of the problems faced by line staff can be minimized or

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eliminated. If the mental health staff establishes rapport with line staff, trains them how to observe inappropriate behavior of a mental nature, and responds to officers when they call for assistance, their value will increase dramatically. The Consultant was informed that the mental health staff at the Lucasville facility do not report to the warden nor can he correct or direct them during normal operations. If this is, in fact, a true statement, it is very, very troubling. Two captains cannot direct the same ship. Someone has to be in control and, in a prison, that person should be the warden. He/she must have ultimate authority as far as administrative decisions of medical/mental health staff are concerned. If a staff member is not doing their job satisfactorily, or if their schedule interferes with the operation of the institution, the warden must have the authority to direct staff to comply and/or demand that they perform their assigned duties as required by state and local policy.

Leadership:

Warden Tate is to be commended for the manner in which he provided leadership to staff during the hostage situation. Most of his time was required in the command center or the hostage negotiation room to assess information and to direct operations related to L unit. The normal operations of J and K units were not receiving proper attention from management staff for various reasons; however, it was evident that a sufficient number of staff were available in the units to operate them properly. It is a fact that the standards of an institution are set by the warden of the facility. The warden is the single most important person in a prison. If he feels strongly that a new program will not be effective in his institution, the program probably will not be implemented. The next most important individuals in institutions are the warden's executive staff members. It is their duty to insure that standards set forth by the warden and departmental policy are carried out on a daily basis. The third most important group of persons in the institution are the supervisors over line staff. They are the ones who, on a day-to-day basis, keep the organization running as directed by the warden and his executive staff. It was evident that problems existed with executive staff and supervisors from the ranks of captain, lieutenant, and sergeant. The staff needed many questions answered during the crisis, as did the inmate population. Supervisory staff failed to fill the void which occurred during this process. It was evident that many of the sergeants, lieutenants, and captains did not move throughout their assigned units on a continual basis, assessing the operation and making corrections where necessary. The Consultant observed many of the supervisors sitting in offices or in chairs in the hall when critical decisions needed to be made concerning the operation of their unit. For an organization to be successful, the supervisors must be held accountable for their actions just as strictly as line staff are held accountable for their actions. Line officers are very quick to notice when supervisors violate policy and are not disciplined in the same fashion as line staff are disciplined. Accountability must be maintained by all employees of an institution. Until proper, competent leadership is established at all levels within the Lucasville facility, problems will continue to be experienced.

Use of Force:

The Consultant observed several occasions when the CERTs were called to inmate housing units because the inmates were acting up and some of the inmates had broken their commodes and lavatories. It was the Consultant's opinion that inappropriate action was taken by staff on two of those occasions. After inmates were removed from their cells, line officers placed their PR24s under the arms of the inmates and jacked them up in the back while escorting them from one housing unit to another, even though the inmates were not resisting at all.

The Consultant had an opportunity to review statistical information related to the use of force for calendar year 1992 and thus far for 1993. It was evident that force is used quite frequently in the institution. One of the fears of the inmate population was that they would be physically abused by staff after the disturbance ended. It is the recommendation of this Consultant that all use of force reports be examined very closely by the warden, and those determined to be questionable or inappropriate should be referred to Central Office for a formal investigation. At the present time, policy requires that investigations occur at the local institution, with three staff members from the facility conducting the process. The Consultant recommends that investigations be conducted by individuals not assigned to the Lucasville facility to insure that proper decisions made concerning the use of force are not affected by their concern that coworkers will react adversely to unpopular decisions.

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Whenever force is used against an inmate, supervisors should be present to observe the activity and to insure compliance with policy. If inappropriate force is observed and substantiated, disciplinary action should be initiated against involved staff.

Inmate Personal Property:

The manner in which personal property is confiscated from the inmate population should be addressed by the administration. Earlier in this report, the Consultant noted the problem which occurred in K8 on Monday, April 12, when the CERTs responded to a disturbance in the cellblock. Inmate personal property was thrown from the cells, swept into a large pile, and carried to E unit and dumped in the hallway. On two separate occasions, the Consultant observed the response of CERTs to inmates creating a disturbance in their cells; personal property was handled in virtually the same manner as that described in K8. Staff must be instructed in the proper methods to handle inmate personal property. Supervisors must also be instructed and then be held accountable for the manner in which they allow inmate personal property to be confiscated during any situation.

Physical Plant:

The physical plant at Lucasville is an excellent facility for maximum security inmates with the exception of the location and design of the locking devices or control panels for the cells. At the present time, it is not possible to protect the lock controls while they are being operated by staff. Two exposed panels are located at the entrance to the housing units, and the inmates must pass the panels to go down range and enter their cells. If the inmates overpower the officer assigned to that post, they will then have the keys to the locking devices and to the doors leading to the unit management offices and dayrooms in the housing units. A modification could be made in each housing unit to enclose the locking devices in a control center and provide protection for staff, as well as for the locking devices. A new control center could be established in each housing unit, surrounding the locking devices and extending to the hallway door presently entering the cellblocks. A new door could be provided for inmate traffic and the control for operation placed on a locking device in the control center. At present, if inmates overpower the officer on duty in the hallway, they have the keys which open the doors into each housing unit. If a new control center is established for each housing unit as described above, it would be impossible for inmates to obtain control of all of the housing units. The Consultant spoke with Director Wilkinson concerning the renovation of L unit into a maximum unit, where there would be only indirect supervision of the inmate population. The Consultant's opinion, which was stated to Director Wilkinson, is that indirect supervision of inmates is extremely troublesome. The more interaction that occurs between staff and inmates, the better the staff's ability to solve problems and prevent trouble from occurring. Indirect supervision prevents staff from obtaining the "feel" of the inmate population to determine when they are stressed, angry, or if minor problems persist throughout the prison. Direct supervision has proven to be extremely profitable. It is the Consultant's recommendation that control centers be established as described above and direct supervision be provided by staff with the officer in the control center providing constant observation of staff and inmates. This would provide much more protection for the officers than is presently being experienced at this facility.

Thursday, April 15, 1993

This was one of the most difficult days that the Consultant has ever worked in any institution during his career in corrections. On the morning of the referenced date, the inmates holding the staff hostages informed the staff that unless they provided the inmates with electricity, water, and food by 10:00 a.m., they would kill one of the hostages. The deadline passed and the inmates were not provided with their demand. At approximately 10:45 a.m., the inmates advised the hostage negotiators that they had killed one of the hostages and that his body would be placed outside of L unit for staff to remove. This was an extremely devastating event for all of the staff. They became extremely angry and depressed, which was justifiable. Many individuals urged Warden Tate to rush the inmates in L unit and put an end to the disturbance. Warden Tate and Director Wilkinson must be commended for the restraint shown during this period of time. And extreme amount of pressure was being exerted by staff and others for actions to be taken. Had the

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Director and Warden allowed staff to attack L unit, there is no doubt that the remaining hostages would have been murdered. One event that helped this situation tremendously was the release of one of the hostages. Staff were jubilant and expressed their enthusiasm as he was escorted through the hallway to the medical unit and out of the institution to the hospital. Another hostage was released the next day, which gave staff hope that the remaining hostages would not be harmed. Friday was an extremely tense day, and it was not until Saturday afternoon that staff were able to re-establish their focus.

Wednesday, April 21, 1993

It became evident on Monday and Tuesday that the hostage situation was nearing an end and could be resolved at most any time. Preparations were made for the release of the hostages and the receiving of inmates from L unit on Tuesday and Wednesday, April 20, and 21. A package had been prepared and placed in each of the inmate cells which contained sheets, a pillowcase, blankets, toothpaste, a toothbrush, writing paper, a stamped envelope, pencil, soap, toilet paper, and styrofoam cups for drinking water. Late in the afternoon of April 21, inmate negotiators and staff negotiators reached an agreement. It was decided by what procedure the inmates would depart from L unit. A system had been developed to process the inmates through the M-2 gym on K side. A line of state troopers and National Guardsmen spread across the recreational field, processing tables were set up in the gym, and inmates were to be escorted from the gym on L side to the gym on K side, enter the gym and be escorted to a table where troopers would fingerprint the inmates, take their picture, and remove their clothing. The inmate would then be escorted to a table where medical staff would provide a brief screening. From there, the inmate would move to the next area where he would be provided with a jumpsuit and shower shoes, placed in restraints, and escorted to another table for his housing assignment, and then escorted to the housing unit by a state trooper. To insure that the inmates who surrendered from L unit were not abused, state troopers were assigned in each one of the housing units where those inmates were to be relocated. They were instructed that any time a staff member went down range to check on an inmate or interact with an inmate in any manner, the trooper was to accompany the officer. In the event that an incident occurred, the trooper was to submit a written report to his supervisor. The inmates began processing out of L unit in groups of twenty at approximately 3:30 p.m. The process was extremely slow and became stagnant on several occasions. It was late into the night before a final agreement was made with the inmates; then the process began to move rapidly. All of the inmates who did not actively participate in the riot were released by the inmate rioters in the beginning. The core group who participated in the riot, approximately 120, remained in the area until the others had been processed out of the unit. It was determined that three groups were involved in the hostage taking: Muslims, Black Gangster Disciples, and Aryan Brotherhood. The remainder of the three groups exited L-side gym at the same time. Each of the groups had in their possession hostages who were released as they came up to the processing area. The Muslims and Black Gangster Disciples were the first to enter the staging area and had with them three of the hostages. Those three hostages were handed over to the Ohio State Patrol and escorted into the institution immediately. At the conclusion of the processing of these two groups, the next group — the Aryan Brotherhood — moved into place with the two remaining hostages under their control. Those hostages were released to the Ohio State Patrol and escorted into the institution immediately, also. As these two groups were being processed, two inmates began yelling out of the L unit housing area that the inmates had killed another inmate and had tried to kill them but they had hidden from them. The Consultant proceeded to the L-unit gym door, where he talked to the two inmates and instructed them to remain at the door and staff would rescue them as soon as the groups in the staging area were processed. After the groups were processed, a squad from the Ohio State Patrol approached the door and rescued the two inmates. They informed the staff that the inmate who was murdered was located in L3 or L4 cellhouse. Staff took a ladder and looked in the windows of the cellhouse and observed an inmate who had been murdered, as had been reported by the two inmates. The next morning, a search was made of the cellblock and another murdered inmate was found in one of the cells. By the time all of the inmates had been processed through the K unit gymnasium and the inmates designated for transfer to Mansfield were placed on the buses, it was approximately 3:00 a.m., and the disturbance had finally reached a conclusion.

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CONCLUSION

The Consultant would like to express his sincere appreciation to Director Reggie Wilkinson for all courtesies extended. The Director met personally with the Consultant at the beginning of the incident and informed him that everything at the institution as available and, consequently, the Consultant was included in every facet of the operation. Warden Tate is to be commended for the courtesies he extended to the Consultant. He included the Consultant in the decisions of the hostage negotiating, the command center, the attack plan should it become necessary, and allowed the Consultant to enter every part of the institution as necessary.

The Ohio Department of Rehabilitation and Correction can report that the disturbance ended with honor on the part of staff. The Consultant can say without reservation that there was no visible abuse of inmates by staff at the conclusion of the disturbance. Staff performed their duties in a very professional manner. Colonel Rice of the Ohio State Patrol should be commended for the manner in which he directed his staff and the invaluable decision-making process he provided during the entire crisis. The Consultant would be remiss if he did not express his appreciation to Eric Dahlberg for the assistance and cooperation he extended. The progress made in many aspects of the operations in J and K units could not have been accomplished without the assistance of Warden Ben Bower. The length of the average work day for the Consultant and Warden Bower was approximately 15 hours. Warden Bower proved to be a valuable resource and provided leadership for staff assigned to J and K units. It would be impossible to acknowledge the many staff members who performed their duties above and beyond required limits. The Department, particularly the Lucasville facility, is extremely fortunate to have on staff persons who are dedicated and enthusiastic in the performance of their duties. Without them, this situation would not have reached resolution as quickly nor as satisfactorily for all concerned.

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SOCF: Inmate Demands

1. SOCF is committed to following all administrative rules of the Ohio Department of Rehabilitation and Correction.
2. Administrative discipline and criminal proceedings will be fairly and impartially administered without bias against individuals or groups.
3. All injured parties will receive prompt and complete medical care and follow-up.
4. The surrender will be witnessed by religious leaders and news media.
5. The Unit Management system will be reviewed with attempts to improve in areas requiring changes.
6. Will contact the Federal court for a review of the White V. Morris consent decree which requires integrated celling.
7. All close security inmates have already been transferred (on K-side) from SOCF. L-side close inmates will be evaluated.
8. Procedures will be implemented to thoroughly review inmate files pertaining to early release matters and changes will be made where warranted.
9. Over 600 inmates have already been transferred from SOCF, greatly reducing previous population numbers.
10. Current policies regarding inappropriate supervision will be rigidly enforced.
11. Medical staffing levels will be reviewed to ensure compliance with ACA standards for medical care.
12. Attempts will be made to expedite current plans to install a new phone system.
13. We will work to evaluate and improve work and programmatic opportunities.
14. There will be no retaliating actions taken toward any inmate or groups of inmates or their property.
15. A complete review of all SOCF mail and visiting policies will be undertaken.
16. Transfers from SOCF are coordinated through the Bureau of Classification. Efforts will be increased to ensure prompt transfers of those inmates who meet eligibility requirements.
17. Efforts will be undertaken to upgrade the channels of communication between employees and inmates involving "quality of life" issues.
18. The current commissary pricing system will be reviewed.
19. We will consult the Ohio Department of Health regarding any future tuberculosis testing.
20. The Federal Bureau of Investigation will monitor processing and ensure that civil rights will be upheld.
21. The Ohio Department of Rehabilitation and Correction will consider on a case by case basis inter-state transfer for any inmate, if there is reasonable basis to believe that the Department is unable to provide a secure environment for that inmate. Any inmate denied a transfer, the Federal Bureau of Prisons will review their case.

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The State of Corrections - Executive Summary and Overview

This executive summary presents the most salient issues for the testimony before the Correctional Institution Inspection Committee.

Crime, Prisons, and Community Sanctions is the Management Agenda for Corrections 2000.

The Ohio Department of Rehabilitation and Correction recently experienced a benchmark event on a national scale with the inmate siege of the state's only maximum security prison in Lucasville, Ohio. The siege was executed on April 11, 1993 lasting eleven (11) days and resulting in the loss of ten lives: one (1) correctional officer and nine (9) inmates. This event became nationally acclaimed as the longest prison siege with lives lost, in history.

The impact of this circumstance expedited the agency's assessment of the current status of operations. The resultant evaluative information will facilitate the strategic deployment of effective quality functions.

With the impending onset of fiscal year 1994, the most efficient utilization of budgetary resources must be guided by the outcome of research data reported by the review and investigative committees, commissions and task forces, targeting specific strategic deployment issues. The findings will provide the direction and impetus for targeting strategic deployment goals requiring an action plan which will encompass program development, monitoring and evaluation.

MANAGEMENT

The management of operations within the Department of Rehabilitation and Correction is a complex system of inter-related divisions whose functions include administration, human resources utilization, prison programs, and Parole and Community services. Following are the most salient strategic issues in light of the recent disturbance at the Southern Ohio Correctional Facility.

Unions

- July 1, 1986 first collective bargaining agreement.
- Director Wilkinson has initiated steps to enhance relationships between union and management through quality processes.
- During disturbance at SOCF, department and union representatives worked closely together to deal with the crisis.
- Committees with union representation to examine the future of L Complex.
- Director Wilkinson and Executive Director Goldberg meeting with members of their staff to discuss issues.

Recruitment/Affirmative Action

- Organized minority recruitment began in DRC in 1984, with the main focus on SOCF (which then had 4.4% minority employees) and CCI (3.6% minority employees). Overall, DRC had 13% minority employees.

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- Programs designed to improve minority representation in the DRC workforce include: postings sent to community action organizations; EEO-sponsored job fairs and workshops; changes in "male only" positions (BFOQ); statistics kept to highlight areas where improvement is needed; teaching application and interview skills; establishment of a "skills inventory" resource file.
- A Special Minority Recruiter has been appointed.

Training

- Since 1984, the Corrections Training Academy has provided pre-service training to more than 8,800 new employees; inservice training has been offered to approximately 16,000 existing employees.
- Human Relations issues, EEO and Inter-Personal Communications skills training have been a part of the basic pre-service curriculum since 1984.
- Correctional Supervision and Executive Management curricula contain classes on EEO and cultural sensitivity.
- A new lesson plan on cultural diversity, emphasizing ethnic diversity in the correctional setting, was written this year.

Specialized and Inservice Training Initiatives

- The addition of new staff over the next two years (possibly bringing the DRC staff total over 11,000 by the end of 1995) will place an enormous training burden on DRC.
- One proposed way to handle increased training needs is to develop regionalized training resources for specialized and inservice training.
- Proposals for specialized training include training for working with disruptive inmates, hostage training and emergency response training.
- Qualifications, selection and training proposals are outlined for Disturbance Control Teams, Hostage Negotiation Teams, Tactical Response Teams and Tactical Assistance Commands.

Other Training Areas to Review and Update

- Culture Training for all staff of DRC (A. Appalachian, B. African American, C. Hispanic, D. American Indian and E. Urban). This training should let staff better understand and accept differences between cultures and life-styles of both staff and inmates.
- There is a need for an updated library, clearinghouse, correctional research and development information center at CTA (one librarian position would be needed).
- More Prison Gang Training is needed both in inservice and pre-service.
- More updated Hostage Training and Disturbance Training is needed for all staff of DRC.
- Command Center Training is needed for all upper management at our institutions.

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- A program for institutions to have table top disturbance/emergency exercise at least three (3) times per year. All staff should be properly trained annually and should clearly understand what is expected of them during any disturbance/emergency. All inservice training should include a table top exercise for all staff in our institutions.
- A review of all institution T.R.T./D.C.T. teams' training and equipment is needed, (gas masks, weapons, uniforms, etc.).
- Review the need for a Special Operations Response Team to be on duty 16 hours a day, 7 days a week at our maximum institutions to respond to disruptive inmates, movement of these inmates, during the day visiting passes, etc.

Unit Management

- Definition: Unit Management is an approach to inmate and institutional management designed to improve control and relationships by dividing the larger institution population into smaller more manageable groups and to improve the delivery of correctional services.
 - Unit Management developed in 1963-Federal Bureau of Prisons
 - 12-5-85-ODRC committed to begin implementation-Task assigned to develop plans
 - 4-86-implemented at Orient Correctional Institution.
 - Today, all institutions are unit managed.
 - January, 1988-Unit Management Conference co-sponsored by ODRC, South Carolina Department of Corrections.
- Ideal Staffing:
 - 1 unit manager for each 250 inmates.
 - 2 case managers for each 150 inmates.
 - 2 correctional officers for each 250 inmates.
 - 1 correctional officer for each living unit post.
- ODRC unit staffing has not grown with the increase in population.
- Initiatives for improvement:
 - Enhanced training for new and current staff.
 - Maintain staff at desired level.
 - Unit Management Summit for ODRC staff.

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Mental Health Services

- Of the 115 DRC staff positions which carry out the delivery of mental health services (including clerical), 12 are vacant (11.7%)
- The Department of Mental Health provides 57 staff positions. Additionally, more than 200 hours of psychiatric and psychological services per week are supplied through contractual staffing.
- An in-house study (1988) showed that the prison community is a community with a proportionately high rate of psychiatric and psycho social impairment.
- The distinctly different operating philosophies of DRC (a legalistic, more punitive approach, emphasizing programming and treatment) and DMH (a community mental health approach utilizing medication and deemphasizing direct service) have hampered the ability of both agencies to deliver mental health services to inmates.
- The incident at SOCF required that inmates with mental health problems be shifted to institutions in which housing of these inmates is not appropriate. Serious backlogs of such inmates have developed at the male reception centers.

Task Force on Drugs in Prisons (Sturtz Report)

- Summer 1989, Governor appointed Sturtz to chair a Task Force on Drugs in Prisons.
 - Drug interdiction strategies, testing, drug dogs.
 - Funding for human resources.
 - Legislative recommendations, increased penalties.
 - RESULTS: added Investigator, Program Coordinator, and 2 correctional officers to each institution.

Drug Interdiction

- Inmate drug testing program
- Random
- For Cause
- Programs
- Saturation testing

Substance Abuse Treatment

- 1992 intake study revealed 70% of all new admissions had alcohol and/or other drug problems. 32% had a drug offense.
- Substance abuse counseling 20 institutions.

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- Residential substance abuse programs 8 institutions.
- Day treatment programs 3 institutions.
- AA/NA 22 institutions.
- Group counseling and relapse prevention 20 institutions.
- Mandatory Drug Education 22 institutions.
- Recovery Services Program Orientation 22 institutions.

Prison Crowding

Department of Rehabilitation and Correction: Crowding

- This section reports on crowding patterns throughout the department's prisons and specifically at the Southern Ohio Correctional Facility (SOCF) at Lucasville.

The prison at Lucasville was opened in 1972, the same year the Department of Rehabilitation and Correction became a separate department. Crowding was minimal; any that did exist occurred due to the closing of the Ohio Penitentiary in Columbus.

However, in 1974 prison population began to rise sharply. This was offset in part by gradually reopening the Ohio Penitentiary, but crowding did eventually become a part of the Department's existence. That crowding continues to this day. Crowding overall for the Department is detailed from 1980 onward in Attachment 1.

Crowding for SOCF has not been so continuous. Due to the particular mix of offenders at SOCF, the Department has always been more cautious about crowding that facility. Crowding has only briefly gone over 50 percent above capacity during the last ten years. At one point the population was slightly below design capacity. This information is detailed in Attachment 2. It should be noted that design capacity for SOCF has been stable at 1620 since the facility was opened.

- It should be noted that current crowding is 80 percent over design capacity (Attachment 1). That calculation is misleading, however, since it fails to remove the 640 beds in L-Complex at SOCF from the capacity figure. If those beds are removed from the capacity figures, current crowding overall for the Department is 85.5 percent over design capacity.
- The direct impact of SOCF was indicated in Section II, above. A total of 640 beds are removed from use. When the crowding situation is recalculated, the level of crowding is about 5 1/2 percent worse than before. Further, efforts and funding that might have been going toward relieving crowding are now going into dealing with the follow-up of the riot at SOCF.

SOCF: Population and Crowding

- The current status of operations at SOCF is obviously seriously altered. Many of the extra expenses incurred by the Department are taking place at that facility. Future expenses concerning reconstruction also seem relevant, but these have not occurred yet. The Division of Business Administration will provide a more detailed account.

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- The riot at SOCF has obviously had a considerable impact on the budget and future at that facility. Since this whole report has that as a focus, it seems improper to detail that again here.

Gangs/Disruptive Groups

- Racial Breakdown of Gang/Disruptive Group Members:
 - 752 White
 - 743 Black
 - 38 Hispanic
 - 1 Oriental
- Separate Groups Identified
 - Membership ranges from 1 to 194 identified in institutions

Staffing Patterns and Diversionary Programs

- Correctional Officer positions have increased:
 - 1991 [4481]
 - 1992 [4485]
 - 1993 [4590]
 - 1994 [4754] Proposed in new housing units
- Increase of Correctional Officer ratio is not a direct correlation to a decrease in inmate ratio, because of increases in population, etc.
- Any additions of staff positions must encompass the total arena of supervision and services to be offered.
- A number of initiatives being considered regarding Community Diversionary Program:
 - Sentencing Commission
 - Revocation Centers
 - Theme Prisons (Earned Early Release)
 - Early Release
 - Increased bed space at Community Based Correctional Facilities
 - Electronic Monitoring

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- Extended use of Shock Probation and Parole
- Minimum Security Misdemeanant Jails: (MSMJ)
- Fax Reporting Centers
- Restricted Admissions
- Since beginning its ACA accreditation effort in 1987, DRC has achieved the following:
 - 5 institutions are accredited (DCI, MCI, ManCI, RCI and SOCF)
 - 2 institutions have Health Care certification (HCI and LCI)
 - 2 institutions have been recommended for accreditation (GCI and HCI)
 - Accreditation is currently being sought for LCI, LECI, WCI and Central Office.
 - SOCF will be monitored by ACA observers on June 28, 1993.
 - Entering the accreditation process in 1993 are MACI, ACI, CTA, FPRC, the APA (Parole Board and Field Services) and CMC.

Budgets

- DRC System-wide Ten (10) year Profile of Budget and Population Growth
 - In the past ten years the Department's GRF funding has increased by 378% from \$158,854,000 to \$600,974,000, and the inmate population has increased by 217% from 18,054 to 39,305.
 - The Department budget includes Parole & Community Services, Corrections Training Academy, and Central Office.
 - From a budget perspective the impact of the disturbance at SOCF was significant. Although not all cost impacts have been finalized, the current estimates demonstrate a dramatic impact on the FY 1993 budget and additional costs could have an impact in FY 1994. The following is the most recent summary of cost by line item for FY 1993:

<u>501-100</u>	<u>501-200</u>	<u>501-300</u>	<u>501-601</u>
Personnel	Maintenance	Equipment	Food/Farm
\$3,545,157	\$1,396,772	\$165,009	\$199,913

Total FY 1993 Costs = \$5,306,850.70

- The personnel costs have had the most significant impact due to the extended period of time the emergency existed and the amount of manpower required to respond to the situation which required overtime and emergency pay status.
- These costs also include the costs incurred by other institutions as a result of the SOCF disturbance.

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- The Department has requested that emergency pay status be extended to exempt employees who are at pay range 12 or below. If OBM approves this request, the cost will be an additional Fortunately, the Department has been able to absorb these costs within the FY 1993 budget.
- It is anticipated that a significant amount of comp-time accrued during the SOCF disturbance will be paid to employees in FY 1994.
- The amount of comp time conversion anticipated for FY 1994 is currently being estimated by the DRC Personnel Office
- The cost of repairs to L-Complex is also under study by the Bureau of Construction Activation and Maintenance and could have an impact on the FY 1994 budget.

IMPACT OF SOUTHERN OHIO CORRECTIONAL FACILITY DISTURBANCE

The April 11, 1993 disturbance at the Southern Ohio Correctional Facility, Lucasville, Ohio had a significant impact on the Corrections Environment. The Department responded expeditiously by deploying various committees and task forces to review, evaluate and implement pro-active initiatives to facilitate present and future correction's operations.

Investigative Reports: Prior and Current

- Prior Investigative Reports
 - 1985 Security Audit - J. Henderson
 - June 1990 Ohio State Highway Patrol Investigation
 - September 1990 House Select Committee Report
 - June 1990 NIC Audit - L.E. DuBois
 - October 1991 ACA Audit
 - May 1993 Lanson Newsome Report
- Current Investigations
 - Criminal Investigations
 - Ohio State Highway Patrol
 - FBI Technical assistance and DNA analysis
 - Special Prosecutor, Mark Piepmeier, assisted by Tom Longano
- Fact Finding Committees
 - Governor's Select Committee on Corrections, commissioned April 22, 1993
 - DRC Cause Committee

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- DRC 3:00 p.m. - 6:00 p.m. Chronology Committee

Compilation of SOCF Deaths

- There have been a total of 38 inmates killed and 5 employees killed since the activation of SOCF.
- Of the 38 inmates killed: 34 occurred at SOCF, 3 inmates were killed while on Escape Status from SOCF (two shot by law enforcement officers and one shot by a hostage), and 1 inmate died following a Use of Force incident at SOCF (this death later being ruled an accidental death).
- Of the 38 inmate deaths, 22 were Black inmates and 16 were White inmates.
- The largest number of inmate deaths in a single year is 9. All nine died during the L-Complex riot in April 1993. Four inmate deaths were reported in 1990 and three deaths were reported in 1976, 1977 and 1986.
- All five employees who died in the line of duty were White.

Mansfield Correctional Institution

- ManCI received 62 general population inmates from SOCF during the disturbance as SOCF emptied K-Complex. After the disturbance, an additional 129 inmates from L-Complex were received. This increased ManCI's population to 2500 inmates (200% of capacity).
- The L-Complex transferees are currently housed in the Segregation Unit in a lockdown status. Recreation and visiting privileges are contingent upon SOCF resuming these privileges.
- To relieve crowding, ManCI has transferred 92 inmates to TCI, built inside and outside recreation cages and converted an empty OPI factory into a 100-bed medium security dormitory.
- ManCI is in the process of creating an Inmate Liaison Committee to advise institutional officials on matters concerning the welfare of the inmate population.

Staff Attitudes and Behavioral Patterns

- Correctional staff at SOCF, particularly the CO's have grown-up within a rural environment, thereby, in most cases, having limited experiences with persons or value-systems different from their own.
- Inservice curricula needs to be expanded to include cultural sensitivity for all employees.
- Correctional staff must develop alternative approaches for maladaptive attitudes and behavioral patterns.
- Inmates' attitudes and behaviors reflect the same kinds of limited exposure to diverse cultures as do the correctional staff.

Chronology of SOCF Disturbance

- Chronology of SOCF disturbance April 11-22, 1993 - A sequenced document is incorporated in the text.

APPENDIX A - REFERENCE MATERIALS

Hostage Assistance

- SOCF staff who were injured and/or held hostage during the recent disturbance are currently receiving Injury Pay or Hostage Pay in accordance with Ohio Civil Service law and the Bargaining Unit contract.
- All hostages have been nominated for the ACA Medal of Valor and were each named DRC Employee of the Month for April.

Experts On-Site

- Decision by the Governor, Lt. Governor, and Director to bring in experts early during disturbance for advise and counsel.
- Ohio State Patrol, Colonel T. Rice.
- Ohio National Guard, General R. Alexander.
- FBI Special Agent in Charge, Allen Tolan.
- Detectives David Michael and Frank Navarre, Dayton PD.
- Ohio Department of Health/Biodyne-counseling staff and families.
- Attorneys Al Allen and Al Adler from AG advise on site.
- National Transportation Safety Board investigated crash of helicopter.
- State Fire Marshal on site to advise.
- Lanson Newsome, Georgia Dept. of Corrections on-site advice.
- Niki Schwartz, Attorney/Negotiator
 - Local Agencies
 - Portsmouth Police Dept.
 - Lawrence County Sheriff Dept.
 - New Boston Police Dept.
 - Parks Police Dept.
 - Jackson Police Dept.
 - Scioto Police Dept.

APPENDIX A - REFERENCE MATERIALS

- Piketon Police Dept.
- Waverly Police Dept.
- DRC staff from all institutions assisted by participating in TRT, Disturbance Teams, Negotiators, Snipers, Transportation, Union Representatives.

Southern Ohio Correctional Facility L-Complex Renovation

- Renovation and Program Management Issues
 - L-Complex has not been released as a "crime scene," reliable Data Estimates have to be assessed.
 - Review team of architects, construction specialists, electrical, mechanical and structural engineers have been assembled by DRC, and the Division of Public Works as a priority project.
 - SOCF Renovation Planning Committee established 5/4/93 to:
 - Establish mission of SOCF as maximum security facility.
 - Delineate security and operational requirements for security/supervision levels.
 - Estimate inmate capacity and Program requirements for supervision levels.
 - DRC review architectural plans for K-block and J-block assisted by the Division of Public Works.
 - Estimate design specification time is 30 days.
 - Estimate construction time 4-6 months.

EXTERNAL FACTORS IMPACTING CORRECTIONS

The Ohio Department of Rehabilitation and Correction's overall mission is to ensure public safety, the management of safe, secure and humane prisons and to facilitate inmate programming to prepare the ex-felon to become a productive citizen. Two significant external entities impacting the Department as a high profile agency whose policies, programs and administration are influenced by significant external factors are the media and the sentencing commission.

Media

- The Media became the vehicle for inmates to air their grievances
- Problems Identified With Media Management and Influence:
 - Influence of Misinformation
 - Quality of media personnel
 - Lack of information being submitted to staff & media caused frustration and speculation

APPENDIX A - REFERENCE MATERIALS

- The power of rumors, particularly those coming from staff
- Divergent objectives between the Media and DRC
- Lack of Modern Communication Equipment
- Recommendations
 - Training (Two persons from each facility and Parole and Community Services be trained in public relations).
 - Technology (Improve and increase the availability of modern communications equipment, i.e., tape recorders, laptop computers, phone banks, cellular phones, etc.)
 - Staff (Identified and trained for a crisis).
 - Central Office (Rumor person, facts/numbers person with computer (preferably MIS staff), Governor/Lt. Governor Information Coordinator, Internal Reporter to Command Center and other institutions, Releases Coordinator, primary and secondary spokespersons (briefs next shift), log keeper, media manager, stenographer).
 - On-Site (Same as above substituting Governor/Lt. Governor Coordinator with Central Office Coordinator add: Logistical Coordinator, hostage family contact, general staff contact, and an assistant to Spokesperson).
 - Prison plan (Augment emergency plans to include: Beefing up staff trained in PIO uses, selecting a site and hook-up site to locate media and provide additional technological equipment that is needed during a crisis).
- Following plan should be in place in case of future crisis:
 - Contact Media Manager ASAP
 - Media Manager assembles staff/develops initial schedule
 - Fax short descriptions of crisis with instructions to wire services
 - Plan on-site Media and place in appropriate location
 - Primary spokesperson works with Command Center, develops appropriate initial strategy and coordinates with Central Office
 - Ensure appropriate electronic equipment, briefs sheets, and relevant background information is available at the scene
 - An established work location is separate from Command Center
 - Primary spokesperson makes assignments and schedules

Sentencing Commission

- Sentencing Commission key questions are:

APPENDIX A - REFERENCE MATERIALS

- Does the proposal create any gaps in public protection?
- Will it relieve prison crowding?
- Will the state be able to punish offenders appropriately at less cost to the state's counties?
- Will the proposal ensure that a victim feels that his or her concerns are addressed in sentencing; will offenders believe that sentencing and punishment is handled fairly?

OVERVIEW

The text in this document is a compilation of the operational status of the Ohio Department of Rehabilitation and Correction in the following executive and administrative areas:

MANAGEMENT

Unions
Recruitment/Affirmative Action
Training
Unit Management
Mental Health Services
Task Force on Drugs in Prisons
Prison Crowding
Gangs/Disruptive Groups
Staffing Pattern/Diversiory Programs
Accreditation
Budgets

SOCF IMPACT

Investigative Reports: Prior/Current
Compilation of SOCF Deaths
Mansfield Correctional Institution
Staff/Inmate Attitudes/Behavior Patterns
Chronology of SOCF Disturbance
Hostage Assistance
Experts on-Site
Southern Ohio Correctional Facility
L-Complex Renovation

EXTERNAL FACTORS

Media

Sentencing Commission

The following content incorporates operation status reports identifying and evaluating strategic deployment functions to assess "The States of Corrections" in Ohio, to ensure the most productive and effective strategic goal deployment for the transition into Corrections 2000.

Each operational status report consists partially or inclusively of three (3) focus areas:

1. Historical Perspective
2. Current States of Operations
3. Impact of Southern Ohio Correctional Facility Disturbance
Immediate intervention/strategy deployment
Proposed Pro-active initiatives

This document provides a validation of issues and objectives designed to continue quality improvement of the correctional system in the State of Ohio.

APPENDIX A - REFERENCE MATERIALS

White Papers

The Governor's Select Committee on Corrections commissioned "White Papers" covering various areas within the Ohio Department of Rehabilitation and Correction. Official permission was sought from and granted by the Select Committee for the use of the "White Papers" as a resource for this document. The "White Papers" are titled as follows:

A Statement on Mental Health Services in ODRC

Accreditation

An Overview of Correctional Medical Issues in Ohio

Community Diversions

Community Relations Boards

Cultural Diversity

Employee Training and Re-training

Female Inmate Issues

Inmate Classification

Inmate Education Programs

Inmate Grievance

Inmate Work

Legal Issues

Management Information Systems

ODRC Security Threat Group and Gang Management Program

Prison Violence

Proposal for Full Utilization of the Oakwood Forensic Center at Lima

Racial Cell Assignments

APPENDIX A - REFERENCE MATERIALS

Religious Issues

Segregation Housing

Staffing Issues

Substance Abuse Recovery Services

The Effects of Crowding on Facility Infrastructure

The Impact of Overcrowding on Institution Operations

Unit Management

The "White Papers" may be obtained with written permission from the Governor's Select Committee on Corrections, through ODRC Management Information Systems, 1050 Freeway Drive North, Columbus, Ohio 43229.

APPENDIX B - COMMITTEE SUMMARIES

Disturbance Cause Committee Findings

SOCF Renovation/Planning Committee Executive Summary

**The Initial Hours Chronology Committee - Preliminary
Investigation Report**

APPENDIX B - COMMITTEE SUMMARIES

Disturbance Cause Committee Findings

Executive Summary

Overview

A major institution disturbance occurred at the Southern Ohio Correctional Facility (SOCF) at 3:00 p.m. on Easter Sunday, April 11, 1993. The disturbance resulted in the murder of one correctional officer, Robert Vallandingham, and nine inmates, all at the hands of rioting inmates. The entire L Complex consisting of eight cellblocks and a gymnasium were under siege for 11 days with significant damage to this entire area. A total of 12 employees were held hostage during portions of the siege, all of whom were released with the exception of the slain correctional officer.

As a result of this event, this Committee was appointed to identify facts that caused, contributed to, or triggered the April 11 disturbance. The attached report examines the environment of this institution and the systems that are in place to manage Ohio's maximum security institution. This Executive Summary is designed to identify the most weighty of those findings as they apply to the disturbance.

Leadership

During the six weeks this Committee deliberated, leadership became a factor in the management of Ohio's maximum security prison that required attention in this report. In fact, it is interesting to note the observation of Lanson Newsome, National Institute of Corrections' consultant during the disturbance. While he commended Warden Tate for his leadership, he stated, "It was evident that problems existed with executive staff and supervisory.... The staff needed many questions answered during the crisis as did the inmate population. Supervisory staff failed to fill the void."

The Committee specifically found the following points regarding leadership at SOCF:

- Warden Tate, since his appointment as warden at SOCF, has provided energetic leadership through implementation of Operation Shakedown, regular tours through the institution and during staff interviews it was conveyed by an overwhelming majority of staff that Warden Tate provided excellent leadership.
- Warden Tate does not possess confidence in key administrative staff and middle managers (captains and unit managers) and as a result, a team concept does not exist among institution management staff. A disruptive tension exists between custody and unit management staff. In fact, because of a lack of confidence and unproductive performance on the part of key administrative staff, Warden Tate was in a position to deal directly with Muslim inmate leaders regarding TB testing, an event found to have triggered the disturbance.
- The State of Ohio employee classification system compensates Deputy Wardens at SOCF (Programs Deputy Warden at SOCF administratively directs 500 employees) at the same level as much smaller, less complex institutions. This system proves to be an obstacle in the Department's goal of placing its most experienced and competent people in the most challenging positions.

In pondering the cause of the April 11, 1993 disturbance, several critical elements that are more fully discussed in the body of this report surfaced as being influential to this event. The below stated citings are viewed by this Committee, in addition to the leadership issues mentioned above, to have set a stage for this event to occur.

APPENDIX B - COMMITTEE SUMMARIES

- Operation Shakedown

In November 1990, the Department of Rehabilitation and Correction (DR&C), under the direction of Warden Tate, implemented a comprehensive plan following recommendations of the House Select Committee and DR&C administrative observations to bring increased security and control to the institution. This plan significantly reduced freedom of movement and increased custody of inmates after a period of much less control. Implementation of this plan proved effective in reducing inmate deaths and increasing a sense of safety and security for both staff and inmates as cited in the 1991 American Correctional Association (ACA) Audit. The plan proved effective when fully implemented, however, when one of the fundamental components of the plan, single celling, was abandoned because of the growing prison population, tension within the institution regarding double celling and interracial celling negatively impacted institution operation. Groups of inmates being supervised during movement, at recreation and in the cellblocks grew.

- Cell Assignments

Double celling of the inmate population was voiced by a vast majority of both staff and inmates as a cause of the disturbance. There are specific factors associated with double celling that required further explanations. First, at the time of the disturbance, the highest security group of inmates assigned to the general population, Maximum Security Level 4, were the most frequently double celled. Seventy-five percent of Maximum Security Level 4 inmates were double celled on April 11. Secondly, interracial celling increased beginning in 1991 as ordered under White v. Morris and was routinely followed throughout the state. A formal and informal process existed at SOCF to provide an avenue for known racists and gang members to be assigned to a same race double cell or single cell. Double celling was further aggravated by one of the general population cellblocks being closed down on a rotating basis for maintenance upgrades. It also needs to be noted that both the National Institute of Corrections' security/custody recommendations and DR&C classification policy calls for single celling maximum security inmates. On April 11, 1993, 804 inmates were double celled at SOCF.

Institution Transfers

Beginning significantly in June 1992, SOCF transferred out a predominately stable group of 424 inmates in exchange for a higher security, younger group of inmates from the Mansfield Correctional Institution (MANCI), following the MANCI disturbance and murder of a correctional officer. From June 1992 to April 9, 1993, 96% of the inmates received at SOCF from MANCI were maximum security compared to 85% of those inmates leaving SOCF having a lesser security classification of close or medium security.

Staff/Inmate Relations

Serious problems exist regarding interpersonal communication between staff and inmates at this facility. This disruptive relationship is both racial and cultural in its origin. A review of use of force incidents at SOCF from January 1992 to the time of the disturbance not only reflects a very high rate but also indicates a disparity in use of force against black inmates. Specifically, 74% of all reported use of force cases involved black inmates compared to their percentage of the SOCF population being 57%. During Committee interviews, two SOCF employees were physically observed to have lightning bolt tattoos, a sign associated with the Aryan Brotherhood.

- Security

DR&C implemented a comprehensive management system, unit management, to break these large inmate populations into smaller, more manageable groups with security and unit management staff working together. The relationship between security staff and unit management personnel at SOCF is dysfunctional which creates an environment where inmates take advantage of poor communication and turf battles. Correctional officers are

APPENDIX B - COMMITTEE SUMMARIES

unclear on whether to take direction from unit management staff or exclusively from security shift supervisors. Two correctional officers are assigned to each general population cellblock, with the exception of the one "merit" cellblock. While this assignment pattern seems adequate for maximum security cellblocks, one of the officers per block is regularly pulled for escort duties and supervision in recreation leaving officers routinely working alone in the cellblocks.

The security of the institution is further diminished by inmate clerks performing sensitive responsibilities despite previous security audit citations and direction by Warden Tate. In fact, despite a tightening down on inmate clerk jobs during the past two and a half years, including taking keys away from inmates, duties involving taking sensitive photographs after hours, typing disciplinary reports of other inmates and having access to employee training and personal information currently exists at SOCF. During the investigation, the influence of inmate clerks assigned to the Captain's office was observed as a search was conducted in the Captain's office where large quantities of food taken out of secured areas of the kitchen were found.

- Classification

The inmate reclassification process that determines their appropriate security level (e.g., Maximum Security Level 4, Maximum Security Level 3, Close Level 3, Medium Security Level 3, etc.) is a source of tension on the part of both inmates and staff. Serious inconsistency exists between the philosophy of SOCF and Central Office. The Committee discovered that since January 1992, 75% of inmates recommended for medium security by SOCF staff have been rejected by Central Office with no reasons provided for the rejection.

Inmates are unable to transfer to another facility until their security classification is reduced to an appropriate level.

Institution Intelligence

Thirteen percent of the entire inmate population can be identified as members of an inmate gang. There is no centralized system for conducting investigations, authorizing investigations to be conducted or for communicating findings of investigations to key decision makers. As a result of the absence of a centralized intelligence system, gang information is frequently not available when important decisions like assigning inmates to cellblocks are made. The staff person assigned as the Institution Investigator is not functioning as part of the administrative staff and is not coordinating all investigations.

While the above elements were instrumental in creating a setting where a major institutional disturbance could take place, the determination to lock the institution down to force the 159 inmates who initially refused to take the T.B. skin test, and for that determination to be known by the inmates before it was to occur, was the triggering mechanism. Points worth noting about this process include:

- T.B. testing was a department-wide initiative performed at the initiation of the Department of Rehabilitation and Correction's Central Office.
- SOCF tested the entire population of over 1,800 inmates with 159 of those refusing to take the "stick test." Of that total, 29 cited religious reasons.
- Warden Tate directly communicated with inmate Sanders, recognized inmate Muslim leader, both in a response to a "Kite," written communication from Sanders, and in a meeting during the week of April 5. Both communications clearly instructed the inmates that the remaining 159 would be tested through the method "stick test" previously utilized. It is important to note that SOCF and Central Office did discuss alternative methods of

APPENDIX B - COMMITTEE SUMMARIES

testing (x-ray and sputum methods), however, they determined that the only way to measure exposure is through the "stick test."

- On Friday, April 9, Warden Tate called a meeting of executive staff, unit managers, the medical and food service administrators to discuss a plan designed to lock the institution down on April 12 to complete the remaining tests. Despite this meeting being classified as confidential, word widely spread throughout the institution beginning on Friday. Inmate clerks were assigned to areas where the lockdown was being discussed.
- It is important to note that inmate Sanders, the recognized Muslim leader, and four other Muslim inmates refused to leave the chapel on Saturday, April 10, resulting in the chaplain having to push Sanders out of the way in order for the chaplain to gain access to the hallway. This incident went unreported until April 29. The Committee also discovered a Constitution for the Muslim inmates citing the use of inmate Imams which is contrary to DR&C policy.

APPENDIX B - COMMITTEE SUMMARIES

SOCF Renovation/Planning Committee - Executive Summary

This committee was established to assist in the development of an architectural program for use in renovation to the Southern Ohio Correctional Facility. Assigned parameters included mission identification, designation of security levels with operational and program requirements, and other issues related to architectural program development.

Mission

For the immediate future the Southern Ohio Correctional Facility (SOCF) shall continue to function as the Department's maximum security institution housing Ohio's offenders with a maximum security designation which will include inmates in long term segregated confinement as well as those in general population. K and L Complexes should be utilized to stratify the general population by privilege, program and access levels. J-Complex should continue to house the high security, predatory inmates currently incarcerated there. Ideally the entire institution would be single-celled. However, the lack of appropriately designated beds elsewhere in the system makes this improbable for the short term.

J-Complex Operations

No change is anticipated in the current J-Block operations. It should continue to house the highest security inmates at SOCF. All movement outside of the cells should be under restraint and rigidly controlled. J-Block inmates would continue to be fed in their cells and would not have access to the normal program opportunities available to general population. Whenever possible, delivery of services to these inmates will occur within their individual cells.

K-Complex Operations

The inside cellblocks of K-wing (K1, K2, K3, K4) should be reserved for use as S/C, D/C, L/C, A/C and/or P/C. Death Row inmates should be allowed to house in K5 through K8 as their behavior warrants. All inmates housed in K5 through K8 would be Maximum Level 4 security status. Privileges among these four cell blocks should be stratified to provide an incentive/reward system for behavior. K5 through K8 should operate as a single unit under the unit management system. The number of case managers and correctional counselors should be proportional to the number of inmates assigned to this unit. As in the operation of all units in the institution, it is imperative that correctional officers be incorporated into the unit team and involved in the classification and assignment activities on the unit.

K-Complex inmates should be separated from inmates assigned to L-Complex by use of the following restrictions:

1. No program or work assignment outside the K-Complex area.
2. Commissary delivered to K-Complex.
3. K-Complex inmates not in segregated confinement would eat in a separate dining facility accessed from the K-side corridor.
4. K-Complex would have its own general service and legal libraries.
5. Routine sick call would be conducted within K-Complex.
6. Any and all group programming would be conducted within K-Complex.
7. Eliminate all cross traffic with L-Complex inmates in accessing programs and services.

APPENDIX B - COMMITTEE SUMMARIES

L-Complex Operations

Inmates assigned to L-Complex would be permitted to participate in work and program assignments outside the confines of the L-Complex. However, at no time would they be permitted access to either J or K Complexes. Great care should be taken in making program assignments and some job duties previously performed by inmates should revert to assignments performed by staff.

Architectural Changes Common to K-Complex and L-Complex

1. The security envelope within the housing units needs to be redefined. Previously it included only the cells. It should be enlarged to the front and rear walls of the cellblocks.
2. Entrances to the cellblocks should be through electronically controlled sliding gates operated from a secure control center located outside the lower corridor crash gate. Each entrance would be visually monitored by means of a camera system.
3. The control panel within each cellblock should be secure from the remainder of the cellblock. Access to the control panel would be through a sallyported entrance off the main corridor. The outside door lock would be electronically released/locked by a secure control center. Visual contact would be maintained by cameras. The inner door would be key operated. Voice communications should be maintained between the control panel officer and the control center operating all electronic doors into the unit.
4. The corridors in K and L Complexes should remain unobstructed with clear lines of sight.
5. A separate dining room should exist for inmates who are working in areas of the institution other than J, K, and L Complexes.
6. The lights inside the individual cells at SOCF are easily abused by inmates and fashioned into weapons. A more secure lighting fixture needs to be identified and installed in all cells at SOCF.

APPENDIX B - CORRECTIONAL INSTITUTIONS

The Initial Hours Chronology Committee - Preliminary Investigation Report

Before concluding the Chronology Committee's report, it is necessary to state the Committee believes the chronology it developed for what occurred at the Southern Ohio Correctional Facility on April 11, 1993, between 3:00 and 6:00 p.m. is reasonably accurate. It is noted, however, that some needed information could not be obtained and a small portion of information revealed through the interview process and other sources remains inconsistent, conflicting or confusing as to exactly what occurred.

1. According to those interviewed directly, apparently there was no inmate fight which initiated the disturbance at approximately 3:00 p.m. on April 11, 1993. What had originally been reported by staff as a fight to the Control Center and subsequently broadcast over the institution radio as a fight, appears to have actually been inmates attacking staff in at least two locations in L-Corridor.
2. At one point in the initial part of the disturbance all three shift supervisors on duty (two Lieutenants and one Sergeant) were in L-Corridor defending themselves from attacks by inmates.
3. It was several hours after the disturbance started at SOCF before any supervisor/administrative staff member established a central command center to direct the institution's total response to the disturbance. It is evident, however, that some parts of the institution's Disturbance Control Plan were put into effect, while some parts were not. Examples were:
 - a. Secured the perimeter
 - b. Secured K-Corridor and blocks
 - c. Notified the Ohio State Highway Patrol
 - d. Began negotiations
 - e. Notified off-duty personnel
 - f. Secured inner perimeter
 - g. Notified administrative staff
4. So that the investigation conducted by this Committee did not interfere with the criminal investigation conducted by the Ohio State Highway Patrol, it was agreed that no inmates from L-Block would be interviewed until after the inmates had been referred to the Committee by the Patrol. To date only 103 inmates have been interviewed and of this number only 47 of the inmates were housed in the L-Complex cellblocks on April 11, 1993. This provided sufficient inmate background for a preliminary chronology, but insufficient information to establish culpability or address inconsistencies and discrepancies.
5. At this time only an Executive Summary has been prepared for release so as to not jeopardize forthcoming criminal prosecutions.

APPENDIX C - CORRECTIONAL INSTITUTIONS

ACI	Allen Correctional Institution
CMC	Central Medical Center
CCI	Chillicothe Correctional Institute
CRC	Correctional Reception Center
DCI	Dayton Correctional Institution
FPRC	Franklin Pre-Release Center
GCI	Grafton Correctional Institution
HCF	Hocking Correctional Facility
LeCI	Lebanon Correctional Institution
LCI	Lima Correctional Institution
LoCI	London Correctional Institution
LorCI	Lorain Correctional Institution
MaCI	Madison Correctional Institution
ManCI	Mansfield Correctional Institution
MCI	Marion Correctional Institution
MEPRC	Montgomery Education Pre-Release Center
NEPRC	Northeast Pre-Release Center
ORW	Ohio Reformatory for Women
OCI	Orient Correctional Institution
PCI	Pickaway Correctional Institution
RCI	Ross Correctional Institution
SCI	Southeastern Correctional Institution
SOCF	Southern Ohio Correctional Facility
TCI	Trumbull Correctional Institution
WCI	Warren Correctional Institution

APPENDIX C - CORRECTIONAL INSTITUTIONS

CORRECTIONAL INSTITUTIONS

NORTH REGION

ALLEN CORRECTIONAL INSTITUTION - Located in Lima adjacent to LCI. The 500-bed, medium security institution opened in 1987 at a cost of \$28 million.

GRAFTON CORRECTIONAL INSTITUTION - In Lorain County at the site of the Grafton Honor Camp. GCI is a 500-bed, medium security institution at a cost of \$30 million.

LIMA CORRECTIONAL INSTITUTION - In Allen County in northwestern Ohio. It was built in the early 1900's as a mental institution for the criminally insane. LCI was converted to a 1200 bed, medium security prison in 1984.

LONDON CORRECTIONAL INSTITUTION - Built in 1924 as a prison farm operated by the Ohio Penitentiary. The 3000 acre farm operation remains in operation at the 1500 bed, medium security institution in Madison County.

LORAIN CORRECTIONAL INSTITUTION - Also, on the site of the Grafton Honor Camp. LORCI opened in early 1989. Classified close security, it has a capacity of 750 with a construction budget of \$44 million.

MADISON CORRECTIONAL INSTITUTION - Across State Route 56 from LOCI. MACI consists of twin 500 bed compounds. One side is classified minimum-security, the other is classified medium. The \$35 million facility opened in 1987.

MANSFIELD CORRECTIONAL INSTITUTION - At the site of the Ohio State Reformatory in Richland County. MANCI will house 1250 maximum/close security inmates. It was built for \$54 million and opened in 1990.

MARION CORRECTIONAL INSTITUTION - Opened in 1956 on 60 acres with adjacent 925 acre farm in Marion County. Currently MCI is classified medium security with a capacity of 1250. Contains 12 housing units, all under one roof.

NORTHEAST PRE-RELEASE CENTER - Located near downtown Cleveland. The 350 bed facility was operational by mid 1988 at a cost of \$14 million.

OHIO REFORMATORY FOR WOMEN - The state's only correctional institution for adult female offenders until Franklin Pre-Release was opened. Located on 260 acres near Marysville in Union County, ORW has a capacity of about 900 and houses all security levels.

TRUMBULL CORRECTIONAL INSTITUTION - Project was originally scheduled to be built in Cuyahoga County but was moved to the city of Warren in Trumbull County and opened in 1992. TCI is a 650 bed close/minimum security institution with a construction budget of \$39 million.

SOUTH REGION

CENTRAL MEDICAL CENTER - The 240 bed prison medical facility costing \$19 million was built at the site of Franklin Pre-Release Center in Columbus.

CHILLICOTHE CORRECTIONAL INSTITUTE - Near Chillicothe in Ross County. A former Federal Reformatory which the State of Ohio took over in 1966. The medium-security institution consists of over 50 buildings on a 72 acre compound with a 1500 acre farm. It's designed to hold approximately 1500 inmates.

APPENDIX C - CORRECTIONAL INSTITUTIONS

CORRECTIONAL RECEPTION CENTER - Central reception area for male inmates. The 900 bed facility opened in 1987 at a cost of \$40 million. The Department of Mental Health also staffs a psychological services unit for inmates suffering from emotional problems.

DAYTON CORRECTIONAL INSTITUTION - On the west side of Dayton adjacent to the city workhouse. The 450 bed medium security prison was the first of the state's new institutions to open in February 1987. Cost was \$25 million and built in a campus style format.

FRANKLIN PRE-RELEASE CENTER - Located just south of downtown Columbus. The 250 bed center cost \$7 million and is the Pre-Release Center for female offenders.

HOCKING CORRECTIONAL FACILITY - Located in Nelsonville, Ohio. HCF is a former state tuberculosis hospital that was converted into a 300 bed, medium/minimum security prison in 1983. Most of the state's elderly male inmates are housed at Hocking. Operates a 412 acre farm.

LEBANON CORRECTIONAL INSTITUTION - Built in 1960 on 40 acres in Warren County. LeCI is classified close security with a design capacity of about 1200. A 1700 acre farm is operated by inmates.

MONTGOMERY EDUCATION PRE-RELEASE CENTER - A \$14 million dollar facility that is projected to be opened in 1994.

ORIENT CORRECTIONAL INSTITUTION - The medium security prison in Pickaway County was formerly a state institution for the mentally retarded. It replaced the closed Columbus Correctional Facility (Ohio Penitentiary) in 1984. OCI has a design capacity of 1200.

PICKAWAY CORRECTIONAL INSTITUTION - PCI was created in 1984 to provide training and job seeking skills to inmates who were about to be released from incarceration. The six week long pre-release program is being transferred to regional centers and PCI will become a medium security institution. It's located adjacent to OCI and has a design capacity of 1500.

ROSS CORRECTIONAL INSTITUTION - Located across State Route 104 from CCI. Ross is a 1250 bed medium/minimum security institution built at a cost of \$60 million. RCI opened in 1987.

SOUTHEASTERN CORRECTIONAL INSTITUTION - Formerly the Fairfield School for Boys youth facility. It was converted to a medium security adult correctional institution in 1982. Located near Lancaster in southeastern Ohio, SCI has a design capacity of 1100.

SOUTHERN OHIO CORRECTIONAL FACILITY - Opened in Lucasville in Scioto County in 1972. SOCF is classified maximum security and has a design capacity of 1550.

WARREN CORRECTIONAL INSTITUTION - Located in Lebanon adjacent to LeCI. WCI is a 750 bed, close/minimum security institution. WCI opened in the fall of 1988 at a cost of \$44 million.