

ALASKA LEGISLATURE SPECIAL COMMITTEE / SUBJECT FILES 8672

2770 SCOMM 122: COMMISSION ON PRIVATIZATION. . . , 1999

Duties, the Adult Classification Officer position, along with the two Adult Probation Officer IV positions, the Statistical Clerk position, and the Administrative Clerk II position. The Transportation Section should also report to this position, with the Correctional Officer III and four Correctional Officer II's being clearly in the Department of Institutions. I would also recommend that the Correctional Industries Manager II position report to this Deputy. Although many correctional agencies --for good reason-- prefer to keep Industries separate from their Institutions Division, it seems to me that at this time the Alaska Department of Corrections needs clear chain of command and control in it's organization. The functions mentioned above deal almost exclusively with the Division of Institutions and by organizing clearly, may enhance the ability of the Division to meet it's day-to-day operational responsibilities.

Division of Administrative Services

On the most recent organization chart for the Division of Administrative Services fourteen positions show as reporting to the Director. In a Division with such diverse responsibilities and activities this is arguably too expansive a span of control. Earlier recommendations, if followed, would

remove the human resources and community jails responsibility from this position, along with the existing staff and positions. It also appears that the former Grants Administrator position may have been lost in the legislative budget process. Consideration should be given to two possible consolidations or mergers. First, merging the Contracts Section (located in Anchorage) with the Procurement Section (located in Juneau) under one Contracts and Procurement Manager (created from either the Procurement Specialist III position or the Procurement Specialist IV position) would not save on overall positions initially, but would enhance the coordination of the procurement/contracting process, as well as lowering the number of direct-reports to the Director. It also could strengthen the cross-training of the staff involved in these activities.

The second possible consolidation would be to return to a structure that existed once previously in the Division--that is to merge the Budget/Revenue section with the Accounting Section. Although there are arguments against such a design, communication between the sections can be enhanced and one of the manager positions could be saved or diverted to alternate use.

If all of the changes were to occur it would reduce the Director's direct-reports to seven and at least one position could be saved or redirected.

addressed is the glaring shortfall in the Department for planning and evaluation. I would recommend adding two positions, either two of the existing Criminal Justice Planner positions located throughout the Department, or two vacancies created by earlier recommendations or other means and place them along with the Research Analyst IV position in a new section located in the Data Processing Unit with the lead position of the three reporting to the Data Processing. With evaluation, planning, and research relying so heavily these days on information systems, more agencies are linking these functions organizationally. The Alaska Department of Corrections has a glaring need for a planning and evaluation capacity, this being but a small step in meeting that need--the greatest boost potentially coming from the planned improvement in their management information system.

Commissioner's Office

If all earlier recommendations were followed the Commissioner's office organization chart dated 12-16-96 would be changed by the removal of the Training Section, the Classification Section, the Transportation Section, Correctional Industries, and the Rural Affairs Coordinator position. I would recommend the retention of the Compliance, Investigation, and Audit Unit in the Commissioners Office reporting directly to the Deputy Commissioner. It, for purposes of efficiency and focus should be staffed

by whatever number of auditors are available as well as the compliance officer for the Cleary monitoring. Remaining in the Commissioner's Office would be the Deputy Commissioner (in Anchorage), an Executive Secretary II (in Juneau), a Special Assistant (in Juneau), and a Secretary II (in Anchorage). With the Commissioner and Deputy Commissioner relieved of many day-to-day issues, it would allow them more time to address the policy and external issues.

Other Issues Identified During The Review

The following are issues I would like to offer some comments on as a result of observations made during my onsite visit and review of a large amount of materials:

- The future of community corrections.
- Communications.
- Institution classification.
- Time accounting.
- Contracting with other agencies.

The Future of Community Corrections: The Alaska probation, parole, and community corrections system has progressed much as the other probation and parole systems around the country. In an attempt to standardize services throughout a state, manage workload, and assure at least minimal levels of supervision, standards of supervision were developed. These standards normally consist of minimal reporting or contacts for probationers or parolees based on risk or need, or both. They are generally expected on a statewide basis. Likewise, other community corrections programs are frequently cloned statewide. This approach has served many jurisdictions well for many years. Some jurisdictions are now rethinking that approach. Some have found that with resources not meeting need, they have difficulty in meeting their own standards. Others found that they were being held liable civilly for not meeting their own standards. But more significantly, some jurisdictions are recognizing that the communities in their state have vastly different needs, problems, and fears--and need, and desire different solutions. The jurisdictions moving in this direction are involving local officials and citizens in determining the priority for investment of correctional resources in their community--within available resources. This means new roles for probation and parole officers, but new roles that many find attractive because they intuitively have felt this all along, and find greater reliability on their professional judgment to be refreshing and rewarding. With the great diversity of people, communities,

Communications: The singular issue I heard about from nearly every person I interviewed or talked to at the Alaska Department of Corrections, was their desire for better communication from their chain-of-command, from other work units, and particularly from the top administrators. Admittedly the interviews took place during an anxiety-filled time where major budget cuts were being threatened toward the end of the legislative session. But the expressed concerns seemed to be more endemic than as a result of those anxieties. I would recommend a concerted effort on the part of the Department's management to address those concerns. Newsletters, regular system-wide E-Mail, personal site visits, internal "town meetings", and more frequent staff meetings are but a few options that could go a long way.

Institution Classification: The present institution classification system may be working adequately on a day-to-day basis but is not serving the Department of Corrections well in the long run. Little information is available that can assist in planning or forecasting by custody level. Other types of classification issues that could help the Department operate and plan more effectively and efficiently, simply are not achieved through the present classification system. I would recommend that the Department seriously consider implementing an objective, behaviorally driven system. The merit in doing so may be even more timely with the effort to enhance the management information system capability.

Time Accounting: Time accounting of offender sentences in Alaska is a very confusing and rigorous process due to the wide variety of sentencing schemes over the years and the amount of discretion judges have in the types of sentence "mixes" they can mete out. Only a few Department staff are highly skilled in the technicalities of figuring out the more complex cases accurately. The short term solution is probably to assure that those are skilled train additional staff, but the long term solution appears to include automating all portions that are possible. The sooner this investment in automation is made the better.

Contracting with other agencies: Aside from pure privatization issues, the Department of Corrections may wish to explore the possibility of contracting with other governmental agencies to provide or supplement some of its generic "support needs". Such activities as planning, auditing, personnel services, etc. are frequently purchased from other state or local agencies in other jurisdictions. The advantages can be in purchasing only during peak times of need or during times that positions are not available, but some cash can be found.

Appendix A

Appendix A: Materials Reviewed by Consultant

Cleary "Final Order" and supporting documents

6 year Capital Plan (FY 98 Budget Submittal)

Affidavit of Commissioner Pugh: Cleary Case

Facilities Management Allocation Report

Responsibilities and Functions Manual: Facilities Management Unit

Facilities Projects Requirements List

Legislative Audit Report: Division of Community Corrections

FY 98 Budget Recommendations: Governor; House; and Senate

DOC Policies and Procedures re: Furloughs

FY Action Plan for Population Management

Sample Compliance Reports re: Cleary

Legislative Audit Report re: Medical Services

FY 98 DOC Operating Budget Request to Governor

KPMG Peat Marwick "Organizational Review of DOC"--1991

Murray & Associates Master Plan: 1992--Volume 1

Murray & Associates Master Plan: 1992--Volume 2

DOC--Division of Community Corrections BRU

DOC--Division of Institutions BRU

DOC--Community Jails BRU

DOC--Inmate Programs BRU

DOC--Correctional Industries BRU

DOC--Administration and Support BRU

DOC--Inmate Health Care BRU

State of Alaska: Annual Financial Report

DOC Business Strategy and Implementation Plan

Appendix A: Continued

Classification Policies and Procedures

Time Accounting Manual

**Legislative Audit: Division of Community Corrections
Recommendations**

**Legislative Audit: Correctional Officer Work Schedule Issues and
Costs**

**Legislative Audit: Spring Creek Corrections Center Safety and Staffing
Issues**

Bargaining Agreement: Labor and Trades Unit

Legislative Audit: Board of Parole

Legislative Audit: Highland Mountain and Meadow Creek

Legislative Audit: DCC--Anchorage, Probation and Parole ISP

Multiple Position Description Questionnaires (over 50)

Bargaining Agreement: Supervisory Unit

Bargaining Agreement: General Government Unit

OMB Report of Internal Audit Function

OMB Audit of DOC Procurement Function

Summary of TQM Training

DOC Response to Peat Marwick Study

OMB Review of DOC Personnel Functions

Documents and Statutes: Retirement Incentive Program

Multiple Status Reports re: Cleary Case

DOC Internal Audit Plan

Various Daily and Monthly Population Reports

DOC and Divisional Organizational Charts

Appendix B

Appendix B: DOC Staff Personally Interviewed

Margaret Pugh.....Commissioner
Joe Reeves.....Administrative Services Manager
Jeanette Osborn.....Finance Officer
Al Szpanski.....Procurement Specialist
Annette Smith.....Data Processing Manager
Robert Cole.....Director, Administrative Services
Gary Wilson.....Micro/Network Technician
Sharleen Halstad.....Budget/Revenue Manager
Dianne Corso.....Human Resource Manager
Wally Roman.....Correctional Industries Manager
Barbara Murray.....Community Jails Coordinator
Ted Kinney.....Facilities Manager
M.A. Higgins.....Facilities Manager
Frank Sauser.....Director, Division of Institutions
Allen Cooper.....Deputy Director Institutions
Lynda Zaug.....Director, Division of Community Corrections
Sam Trivette.....Chief Probation Officer, Southeast Region
Vikki Deakin.....Deputy Director, Community Corrections
Ted Stanfield.....Prisoner Transportation
Jim LaBelle.....Rural Affairs Coordinator
Linda Hoff.....Contracts Administrator
Barbara Miklos.....Health Care Administrator
Steve Schwartz.....Research Analyst
Robert Spinde.....Classification Officer

Appendix B: Continued

Jim Hancock.....Internal Auditor

Doug Lloyd.....Training Officer

Chris Lyou.....Compliance Officer

Bert Matsumoto.....Adult Probation Officer

Betsy Robson.....Deputy Director, Institutions

Tom Martin.....Adult Probation Officer

Pete Spivey.....Special Assistant

Appendix C

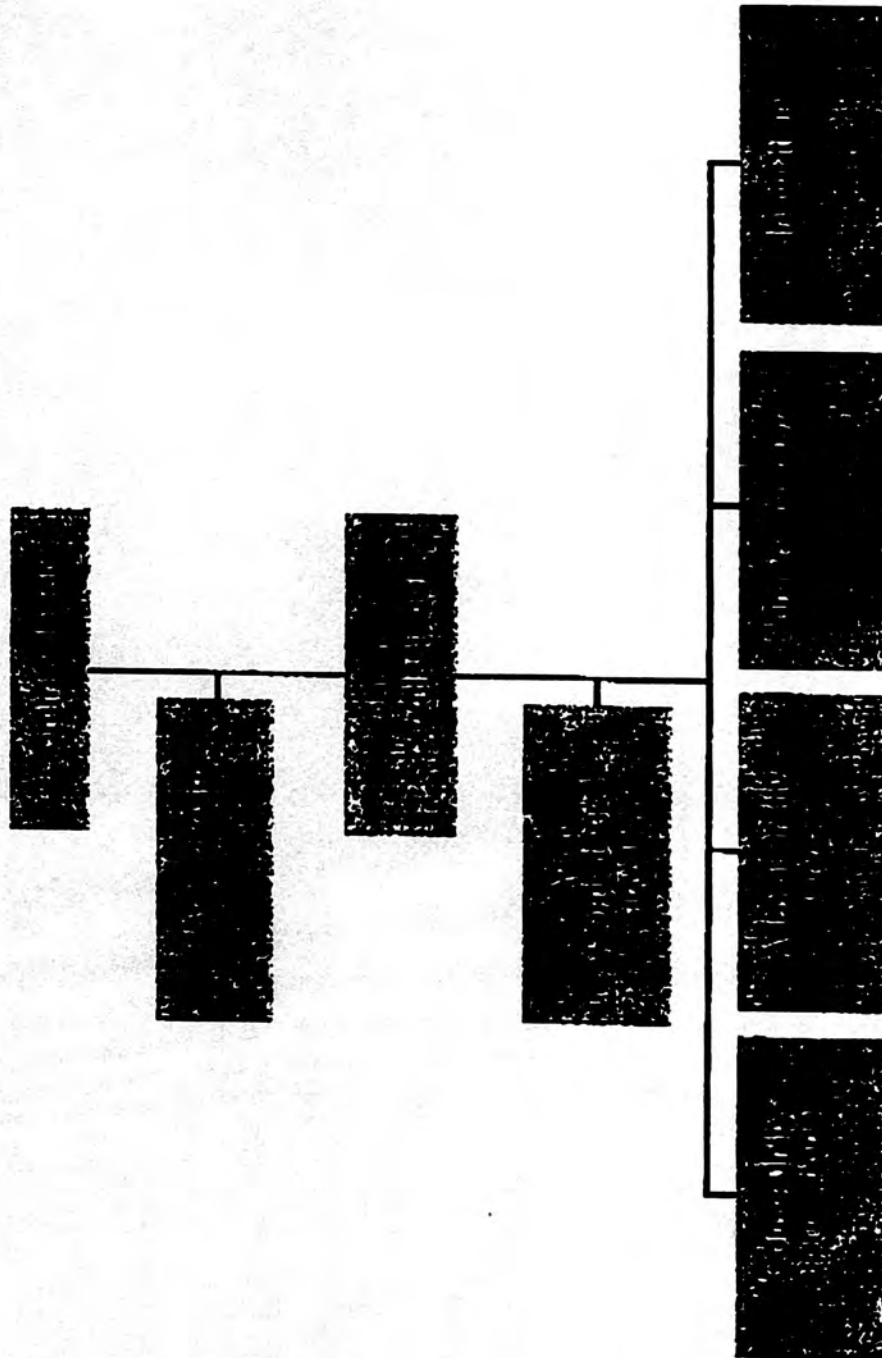
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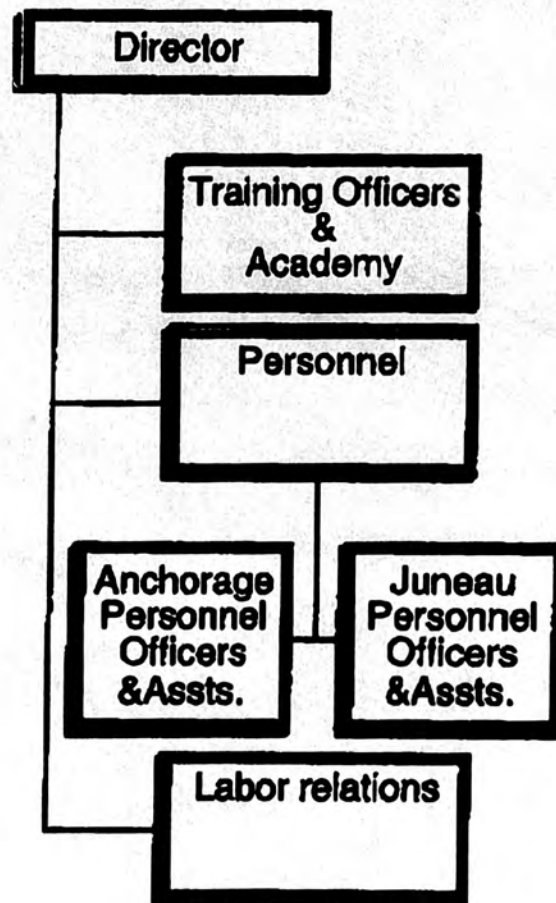
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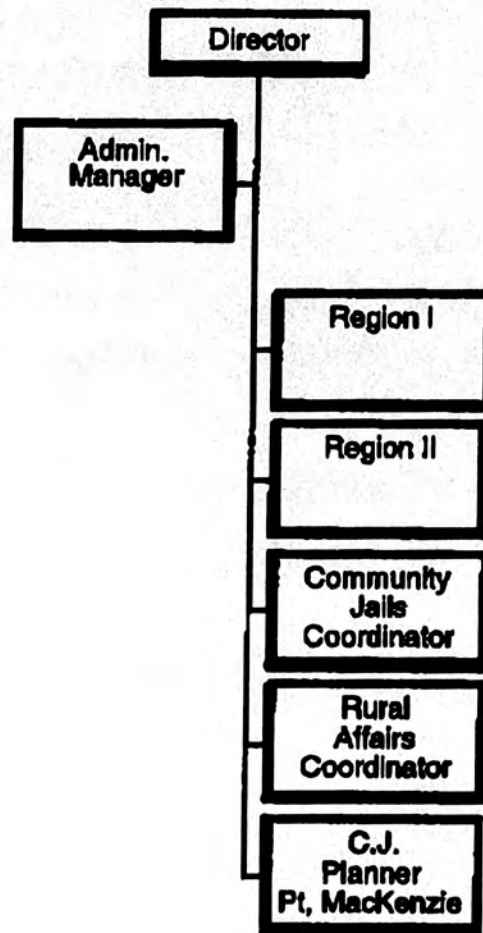
Proposed Organization



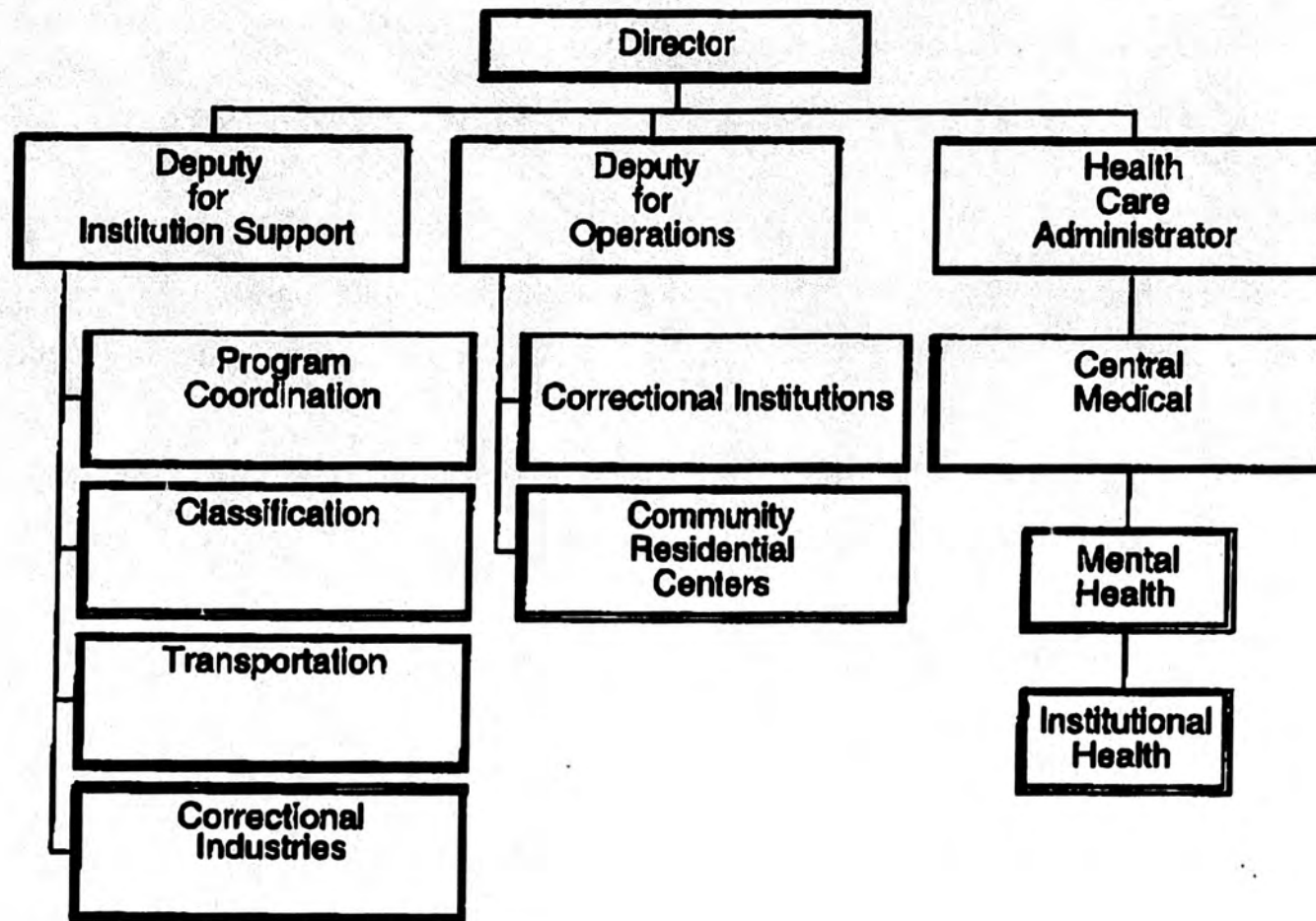
Proposed Division of Human Resources



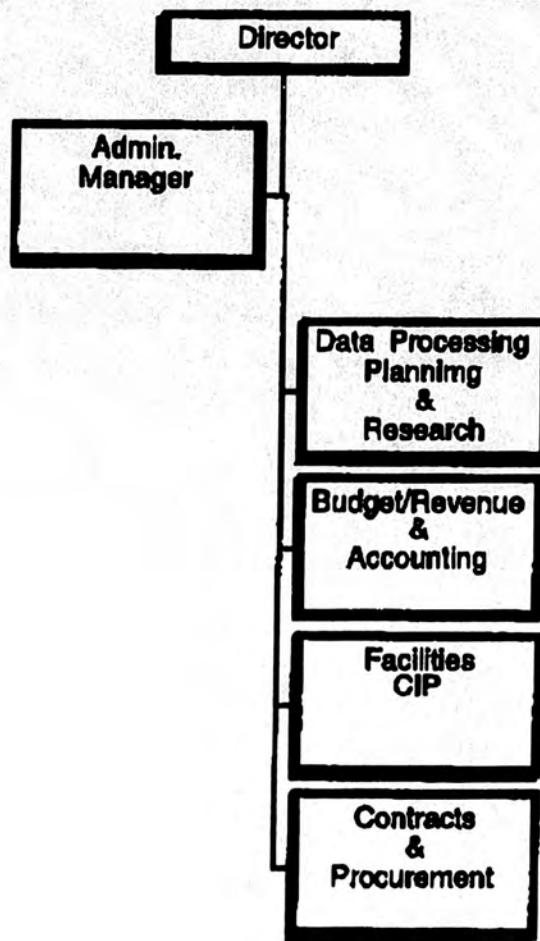
Proposed Division of Community Corrections



Proposed Division of Institutions



Proposed Division of Administrative Services



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CORRECTIONS Subcommittee Meeting
Commission on Privatization
Meeting Date: 9/28
Meeting Time: 12:00 noon
Number of Pages: 29

May 18, 1999

Members of the Legislative Budget
and Audit Committee:

In accordance with the provisions of Title 24 of the Alaska Statutes, the attached report is submitted for your review.

DEPARTMENT OF CORRECTIONS
INTERNAL CONTROLS RELATED TO CASH
AND NEGOTIABLE INSTRUMENTS FOR
THE OFFENDER FINANCIAL ACCOUNTING SYSTEM

May 18, 1999

Audit Control Number

20-4597-99

In this audit report we assess the status of internal controls in place at various correctional facilities in the State that safeguard the cash and other negotiable instruments belonging to incarcerated individuals. These funds are tracked through the Offender Financial Accounting System (HOFA) which maintains account balances for each individual housed in a state correctional facility. HOFA funds represent assets held by the State in trust for incarcerated individuals. Accordingly, the nature and extent of controls over these funds is an important aspect of the State's fiduciary responsibility in its trust capacity. The report sets out several ways and areas where we suggest controls can be improved.

The audit was conducted in accordance with generally accepted government auditing standards. Fieldwork procedures utilized in the course of developing the findings and discussion presented in this report are discussed in the Objectives, Scope, and Methodology section.

Pat Davidson, CPA
Legislative Auditor

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OBJECTIVES, SCOPE, AND METHODOLOGY

In accordance with Title 24 of the Alaska Statutes and a special request by the Legislative Budget and Audit Committee, this report summarizes a review of internal controls over cash and negotiable instruments such as checks and money orders, involving funds belonging to individuals incarcerated in the State's correctional facilities. Additionally, the procedures followed by the Department of Corrections' Division of Administrative Services in accounting for these funds held in trust for incarcerated individuals were reviewed and evaluated.

Objectives

Specifically stated, our review had six objectives. Three audit objectives relate directly to the handling of cash and negotiable instruments collected from, or on behalf of, incarcerated individuals at State of Alaska prison facilities. These objectives were:

- To evaluate the internal control environment at the Department of Corrections (DOC), including various pre-trial and correctional facilities throughout the State.
- To evaluate procedures currently in place and determine if any cost-effective procedures could be put into place to improve controls at specific institutions.
- To evaluate compliance with written procedures.

Three audit objectives relate to controls and procedures at the DOC Division of Administrative Services (DAS). These audit objectives were:

- To report on the control account balance of the Offender Financial Accounting (HOFA) system compared to the funds on deposit and cash-on-hand at all the correctional facilities within DOC.
- To identify any shortfall between the amount of the funds as shown on HOFA and the actual amount of funds available and to determine alternatives that exist to address the shortfall.
- To evaluate the adequacy of DOC's efforts to effectively account for the funds held in trust for incarcerated individuals.

Scope and Methodology

We contracted for this audit with a certified public accountant, who worked at our direction, in developing the scope and methodology of our review in order to accomplish the objectives listed above. In order to address our audit objectives, we observed procedures, interviewed

management and staff, and examined records related to the handling of cash and negotiable instruments at the following nine correctional institutions during April and May 1999:

- Anvil Mountain Correctional Center, Nome
- Cook Inlet Pre-Trial Facility, Anchorage
- Fairbanks Correctional Center, Fairbanks
- Hiland Mountain Correctional Center, Eagle River
- Lemon Creek Correctional Center, Juneau
- Mat-Su Pre-Trial Facility, Palmer
- Spring Creek Correctional Center, Seward
- Wildwood Correctional Center, Kenai
- Yukon-Kuskokwim Correctional Center, Bethel

We interviewed, by telephone and in person, personnel who supervise and perform the duties related to the handling of funds and records. We interviewed the superintendent of each facility, as well as correction officers, assistant superintendents, administrative managers, and administrative staff.

We observed prisoner booking, release and transfer activity; the processing of inmate funds received in the mail and from visitors; and activities related to the maintenance of cash on hand and in the bank. We also examined written procedures related to these activities.

Tests of controls were performed at each institution, and included tracing inmate receipts and disbursements from the computerized HOFA system to source documents, and the reverse. Cash drawer reconciliation records were examined, as well as bank reconciliations, bank statements, canceled checks, and check registers. Booking records, release records, and documentation of inmate complaints/inquiries were examined in the inmate files.

Various types of transactions can either increase or decrease an inmate's HOFA account. Our review involved many, but not all, of the possible types of transactions. Since we were primarily concerned with controls involving cash and other negotiable instruments, we reviewed the following types of receipt and disbursement transactions.

Receipts

1. Cash and negotiable instruments on their person at the time of booking.
2. Cash and negotiable instruments received through the mail.
3. Cash and negotiable instruments received from visitors to the facility.
4. Cash and negotiable instruments received from craft sales.

Disbursements

1. Cash and/or a check disbursed to an inmate when released.
2. Funds transferred on behalf of the inmate when he/she is transferred to a facility which is not part of the HOFA system (a half-way house, Alaska Psychiatric Institute, etc.).

3. Checks written on behalf of inmates to family, friends, or vendors.

Records for payroll, medical charges, commissary and other transactions that are posted to inmate accounts, but do not involve the transfer of cash or other negotiable instruments, were not examined.

Personal checks made out to inmates are not placed in the cash drawer and are not added to the inmate's HOFA account. They are considered to be valuables and are secured as such with the inmate's personal property. The security of these personal checks was reviewed as part of the audit.

We also interviewed management and staff and examined records at DAS in Juneau. We interviewed the director of administrative services, the deputy director of administrative services, the finance officer, and an analyst/programmer who works with HOFA. We also reviewed applicable sections of DOC policy and procedures.

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ORGANIZATION AND FUNCTION

The Department of Corrections (DOC) was created by Executive Order No. 55 on March 9, 1984. DOC is constitutionally mandated to protect the public by incarcerating prisoners and reforming institutionalized offenders. To carry out these responsibilities, the department:

- Enforces court ordered pre-trial supervision and detention of those accused of unlawful behavior prior to adjudication.
- Maintains the integrity of law by administering sanctions and punishment imposed by courts for unlawful behavior.
- Offers a wide range of correctional options, including community corrections, institutions, and community residential center services necessary to meet the needs of both society and offenders.
- Provides work and educational programs for offenders that will enhance community integration and economic self-sufficiency. These programs are to be administered in a just and equitable manner within the least restrictive environment consistent with public safety.

In addition, the department is responsible for housing persons held for federal offenses or on city ordinance charges.

DOC is composed of three divisions and the commissioner's office. Discussed below is the mission of each division as well as the programs administered within each division.

Commissioner's Office: The commissioner's office is responsible for direct oversight of classification, population management, training, prisoner transportation, compliance, audits, policy and procedures, victims' advocacy and rural affairs, as well as establishing policy for the three divisions. This office also coordinates inter-governmental affairs with other federal, state, and local governments, courts, legislature, media, public and special interest groups.

Division of Community Corrections: The mission of this division is to provide for the reintegration and supervision of offenders in the community; pre-sentence investigation and oversight of community programs. This division oversees the administration of the community residential centers, the adult probation program, and provides information to the Alaska Court System to be used in determining the offenders' appropriate sentencing.

Division of Administrative Services: This division provides services in the areas of budget, human resources, accounting, procurement and data processing in such a manner that allows DOC divisions or components to accomplish their respective missions.

Division of Institutions: The mission of this division is to provide safe and secure housing, reformation opportunities, essential health care, and to operate facilities consistent with sound correctional management in the most cost-effective manner.

Listed below are the 13 correctional facilities managed by DOC:

<u>Correctional Center or Facility</u>	<u>Location</u>
Anvil Mountain Correctional Center	Nome
Cook Inlet Pre-Trial Facility	Anchorage
Fairbanks Correctional Center	Fairbanks
Highland Mountain Correctional Center	Eagle River
Meadow Creek Correctional Center	Eagle River
Ketchikan Correctional Center	Ketchikan
Lemon Creek Correctional Center	Juneau
Mat-Su Correctional Center	Palmer
Palmer Correctional Center	Palmer
Sixth Avenue Correctional Center	Anchorage
Spring Creek Correctional Center	Seward
Wildwood Correctional Center/	
Wildwood Pre-Trial Facility	Kenai
Yukon-Kuskokwim Correctional Center	Bethel

Each of the above institutions are managed by a superintendent who oversees all operational aspects of the correctional facility. Correctional facility operations include administration, as well as prisoner security, prisoner education programs, and prisoner medical services. DOC is responsible for over 3,000 prisoners residing in both out-of-state institutions and in-state correctional facilities. In addition, the State is also responsible for over 400 individuals who are currently residing in community residential centers.

The Cleary Final Settlement Order, which was approved by the Alaska Superior Court, is an agreement between the State of Alaska and inmates that requires DOC to provide minimum services and living conditions.

BACKGROUND INFORMATION

When an individual is "booked" into the Alaska prison system, the cash they have at the time of booking and any funds earned or received while incarcerated are held in trust by the State of Alaska. The Offender Financial Accounting (HOFA) system is the management information computer system that records transactions and maintains balances for each incarcerated individual. The offender trust accounting system is made up of HOFA and the related record-keeping procedures used to maintain the offender trust account and to provide a record of the liability to the State of Alaska for those funds held in trust. Transactions are initiated at each of the 13 prison facilities administered by the Department of Corrections (DOC).

Each prison facility (institution) maintains a cash drawer for storage of cash and negotiable instruments received from, or on behalf of, inmates. All deposits to, and withdrawals from, the cash drawer are recorded in HOFA. A supply of cash is maintained in the drawer in order to give cash to inmates upon release. Negotiable instruments and excess cash are regularly removed from the cash drawer and deposited into a single offender trust bank account which is maintained and reconciled by DOC's Division of Administrative Services (DAS). These 13 cash drawers and the offender trust bank account are the main depositories of inmate funds.

In addition to the depositories described above, each institution maintains a commissary bank account. These local bank accounts exist to allow institutions to write checks to, or on behalf of, inmates. Weekly transfers from the offender trust bank account are made by DAS to the thirteen commissary bank accounts, based on net disbursement transactions recorded in HOFA for the prior week.

When an inmate is released from the system they are paid in full the balance reported in their HOFA account. That payment can be made using cash from the cash drawer, a check from the local commissary bank account, or both. Cash payments made to inmates at the time of release cause cash drawers to eventually become depleted. When a cash drawer becomes too low to meet the upcoming needs of inmates on the release roster, the institution calls DAS and requests a cash drawer replenishment. DAS then transfers funds from the offender trust bank account to the institution's local commissary bank account. Cash, in the same amount as the transfer, is withdrawn by the institution from the local bank account and placed in the cash drawer.

The 13 commissary bank accounts were reportedly established with a mix of DOC operating and offender trust account funds. The accounts are used to make initial vendor payments which are subsequently reimbursed by the offender trust account. Reportedly, DOC operating funds have also been used to supplement the cash in some of these accounts over the years if funds have become depleted for any reason. In theory, the commissary bank account at each institution could be reconciled to the amount of initial funds and any subsequent supplements. However, no records exist to identify the source or amount of initial funds (see Recommendation No. 1).

There is currently a shortage of approximately \$200,000 in HOFA funds

At the end of March 1999, the net HOFA account balance was \$698,526. When compared to the \$460,536 made up of the amount in the fund's checking account, cash drawers at the institutions, and a \$123,700 still pending transfer from other operating accounts to cover inmate payroll already recorded in HOFA, an unaccounted for shortage of \$237,990 remained. This compared to calculated shortages that fluctuated over the previous 12 months. The month-end shortages, as calculated by DAS, ranged from \$176,837 to \$245,443 – with the average being just over \$211,000.

REPORT CONCLUSIONS

As set out in the Objectives, Scope, and Methodology section we addressed six specific objectives in our review. The objectives were further divided into two components – those involving the internal controls at the various correctional facilities across the State, and those related to how the inmate trust funds were accounted for.

Our review results are reflected in the nature and extent of the findings presented in the next section of this report, Findings and Recommendations. Given the objectives of our report and our findings, we present the following summary conclusions and observations.

The facilities' internal control procedures over cash and negotiable instruments are weak

Most of the discussion in the Findings and Recommendations section of this report reflects the central objective of our review. The internal controls over cash and negotiable instruments at the various correctional facilities administered by the Department of Corrections (DOC) is weak. The discussion reflects our conclusion that DOC facilities do not follow some of the basic tenets of internal controls. After making a general recommendation that DOC take measures to improve controls on an overall basis in Recommendation No. 2, specific internal controls, as follow, are discussed further in other recommendations:

1. **Ensure record keeping data entry is accurate.** It is important that measures are in place to promote accurate data entry. Such measures promote accountability by ensuring information is entered consistently and accurately in the management information system being used to account for, and summarize financial activity. The need for improved data entry and record keeping and steps that could be taken to address the problems we found at various facilities are discussed in Recommendation Nos. 3 and 4.
2. **Develop and consistently follow good cash handling procedures.** When handling cash, it is important that procedures be in place to track the transfer of cash at every step of the process. When receiving and disbursing cash, it is important that receipts be used to establish a "paper trail" in order that the sequence of control over funds can be documented. See Recommendation No. 5 for further discussion.
3. **Critical controls such as segregation of duties, limited access, and regular reconciliations are also important in situations involving cash.** In maintaining control over cash, it is important to have different individuals receiving the cash and reconciling the cash drawer to written "paper trail" receipts. It is important to limit the number of individuals authorized to receive and handle the cash. Additionally, cash receipts and supporting documentation should be regularly reconciled. Lack of these central control procedures involving both cash and facility checking accounts are identified and discussed further in Recommendation Nos. 6 and 7.

4. Improve physical controls over assets. Physical safeguarding of assets is also an important element of good internal control procedures. In a correctional facility this basic control procedure takes on even more importance. Specific concerns and recommendations regarding deficiencies in physical controls are discussed on a facility-by-facility basis in Recommendation No. 8.

DOC's central accounting for inmate funds must be improved

In addition to the variety of internal control weaknesses at the various facilities, we also determined DOC's Division of Administrative Services (DAS) should improve its accounting for inmate funds maintained in the department's Offender Financial Accounting (HOFA) system. As set out in the Objectives, Scope, and Methodology section, the second set of objectives dealt with problems DAS was having in reconciling the subsidiary HOFA system to the State's overall accounting records.

As noted in the Background Information section, DOC currently cannot account for approximately \$200,000 of HOFA funds held in trust by the State. As discussed above, periodic reconciliation and follow-up is an important internal control procedure. This procedure has not always been done by DAS in past years. In Recommendation No. 1 we discuss various aspects of the current HOFA balance, and offer our suggestions about what DAS should consider as it goes about bringing its reconciliation process current.

Structure of DOC contributes to lack of recognized and consistently followed procedures

Prison facilities located around the State, are under the direction of the Division of Institutions within DOC. A superintendent at each facility acts as chief administrator. The offender trust accounting system is maintained and supervised by DOC's DAS, which is primarily located in Juneau. Given this dispersed organizational structure, it is difficult, although important, to implement a system that effectively secures and accounts for funds held in trust by the State on behalf of incarcerated individuals.

The nature and structure of DOC has made it difficult to put in place and effectively monitor a set of appropriate internal control practices that are consistently followed at each facility. The impact of poor controls is most apparent when viewed on a statewide basis. Accordingly, it is difficult to gain an appreciation for developing and enforcing effective controls at the correctional facility level. Despite difficulties that the organizational structure of the department presents, management and appropriate oversight of inmate funds is a responsibility of departmental management.

The problems set out in the Findings and Recommendations section of this report reflect this dichotomous situation. Superintendents are primarily interested in maintaining security of their facility, with the requirements of record keeping presenting a secondary concern. However, the day-to-day record keeping is critical for DAS to be able to reconcile and control the many accounts that make up the HOFA system.

Establishing and following procedures is central to the DOC meeting its trust responsibilities

Receiving, securing, and accounting for the funds of individuals incarcerated in its correctional facilities places the State in a fiduciary, or trust situation. As noted in the Background Information section, DOC cannot account for more than \$200,000 in inmate funds. It is the responsibility of the State to secure and account for these funds. In order to effectively do so, DOC must have in place procedures that address the security over, and the record keeping involved with, the funds. Especially the cash and "near-cash" negotiable instruments belonging to inmates.

The shortcomings set out in the Findings and Recommendations section are numerous. By design we enumerated virtually all of the internal control deficiencies noted in the course of the review. We set out our recommendations with a great deal of specificity in order to give DOC clear direction regarding the deficiencies identified. Many of the deficiencies, when viewed separately, seem inconsequential. However, collectively these deficiencies create a situation where DOC is not adequately and consistently accounting for, nor safeguarding the assets it holds in trust for incarcerated individuals.

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FINDINGS AND RECOMMENDATIONS

Recommendation No. 1

The Department of Corrections (DOC), Division of Administrative Services (DAS) should determine the value of the liabilities and assets related to its Offender Trust Accounting System (HOFA), using generally accepted accounting principles (GAAP). Additionally, DAS should develop and document a system for monthly reconciliation of cash assets.

An accurate accounting for the assets and liabilities of the offender trust account has not been maintained. Existing information provided by DAS with regard to the offender trust account is unreliable. Neither the HOFA system nor any accounting system in place at DOC provides the information needed to determine the amount of the liability, or the assets available to satisfy that liability.

It is expected that liabilities exceed assets, due to a history of weak internal controls over cash assets and a known embezzlement of approximately \$256,000 between 1994 and 1997. A HOFA balance sheet prepared by DAS, dated March 31, 1999, indicates a shortfall of \$237,991. The amount of the shortfall, however, has not been reliably determined. The current methodology used to develop the balance sheet shows large, unexplained variances from month-to-month in the estimated shortfall. DAS is unable to adequately explain the methodology that was used to prepare the balance sheet, and the following issues have not been resolved:

- There is no evidence that a reconciliation has ever been made between cash drawer assets, the offender trust account, and the commissary bank accounts.
- An assessment has not been made of the various items reported in the HOFA liability balance at year-end. Therefore, some inmate account balances may not actually represent an asset or liability to the State. Such an assessment would require an analysis of "holds" and negative balances, as well as the 2,169 account balances as of May 17, 1999 that exist for inmates who have been released.
- It has not been determined whether or not the use of operating funds to seed and supplement the commissary bank accounts creates a liability to the offender trust account.
- Uncleared checks up to six years old written from commissary bank accounts have not been reclassified. This was an issue at four of the nine facilities reviewed. Reclassification will likely result in an increase to the HOFA liability.

Without resolution of these issues, the existence or amount of unfunded liability as a result of errors, misuse, or theft of funds cannot reliably be determined at this time. We understand that DOC's DAS is currently working with the Department of Administration, Division of

Risk Management to determine if insurance funds are available to recover losses due to the embezzlement at the Mat-Su Pre-Trial Facility. Other alternatives to fund the suspected shortfall cannot reasonably be offered until information regarding the amount and the cause is available.

Reconciliation of bank and cash records, and maintenance of an accounting system, is an essential step in safeguarding assets from loss by error, misuse, or misappropriation. Until these procedures are established and maintained, the cash assets of the offender trust fund, as well as state operating funds that are intermingled in the system, are not adequately safeguarded.

The recommendation of urgency for determining and reconciling balances is due in part to the lack of controls for the commissary bank accounts. Urgency is also stressed in light of the upcoming installation of a new management information system for the offender trust account, due to be installed in 1999. Beginning balances and account data will need to be entered into this new system. Unless the necessary reconciliations and analyses take place, with improved accounting procedures established before the new system is installed, unreliable and unreconciled balances will be transferred into the new system.

Recommendation No. 2

The Department of Corrections should develop, adopt, and implement internal controls designed to safeguard funds held in trust for inmates, and state funds on deposit at prison facilities.

There has been limited priority placed on the security of funds held in trust for inmates. Controls at prison facilities remain weak despite a known embezzlement of funds from 1994 - 1997 and numerous audit findings and recommendations.

The Division of Legislative Audit conducted an audit of DOC fiscal operations and compliance with state laws and regulations, dated July 19, 1996. The report included recommendations to:

- Enhance the internal controls for cash handling.
- Establish procedures necessary to address the existing out-of-balance condition between the HOFA system controlling bank account balance and the HOFA system liability balance.
- Enhance internal controls at each institution for the commissary bank accounts.

Corrective action has not been taken, which is evidenced by a repeat of the concerns in this report.

Embezzlement at Mat-Su Pre-Trial Facility highlights lack of sufficient concern

Lack of concern for safeguarding cash assets is also evidenced by DOC's failure to take appropriate action in light of the misappropriation of funds at the Mat-Su Pre-Trial Facility. The embezzlement of offender trust account funds at the Mat-Su Pre-Trial Facility over a four-year period was a serious incident, resulting in the misappropriation of approximately \$256,000. A change in procedure was instituted at DAS in Juneau, which will, if followed, detect a fraud that was perpetrated in the same manner as the incident at Mat-Su Pre-Trial Facility. However, DOC did not advise superintendents of the scheme, conduct institutional reviews, or require additional or revised procedures at the prison facilities to reduce the risk of similar incidents. As a result, controls at some prison facilities remain weak, and the risk for misuse of funds is high.

DOC should develop and maintain written procedures for all transactions related to inmate funds. At seven of the nine institutions we visited for our review, written procedures were either not present, not readily available, not used, or did not adequately address the various types of cash handling transactions with regard to internal control objectives.

Recommendation No. 3

The Division of Administrative Services should update the HOFA system so that it provides meaningful and reliable information. DAS should also train users to correct data entry errors without recording false events.

The information provided by HOFA is misleading and unreliable, and lacks sufficient detail. For example:

- Recorded transactions do not represent events that actually occurred.
- Negative balances may or may not represent a debt to the State.
- Inmates who have been released appear on the active roster.
- HOFA computerized display forms do not show the facility at which a transaction was recorded.
- Summarized activity printouts do not list transactions in the order they occurred.

In some cases, incorrect data in the system is due to user attempts at data entry error correction. Either the system does not accommodate error correction, or users do not understand how to use the system. In any event, in our view, these are critical aspects of maintaining control over HOFA accounts, and should be addressed in the upcoming upgrade of the department's offender accounting system.

Recommendation No. 4

DOC should establish and maintain standards for recording and filing information related to inmate funds.

Inmate files are transferred from facility-to-facility along with the individual. Inmate files are eventually archived in Juneau. However, document use and filing procedures are not consistent statewide. Therefore, an inmate's file may or may not contain:

- An acknowledgement by the inmate of the amount of cash removed from him/her at the time of booking or transfer from another facility.
- Copies of receipts for gifts from friends and relatives, or proceeds from craft sales.
- Copies of authorized disbursement to third parties.
- A signed acknowledgement of the amount of funds returned to (or transferred with) the inmate at the time of release or transfer to another facility.

Because of these inconsistencies, the inmate file does not provide the information necessary to determine events or review or verify transactions. Source documents are scattered throughout various facilities, and signatures on documents, or the lack thereof, have a variety of meanings.

The inmate file should provide information that can be consistently interpreted, and should provide documentation of events and transactions. Although DOC's policy and procedures provide some standards for record-keeping, compliance is not monitored or enforced.

DOC policy should also clearly prohibit the use of altered documents to authorize events and transactions. Our review showed instances in four of nine facilities where records such as control logs, reconciliation reports, receipt copies, booking records, requests for disbursements, and bank deposit slips had been altered without initials. All persons handling documents that authorize or acknowledge transactions involving inmate accounts should be made aware that alterations serve to void a document unless all signers can initial material changes. Procedures should be put in place to regularly monitor this practice for compliance.

Good record keeping practices and procedures are central to providing informative and appropriate documentation of HOFA activity. For the department to bring the HOFA accounts of inmates under control, the appropriate use and retention of documents and records must be made enough of a priority so that facility superintendents will take steps to make improvement.

Recommendation No. 5

DOC should develop, distribute, and administratively enforce cash-handling procedures necessary to improve controls at the time of booking and release.

When an inmate is booked or released from a facility, cash changes hands between the inmate and a correction officer. At this time, inmate funds are at particularly high risk for misuse, misappropriation, and error. The following recommendations address the concerns noted during our review:

1. DOC should establish and maintain booking procedures to ensure that the cash and negotiable instruments removed from individuals at the time of booking are deposited intact in the cash drawer. At most institutions, there is no requirement for officers to segregate duties during the booking process. Inmate funds are at high risk for misappropriation at the time of booking. The officer responsible for the cash drawer is often the same officer who enters the amount of funds in the individual's HOFA account, with no verification by another officer.

Inmates are asked to sign the booking form during the booking process, verifying the amount of funds they had when entering the facility. However, many inmates are either too intoxicated or too uncooperative to provide that verification. In this case, no control exists to confirm that all funds relinquished by the individual were recorded in HOFA and placed in the cash drawer.

For adequate segregation of duties, the officer who removes cash, negotiable instruments, and valuables from an inmate should prepare, sign, and date a list of these items. That list, along with the funds removed, should be transferred to a second officer who inputs the information in HOFA and signs the booking form. The signed list should be made part of the inmate file. If the inmate is too intoxicated or uncooperative to sign the booking form and acknowledge the amount of funds removed, an officer other than the one who signs the booking form should sign a confirmation stating the reason the inmate's signature was not obtained.

2. DOC should develop and maintain procedures which allow inmates to confirm their HOFA balance at the time of release and/or transfer, and positively acknowledge receipt of their funds. Evidence of confirmations should be made part of the inmate file, with a copy retained at the releasing institution. Release documents do not provide a positive acknowledgement by the inmate of the amount of funds disbursed to him or her at the time of release, and procedures at many institutions do not require an officer to provide the inmate with a copy of his/her HOFA balance printout. Although some institutions do inform the individual of the balance, the document is often placed in the inmate file and transferred to another institution or to Juneau; therefore, no evidence of the process is available at the institution.

Procedures and forms should be developed that allow the inmate to identify, and verify or deny, receipt of total HOFA funds. Records that confirm this process should be retained in both the inmate file, and at the institution.

Recommendation No. 6

Superintendents at various facilities should improve controls over access to and accountability over cash drawers.

It is important that policy and procedures for cash handling and maintenance of the offender trust accounts should be developed and monitored by the Department of Corrections on a statewide level, using identified internal control objectives as a basis. However, until that is fully accomplished, superintendents at the various facilities we reviewed should improve and implement better procedures to enhance controls. Specific concerns we have regarding cash drawer controls are detailed in the following recommendations and observations:

1. Superintendents should establish policy and procedures which require that only one cash drawer key be in circulation at any one time, and clearly designate individual responsibility for the key and the cash drawer. At three of the nine facilities reviewed, multiple keys to the cash drawer were in circulation. If funds were missing from the cash drawer, it would be impossible to determine responsibility.

Such controls are important to establishing and maintaining accountability over cash at a place when it is most vulnerable to theft. By not taking care to limit access to the cash drawer, it becomes difficult, if not impossible, to isolate who may be responsible in the event there is a shortage. By not having clear accountability, a situation is created where suspicion may be cast over all staff if cash turns up missing.

2. Superintendents should establish procedures which require cash drawer reconciliation documents to be signed and dated by the person performing the reconciliation. The procedures should also require calculator tapes and/or cash count forms to be retained as part of the reconciliation documents. In six of the nine facilities reviewed, the cash drawer reconciliation documents were not consistently signed. It was not possible to positively determine who performed the reconciliation, or to pinpoint responsibility in case of an error or irregularity.
3. Superintendents at the Hiland Mountain Correction Center (HMCC) and Wildwood Correctional Center (WCC) should establish procedures which require cash drawer reconciliations to be verified daily. Existing cash drawer procedures at HMCC and WCC do not adequately safeguard the funds in the cash drawer. At Wildwood Correctional Center, the HOFA clerk who manages the cash drawer performs the cash reconciliation unobserved and without verification. At Hiland Mountain Correctional Center, the

administrative supervisor performs the cash reconciliation unobserved and without verification.

A verification process should be made part of the cash drawer reconciliation. The best method of verification is for a second individual to perform the cash count daily and confirm the results. Each individual involved with the reconciliation process should sign, date, and attach tapes to reconciliation documents. All reconciliations should be reviewed by a manager and filed in his or her office.

4. The superintendent at the Mat-Su Pre-Trial Facility should establish procedures that require the cash drawer in the booking area to remain locked when not actively in use. The cash drawer in the booking area was not kept locked. Although the area is secure, several people have authorized access, including corrections officers, administrative personnel, and arresting officers. When the drawer is unlocked, cash is susceptible to theft and responsibility for the cash drawer cannot be pinpointed.
5. The superintendent at the Yukon-Kuskokwim Correctional Center (YKCC) should establish procedures which require all bills, checks, and money orders to be individually counted during a cash reconciliation. Cash drawer reconciliation is the primary function for safeguarding cash and other negotiable instruments in the cash drawer. At YKCC, cash in the cash drawer is not adequately inspected and counted. Some bills and negotiable instruments are banded loosely and counted as a bundle. The amount of each bundle is informally written on a piece of scrap paper, and that amount is used to reconcile cash. There is no verification that the amount recorded on the scrap paper is correct, or that the bundle still contains the amount of cash specified. If money was missing, there would be no way to determine when the event occurred, or who was responsible.

The maintenance of cash funds at the individual facilities is perhaps the weakest point of control in the entire system that records and tracks an individual's HOFA account. Increased vigilance in this area should help protect corrections officers from inappropriate allegations of theft and misuse.

Recommendation No. 7

Superintendents at various facilities should improve controls involving the use of checking accounts over which facility staff have control.

Facilities maintain and control checking accounts which are used to expedite the purchase of various goods on behalf of inmates and provide a ready source of cash to "restock" the facility's cash drawer. Superintendents at the various facilities must be aware of good internal control procedures that must be followed involved with safeguarding checking accounts.

Specific concerns we have regarding the controls at various facilities involving checking accounts are as follows:

1. Superintendents should be sure to remove check-signing authority for the commissary bank accounts from staff who prepare checks, reconcile the bank accounts, or otherwise have access to bank records. At five of the nine facilities we reviewed, we noted a critical lack of segregation of duties involving commissary checking accounts. We had concerns about the structure of duties at Anvil Mountain Correctional Center (AMCC), Cook Inlet Pre-Trial Facility, Lemon Creek Correctional Center (LCCC), Mat-Su Pre-Trial Facility, and the Yukon-Kuskokwim Correctional Center.

At both AMCC and Mat-Su Pre-Trial Facility, one individual has the authority to sign checks without a counter-signature and is solely responsible for the monthly bank reconciliation. These individuals also have access to HOFA records. At Cook Inlet Pre-Trial Facility, Lemon Creek Correctional Center, and YKCC, an individual who is responsible for preparing checks is also a signer on the checking account and reconciles the bank records. These individuals also have access to HOFA records.

When an individual has access to both cash assets and cash records, segregation of duties is not adequate to safeguard the cash in the bank.

2. Superintendents should establish procedures which require positive confirmation that all checks written for the purpose of cash replenishment are deposited into the cash drawer. In addition, they should immediately prohibit the use of checks payable to "Cash". At five of the nine facilities we reviewed, we identified less than adequate procedures over the use of the commissary checking account. Specifically, we identified weaknesses involving the use of the checking accounts at Anvil Mountain Correctional Center, LCCC, Mat-Su Pre-Trial Facility, WCC and the Yukon-Kuskokwim Correctional Center.

Funds on deposit in the commissary bank accounts at these institutions are not adequately safeguarded. At AMCC, Mat-Su Pre-Trial Facility, Wildwood Correctional Center, and Yukon-Kuskokwim Correctional Center, checks are commonly made out to "Cash" for purposes of replenishing the cash drawer, and/or to resolve errors. At Lemon Creek Correctional Center, checks for cash replenishment are made out to the records officer who writes checks from and reconciles the commissary bank account. At all of these institutions, backup for the disbursement does not include a signed request from a cash drawer manager, and no procedures are in place to verify that cash received from the bank was placed in the cash drawer and recorded in HOFA.

When a check is made payable to "Cash," it becomes a bearer instrument and anyone with possession of the check has access to the cash assets in the bank. This provides an opportunity for access to inmate funds by unauthorized individuals. Accountability for the handling of the check and proceeds is also diminished. If a check is handled inappropriately, it would be difficult to determine the circumstances and to pinpoint responsibility.

The person who signs a check for the purpose of cash replenishment should verify that the funds are promptly deposited into the cash drawer intact. The check signer should be someone other than the person who balances the bank statement or has control over other cash asset records. Backup for the disbursement should include a signed memo from the officer or clerk who is responsible for cash drawer management. All checks for cash replenishment should be made payable to the individual who is designated to cash the check. The individual who cashes the check should not have control over bank records.

3. The superintendent at the Spring Creek Correctional Center (SCCC) should develop procedures which require the commissary bank account to be reconciled monthly. The procedures should include a review of the reconciliation by management. Bank reconciliations for the commissary bank account at SCCC have not been completed since May 1998. The HOFA clerk hired approximately one year ago was not properly informed of the duties of her position, and supervision was not adequate to ensure that all critical duties were performed. Therefore, bank reconciliations have not been completed for the past 12 months. As a result, no review has been done to determine if deposits, withdrawals, and charges to the commissary bank account were authorized and correctly recorded, and the funds in the account have not been adequately safeguarded.

The assistant superintendent in charge of HOFA is currently installing software to assist with bank reconciliations. Once she has re-established the procedure and completed the reconciliations through the current month, she will train and supervise the HOFA clerk to perform the reconciliations on a monthly basis.

Recommendation No. 8

At some facilities, measures should be taken to better safeguard the property, cash, and other assets of inmates.

In our review of controls at various correctional facilities we identified instances where improvements could be made in how the property and assets of the inmates are protected. Specifically we noted and recommend the following:

1. The superintendent at the Anvil Mountain Correctional Center should establish procedures that require inmate funds received in the mail or in person to be kept in a locked container. In addition, the superintendent should establish procedures to verify that logged receipts are recorded properly in HOFA and receipt funds are deposited intact to the cash drawer. Cash and negotiable instruments received in the administrative area are kept in a locking file drawer. However, the drawer is not kept locked throughout the day. The file cabinet is used for purposes other than as a storage area for cash, so the drawer remains unlocked to allow access. Cash could be easily removed or misplaced.

In addition, no procedures exist to verify that the cash received in the administrative area was properly posted to HOFA. A receipt log is kept in the reception area, but no verification is made that the funds received are actually posted. Cash receipts should be recorded in a separate log and a verification process should be established to ensure that all logged receipts are entered on HOFA.

2. The superintendent at AMCC should require negotiable instruments in the cash drawer to be deposited to the offender trust bank account. AMCC staff is currently depositing negotiable instruments to the local commissary bank account. They then withdraw those same funds with a check payable to "Cash" and deposit the cash in the cash drawer. This method of replenishing the cash drawer is inappropriate. It increases the amount of funds in the commissary bank account, which is, due to current procedures, susceptible to misuse and misappropriation. In addition, it eliminates controls that DOC has in place to determine errors and irregularities in the cash replenishment process. Thus, the current process serves to remove some of the safeguards that protect the cash in the account.
3. The superintendent at the Cook Inlet Pre-Trial Facility should establish procedures that require cash, negotiable instruments, and other valuables belonging to people who are detained at the facility to be reasonably secured. Individuals are not immediately booked when intoxicated or uncooperative. In this case, cash is placed in a small plastic bag on the counter or the floor in the booking area, sometimes without being counted. The uncounted and unsecured funds can remain in the bag for as many as seven hours, and are subject to access by any number of employees who frequent the booking area.

Cash, negotiable instruments, and valuables should be reasonably safeguarded at all times. If the booking process is delayed, valuables should be secured in a locked area that is accessible by only one position.
4. The superintendent at the Yukon-Kuskokwim Correctional Center should establish procedures which require inmate valuables, including personal checks, to be stored in a locked container. Personal checks and other negotiable instruments which will not be cashed are considered property, and classified as valuables. Valuables are placed in an envelope and kept in a safe in the booking area. However, the safe is not locked. All corrections officers and administrative staff have access to this area and the safe. Therefore, valuables are virtually unguarded and could easily be removed. Without limited access, there is no way to pinpoint responsibility if an item is missing.
5. The superintendent at YKCC should establish procedures that allow only one officer per shift to receive and receipt funds from visitors. Cash receiving activities at YKCC are not limited to as few hands as possible. Any one of five corrections officers per shift receive cash from visitors on behalf of inmates. If several people are receiving funds, it is not possible to pinpoint responsibility if a problem occurs.

The control deficiencies identified in this report not only present opportunities for theft and misuse of funds by dishonest staff, but fail to protect honest staff from suspicion and inappropriate allegations. We encourage superintendents and DOC central management to take these concerns and deficiencies seriously, and take action to tighten controls over funds for which the State has a trust responsibility.

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August 31, 1999

Alaska State Legislature
Legislative Budget and Audit Committee
Division of Legislative Audit
Attn: Pat Davidson, Legislative Auditor
P.O. Box 113300
Juneau, Alaska 99801-3300

Dear Ms. Davidson:

RE: The Department of Corrections,
Internal Controls Related To Cash and
Negotiable Instruments For The Offender
Financial Accounting System, May 18, 1999.

Recommendation #1

The Division of Administrative Services (DAS) should determine the value of the liabilities and assets related to the Offender Trust Account System (HOFA), using generally accepted accounting principles (GAAP). Additionally, DAS should develop and document a system for monthly reconciliation of cash assets.

Agency Response

The Department of Corrections agrees with this recommendation. The DOC is working diligently to determine the value of the liabilities and assets of the Offender Trust Account System (HOFA) system using generally accepted accounting principles (GAAP) and to address other issues brought up by the audit.

Recommendation #2

The Department of Corrections should immediately develop, adopt and implement internal controls designed to safeguard funds held in trust for inmates, and state funds on deposit at prison facilities.

Agency Response

The Department of Corrections agrees with this recommendation. The Agency's Policy and Procedures Manual, Section 302.12, Fiscal Management, Prisoner Accounts, has been revised to implement new cash handling procedures that will ensure that each institution's internal commissary account will be reconciled monthly and reviewed to ensure that prisoner funds are safeguarded at every level.

Recommendation #3

The Division of Administrative Services (DAS) should update the HOFA system so that it provides meaningful and reliable information. DAS should also train users to correct data entry errors without recording false events.

Agency Response

The Department of Corrections agrees with this recommendation. The current HOFA system, which is in the process of being replaced, is such that we cannot void transactions when an error is made nor are they batched to catch errors before posting. The only way to make a correction in the current HOFA system is make another HOFA transaction and try to make a clear trail with descriptions of the events. The new HOFA system which will be brought on-line by the end of October 1999 has been designed to address transaction errors, and to provide meaningful and reliable inmate financial information. Training on the new HOFA system will be provided to every institution's HOFA staff.

Recommendation #4

DOC should establish and maintain standards for recording and filing information related to inmate funds.

Agency Response

The Department of Corrections agrees with this recommendation. The existing standards in-place for inmate record keeping will be monitored to ensure that compliance of these inmate record standards are enforced at each institution.

Recommendation #5

DOC should develop, distribute, and administratively enforce cash-handling procedures necessary to improve controls at the time of booking and release.

Agency Response

The Department of Corrections agrees with this recommendation. As mentioned in the response to Audit Recommendation #2, our existing Policy and Procedures on Fiscal Management of Prisoner Accounts has been revised to improve controls of funds and property of individuals incarcerated in state institutions.

Recommendation #6

Superintendents at various facilities should improve controls over access to and accountability over cash drawers.

Agency Response

The Department of Corrections agrees with this recommendation. Revised Policy and Procedures to improve cash drawer controls have been adopted by Institutions to segregate HOFA duties and ensure that inmate funds are safeguarded at every level.

Recommendation #7

Superintendents at various facilities should improve controls involving the use of checking accounts over which facility staff have control.

Agency Response

The Department of Corrections agrees with this recommendation. Revised Policy and Procedures to improve cash and checking account controls have been adopted by Institutions to ensure that inmate funds are safeguarded

Recommendation #8

At some facilities, measures should be taken to better safeguard the property, cash, and other assets of inmates.

Agency Response

The Department of Corrections agrees with this recommendation. The revised Policy and Procedures for Fiscal Management of Prisoner Accounts has been adopted by Institutions will provide the safeguards recommended by the audit in all DOC institutions.

Thank you for the opportunity to comment on this audit. If you need more information, please feel free to contact me.

Sincerely,

Margaret M. Pugh
Commissioner

CC: Dwayne B. Peeples, Director/Division of Administrative Services
Allen J. Cooper, Director/Division of Institutions

To: Annette

From: Debbie

Date: 9/21/99

Re: Corrections Subcommittee Meeting of 9/21/99 @ 12:00pm

1. Materials – 9/21 and 9/14 Handouts
2. Mailed Materials – Greg Pease/Juneau & Barbara Miller/Mat-Su LIO
3. Other – Member changes

1. Daniel Wayne/Juneau – wants to be removed. He serves on the Admin. Sub and that is where his interests lie. Would be happy to act as a resource to subcommittee if needed.

2. Wade Ray/Anchorage – wants to be removed. He said he doesn't have the time. He has not attended any meetings.

3. Greg Utterback/Anchorage – will replace David Morrison from Cornell Corrections. David has left the State. Greg is his replacement @ Cornell, so business info will be the same.

9/21/99
done

DEPARTMENT OF CORRECTIONS PRIVATIZATION

SUBCOMMITTEE MEETING

SEPTEMBER 14, 1999

1. **Members Present:** Sharon Anderson, Russell Lewis, Garland Warren, Gail Schubert, Mary Pate, and Mel Tipton (telephonic)
- Greg Pease, Dwayne Peeples, Charlene Griffin in Juneau
 - Barbara Miller via phone from Wasilla

Senator Ward was present

Betsy Robson, Bruce Richards, Bill Parker, all DOC were present.

2. **Betsy Robson spoke on Inmate Education for the first part of the meeting.**

- **Education Programs Present at All Facilities:** amount of education services varies by facility; type of programs is tailored to each facility.
- **Programs Include:** Adult Basic Education/G.E.D.; Lifeskills Programs; Literacy; Vocational Education and Apprenticeship;
- **Program Numbers:** 961 Students in ABE/GED; 35 students in English as a Second Language; 426 inmate/students have 8 years or less of education. 500 were studying at secondary level, 185 earned GED in FY 1998
 - **(NOTE):** These numbers only include incarcerated persons, not prisoners in Arizona or persons at CRC's
- **Baseline Education:** DOC has tried to establish a baseline level of education. There is not enough data to establish a true baseline, but the data indicates that less than 48% of inmates have a high school diploma or equivalent.
- **Lifeskills Class:** duration ranges from 1-2 hours to several weeks (depending on the length of prisoner incarceration at any given facility); involves human relations workshops;

Minutes of the Department of Corrections Subcommittee Meeting

September 14, 1999

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Minutes prepared by C. Russell Lewis

(907) 258-0106

Cross Cultural programs exist within Lifeskills classes; CPR and stress reduction are taught within these classes.

- **Senator Ward:** Asks how the lack of a Rural Affairs Coordinator affects cross-cultural issues in inmate education?
- **Betsy Robson:** Lack of an RAC does not affect programs since the RAC was not directly involved in the education programs.
- **Additional Numbers:** In FY 99: 5465 inmates in lifeskills classes; 3771 inmates completed the class
 1. Transient population affects completion percentage
 2. No recidivism data is available
 3. Data that is available doesn't reflect interrelation of lifeskills programs and recidivism.
 4. National data reflects information that lifeskills teaching reduces recidivism.
 - General Discussion re: Collecting Data with OBSIS #'s
 - B. Richards: OBSIS # stays with any given inmate for life
 - Gail Schubert: Are computers available and used to track inmates?
 - B. Richards: Computer system is an out-of-date system designed for a narrow purpose. The current system is very cumbersome to try to use as a database.
 - Betty Robson: OBSIS #'s not used in data collection efforts.
- **Senator Ward expresses concern regarding the "lack of outcome measures" General Discussion on COST/EFFECTIVENESS/APPROPRIATENESS follows**
 - ❖ Senator Ward: Is there a measurable benefit to the education program:
 - ❖ B. Robson: Notes that many of the education services are contracted out to the private sector.
 - ❖ Senator Ward asks if those private contractors would have outcome data?
 - ❖ B. Robson: No. The only available data is regarding the pre- and post- program educational level of the inmates.
 - ❖ R. Lewis: Is education ever a part of the sentence?
 - ❖ B. Robson: Not very often. National data (only source available) supports the following

*Minutes of the Department of Corrections Subcommittee Meeting
August 31, 1999*

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*Minutes prepared by C. Russell Lewis
(907) 258-0106*

1. Recidivism reduced by education
 2. (remember Cleary settlement requires educational effort)
 3. Education can be a tool to manage the institutions by keeping the problem populations separated and keeping violence down.
- ❖ Sharon Anderson questions whether the length of stay acts as a deterrent to involvement in the education program?
 - ❖ B. Robson: programs are tailored to the length of average stay at each facility. Both pre-programming and shortened programs are used.
 - ❖ B. Robson/B. Richards: New MIS will allow greater tracking of inmate progress/education/recidivism
 - ❖ Senator Ward: What is cost of education effort?
 - ❖ B. Robson: \$316,000 is allocated from DOC budget. 50-55% of that figure goes to private contractors. The rest goes to books and supplies.
 - ❖ Gail Schubert asks if university credits are given and if so, who pays for them?
 - ❖ B. Robson: Because of the recent PELL grant cuts, the inmates must pay on their own for any university classes they take.
 - ❖ Gail Schubert questions the private pilot lessons being offered at certain facilities.
 - ❖ Barbara Miller asks how many state employees are in the education program
 - ❖ B. Robson: Two in central administration, at least one in each facility.
 - ❖ Barbara Miller: How many total? B. Robson: 17
 - ❖ Barbara Miller: What is the cost for the 17 employees?
 - ❖ B. Robson: Unclear. These particular employees are funded through the institution budgets, not the education budgets.
 - ❖ Garland Warren asks why there are no certified programs at the Yukon-Kuskokwim Correctional Center?
 - ❖ B. Robson: Most inmates stay only a short time in that facility.
 - ❖ Mel Tipton asks if written testing is done. Bruce Richards replies that it is done for Adult Basic Education.
 - ❖ Mel Tipton: Is there written testing after or during other classes? B. Robson: Only pre- and post- class testing to measure the change in abilities.
 - ❖ Mel Tipton: Are written tests used to measure results?

Minutes of the Department of Corrections Subcommittee Meeting

August 31, 1999

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Minutes prepared by C. Russell Lewis

(907) 258-0106

- ❖ B. Robson: Any certified classes use testing at the completion of the class.
- ❖ Senator Ward: Are classes relevant? Are the results of the education worth the effort? Senator Ward reiterates his desire to see some measurement of value from the tax dollars being spent on education in the prison system.
- ❖ Mary Pate asks how the schedule of which classes to offer is determined?
- ❖ B. Robson: Education Coordinator at each facility determines classes to offer.
- ❖ Mary Pate: Is then any relationship between classes offered and the jobs available upon release?
- ❖ B. Robson: The DOC's Criminal Justice Planner coordinates with DOL regarding the potential job market.
- ❖ B. Robson: National data indicates that Alaska is 4th from bottom in education spending on a per capita basis.
- ❖ Bruce Richards: New MIS will allow better tracking of dollars and inmates: can't be done now.
- ❖ Greg Pease: What correctional assessment tool(s) will be used to determine if programs work? Greg Pease offers to provide them to the DOC and the committee.
- ❖ Senator Ward is of the opinion that if people are trained and have a job, they won't re-offend. Senator Ward is certain that the data can be compiled, manually if need be.
- ❖ Garland Warren expresses concern about Alaska's low position in regards to the education dollars being spent on inmates.
- ❖ Barbara Miller wants inmates restricted to a total of 13 years of education services.
- ❖ Bill Parker (DOC) expresses his belief in the need to educate since the inmates will eventually return to society.
- ❖ Barbara Miller expresses doubts as to whether education will prevent recidivism when inmates do return to society.
- ❖ B. Robson expresses her belief that education is the key to prevent recidivism and that the new MIS will allow the date to be gathered to show that.
- ❖ Gail Schubert points out the age of some of the statistics and asks if the budget and the numbers have changed in recent years.
- ❖ Gail Schubert points out that most if not all of the crimes committed by indigenous peoples involve substance abuse: shouldn't most of the education dollars be directed at substance abuse prevention/treatment?

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Minutes prepared by C. Russell Lewis

(907) 258-0106

- ❖ Sharon Anderson concurs with the need for outcome measures.
- ❖ Garland Warren states his opinion that as Alaska is only spending \$350/year/inmate on education, any further cuts would mean that the program should just be dismantled.
- ❖ Mel Tipton asks if there could be greater selectivity about persons entering the education programs. Mel also notes that testing might be a proper means of assessing entry screening and measuring progress in the programs.
- ❖ Russell Lewis asks for the total money spent on education in the prison system. B. Robson will get that information together.
- ❖ Senator Ward asks the DOC personnel to assemble outcome information on all the programs.

3. Sex Offender Treatment Programs: The second part of the meeting was devoted to a discussion of the sex offender treatment programs, again presented by Betty Robson.

- The Sex Offender program has a total of 260 slots: Meadow Creek, 78 slots; Lemon Creek, 24 slots; Fairbanks, 10 community spaces; Anchorage, 60 community spaces; Juneau, 15 community spaces; Kenai, 8-10 community spaces; Ketchikan, 8-10 community spaces.
- B. Robson discusses the 1996 Study at Hiland Mountain. This study produced "good news" and "bad news":
 - Good news: Rapists do not appear to be reoffending
 - Bad news: Alaska Natives are not progressing in the program and have low numbers in the treatment programs compared to the number of offenders.
 - Results and Procedures from study: DOC will reevaluate the aspects of culturally relevant programs, the length of the Sex Offender treatment programs, and restructure the programs so that more people can be treated.
 - "Summit" Meeting of DOC staff and care providers was held to discuss: 1) shortening of the Sex Offender treatment program to 17 months; 2) identify specific needs of treatment; and 3) do as much pre-program work as possible to improve chances of success in the program.

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- B. Robson discussed a study recently done by DOC evaluating the revised Sex Offender program. This study evaluated the results from 5/1/98 to 5/1/99 after the (some/all ???) of the above changes were implemented in the above program. This study revealed:
 - Rate of completion improved by 20%: up to 1 inmate per month completing the program.
 - Other inmates benefited from the program, even if not completing it.
 - Participation rate improved in the program from 38% to 57% (of offenders???)
- Gail Schubert asks questions regarding the completion rate and the completion rate of Alaska Natives specifically.
- B. Robson states that 23 Alaska Natives were discharged from the program: 15 quit or were discharged; five completed the program; and three left when their sentence expired.
- B. Robson noted that the national dropout rate is 50%-60%.
- Gail Schubert asks how many of the slots in the sex offender treatment program are occupied by Alaska Natives. B. Robson responds that 50% of the Meadow Creek Correctional Center Sex Offender population is Alaska Native. There apparently are no numbers available on the population make-up of the community slots.
- Gail Schubert asks if there is a waiting list for entry to the Sex Offender program at any given facility. B. Robson responds that there is a two or three month wait for Meadow Creek and a period of a few months at Hiland Mountain. B. Robson indicates that wherever there is a waiting list, the facility tries to offer treatment prior to actual entry into the program.
- Barbara Miller asks why individuals leave treatment. B. Robson responds that there are several reasons for leaving treatment. Some people refuse treatment, some have their parole revoked, some are kicked out.
- Senator Ward asks for information on the five Alaska Natives that completed the program. What was the cost of their

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treatment? Have they reoffended? Senator Ward would like to see a comparison of cost for treatment and the reduction in repeated offenses, if there is such a reduction.

- B. Robson indicates that the Sex Offender treatment program is 88% contracted out. The annual budget is \$1,000,000, which includes elements in the facilities budgets as well as the community treatment budget.
- Barbara Miller asks how many state employees are involved with the Sex Offender program. B. Robson indicates that there is one part-time criminal justice planner and that there are no full-time employees dedicated to the Sex Offender treatment program.
- B. Robson indicates that psychological/psychiatric testing is included in the 12% of the Sex Offender program budget that is not contracted out.
- Gail Schubert asks if the inmates pay any part of their treatment. B. Robson responds that inmates in the community slots pay part of the cost of their treatment.
- Russell Lewis asks if the DOC personnel could assemble statistics on what part of the parole board's time is spent doing revocation hearings for sex offenders.

4. General Discussion Regarding Inmate Monies:

- Garland Warren asks for data on inmate funds; i.e. how inmates earn funds and how those funds are segregated and maintained.
- Bruce Richards indicates that there is some data on inmate funds, but it is hard to get. All inmates have a HOFA (???) fund.
- Senator Ward indicates that he would like to see copies of any HOFA fund audit.
- Garland Warren expresses his concern about letting offenders back into society without either money or training.

- Gail Schubert expresses her concern regarding any money building up in inmate accounts: is it safe and do the prisoner's have access to it???

5. General Items of Concern to Committee Members:

- Greg Pease states his belief that substance abuse/addiction problems need to be addressed prior to addressing other problems, since substance abuse seems to be the impetus in many crimes.
- Greg Pease expresses his renewed concern over DOC's failure to use assessment tools to measure inmate education progress.
- Sharon Anderson asks Greg Pease to provide the committee with information on the assessment tools.
- Garland Warren asks what monies are being paid to CRC's and other privately run facilities. Senator Ward responds that \$15,000,000 to \$18,000,000 is being spent annually.

6. Closing Issues:

- Sharon asks the committee if DOC should present information on substance abuse programs at this meeting or if it should be postponed.
- The committee members indicate the need to fully address substance abuse issues, so that topic will be presented on September 21, 1999.
- Mel Tipton asks that the committee re-focus on any cost differential between private facilities and the current DOC operations.

Meeting adjourned at 1:29 p.m.

Some Commonly Asked Questions About Department of Corrections Substance Abuse Programs

1. Why does DOC provide substance abuse programs in its institutions?

DOC recognizes that approximately 85% of the inmate population has a problem with substance abuse. These inmates are either chemically dependent upon alcohol and other drugs (addicted) or they have a history of abusing alcohol and other drugs. It is DOC's belief, supported by the Alaska Legislature, that it has a responsibility to provide a continuum of care to inmates who are in our custody, so that public safety will be enhanced upon their release to the community.

2. What is the continuum of care and who provides it?

There are four levels of substance abuse programs in DOC's institutions: education, education plus an introduction to treatment, outpatient treatment, and residential treatment.

DOC contracts with state approved community substance abuse treatment providers for the delivery of all of its substance abuse programs. The current providers include: Akeela Treatment Services, Salvation Army Clitheroe Center, Gastineau Human Services, City of Ketchikan Gateway Center for Human Services, Mat-Su Council, Northern Lights Recovery Center, and the Regional Center for Alcoholism and Drug Abuse (FNA). The contracts are amended yearly for up to three years. Every three years a formal bidding process occurs for these services.

3. Does DOC provide treatment beds in the community?

DOC provides twenty-seven residential treatment beds in eight state approved substance abuse treatment agencies in Alaska. The beds provide services to twenty-two furloughees and five probationers/parolees. The Division of Alcoholism and Drug Abuse receives the funding for these treatment slots from the Legislature.

4. Are inmates required to enroll in substance abuse programs if their crimes are related to substance abuse?

The Inmate Substance Abuse Treatment Programs are voluntary; however, many inmates are Court ordered into substance abuse treatment while they are incarcerated. If they refuse to participate, they can lose good time as well as furlough eligibility, and they may even have their probation revoked. The purpose for Court ordered treatment during incarceration is to reduce the risk of new substance abuse related crimes and victims in the community when the offender is released.

5. Does substance abuse treatment in inmate programs "count", or do offenders have to start all over in treatment when they are released to the community?

Substance abuse treatment in Alaska's prisons does "count". All of DOC's substance abuse programs are state approved. An inmate on probation/parole may need to be reassessed for treatment upon release. During the assessment credit is given for the inmate program participation. The discharge summary from the inmate program is a part

of the collateral information obtained for the community assessment. For many individuals who have completed treatment behind bars, the next step is aftercare in the community. (They do not start from scratch.)

6. Are DOC's substance abuse treatment programs culturally relevant to Alaska Natives?

DOC is making the effort to attract Alaska Natives to the Inmate Substance Abuse Program by presenting topics relevant to the Native culture. Especially in rural areas, DOC encourages the hiring of Native counselors whenever possible. If they are not certified at level II at the time of hiring, they may be allowed to achieve this requirement while performing as the Inmate Substance Abuse Program Counselor if they already have sufficient experience. Native counselors are valuable role models for our high percentage of Native offenders.

7. Do the Alaska prisoners who are sent to Arizona have a substance abuse treatment program similar to those found in Alaska's prisons? Who provides it?

The Corrections Corporation of America has as a part of their contract with the Alaska DOC, the provision of substance abuse treatment services for Alaska inmates housed at the Central Arizona Detention Center. They are currently providing a day treatment level of care to inmates in two separate pods or living areas. The treatment staff in Arizona have been equipped with materials to enhance substance abuse treatment for Alaska Natives.

Highlights of the CASA Report
"Behind Bars; Substance Abuse and America's Prison Population"

- Drugs or alcohol and sometimes both played a role in the crimes of 80% of the country's 1.7 million inmates.
- While the number of inmates needing treatment rose 5% between '95 and '96, those receiving treatment declined by 11%.
- 80 percent of the men and women behind bars--some 1.4 million individuals--are seriously involved with drug and alcohol abuse and the crime it spawns (1).
- 81 percent of state inmates, 80 percent of federal inmates, and 77 percent of local jail inmates have:
 - Used an illegal drug regularly
 - Been incarcerated for drug selling or possession, driving under the influence of alcohol or another alcohol abuse violation
 - Were under the influence of alcohol or drugs when they committed their crime
 - Committed their offense to get money for drugs
 - Have a history of alcohol abuse (1-2)
- Inmates who are alcohol and drug abusers and addicts are the most likely to be reincarcerated-again and again (3).
- Many of today's prisoners can be rehabilitated with appropriate treatment for substance abuse and addiction, and continuing aftercare once they leave prison (3).
- Substance use is tightly associated with recidivism. The more prior convictions an individual has, the more likely that individual is a drug abuser (4).
- Alcohol is more closely associated with crimes of violence than any other drug (4).
 - One-fifth (21 percent) of state prison inmates incarcerated for violent crimes were under the influence of alcohol--and no other substance--when they committed their crime (5).
- In state and federal prisons, the gap between available substance abuse treatment--and inmate participation--and the need for such treatment and participation is enormous and widening (5).
- In 1996, 70-85% of state inmates needed some level of substance abuse treatment, but only 13% were receiving such treatment (5).
- As the number of inmates in need of treatment has risen in tandem with the prison population, the proportion receiving treatment has declined (5).
- Well-designed prison-based treatment can reduce post-release criminality and drug and alcohol relapse, especially when combined with pre-release training and planning and community-based aftercare services, including assistance with housing, education, employment, and health care (6).
- Most inmates who are drug and alcohol addicts and abusers also need medical care, psychiatric help, and literacy and job training. Without help in prison acquiring these skills, once released these inmates have little chance of resisting a return to lives of drug and alcohol abuse and crime (7).
- Issues for substance-abusing inmates (7)
 - 15-20% have a history of physical/sexual abuse
 - 61% in state prisons did not complete high school
 - 36% in state prisons were unemployed in the month preceding their offense
- Issues for drug and alcohol-abusing female inmates (8):
 - More likely than male inmates to have suffered from physical and sexual abuse
 - More than two-fifths of substance-involved women in state prison and local jails have been victims of such abuse.
- Children of Substance-involved inmates are at high risk for addiction and incarceration (8).
- Prevention is the first line of defense against drug-and alcohol-related crime.
 - Giving youth the will and skill to say no are critical to keeping them out of the criminal justice system (9).



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FOR IMMEDIATE RELEASE

PRESS RELEASE

February 17, 1998

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THE AMERICAN PROBATION AND PAROLE ASSOCIATION (APPA) AND THE INTERNATIONAL COMMUNITY CORRECTIONS ASSOCIATION (ICCA) CALL FOR INCREASED USE OF TRANSITIONAL AND COMMUNITY-BASED ALCOHOL AND OTHER DRUG TREATMENT SERVICES

Mario A. Paparozzi, Ph.D., President of the American Probation and Parole Association and Richard J. Billak, Ph.D., President of the International Community Corrections Association, said that, "the recent report by Columbia University, Behind Bars: Substance Abuse and America's Prison Population, does not go far enough and place sufficient weight on recommending that community resources be provided in the form of treatment and aftercare programs and services."

The two prestigious community correction organizations commended Columbia University's National Center on Addiction and Substance Abuse (CASA) for the timeliness and subject content of the three-year study, especially the area that calls for the elimination of mandatory sentences. They agree that judges and prosecutors need the flexibility to divert substance-abusing offenders into treatment, drug courts, coerced abstinence or other alternatives to prison when appropriate but said that, "the report's recommendations and conclusions did not place enough emphasis on the extreme importance of post-release treatment services within the community."

*Dedicated to Promoting and Enhancing Community Corrections
Formerly International Association of Residential & Community Alternatives*



International Community Corrections Association

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"The ICCA and the APPA have focused considerable attention on the international research and empirical data supporting the increased use of community resources to augment any prison-based programming. For the past three years our annual conferences and publications have focused extensively on this issue. Without the essential components of effective community-based transitional and aftercare services, the full potential of institutionally delivered substance abuse treatment and the goal of community safety and justice, will not be realized", said Paparozzi and Billak.

*Dedicated to Promoting and Enhancing Community Corrections
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PRESS RELEASE

FOR IMMEDIATE RELEASE:

10 AM January 8, 1998

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CASA* STUDY SHOWS ALCOHOL AND DRUGS IMPLICATED IN THE CRIMES AND INCARCERATION OF 80% OF MEN AND WOMEN IN PRISON

Taxpayers Spent \$30 Billion in 1996 to Incarcerate Inmates for Drug- and Alcohol-Involved Crimes

Califano calls for Second Front in War on Crime--In Our Prisons Drug and Alcohol Treatment in Prison Will Save Billions of Dollars and Significantly Reduce Crime

Behind Bars: Substance Abuse and America's Prison Population, a 281-page report released today by The National Center on Addiction and Substance Abuse at Columbia University (CASA), shows that the explosion in America's prison population---between 1980 and 1996, the number of inmates in state, federal and local prisons tripled, from 500,000 to 1.7 million--is due overwhelmingly to criminal activity linked to drug and alcohol abuse. The study reveals that drug and alcohol abuse and addiction are implicated in the incarceration of 80%--1.4 million--of the 1.7 million men and women behind bars today. Among the 1.4 million substance-involved inmates are parents of 2.4 million children, many of them minors.

The report, the culmination of three years work, finds that in 1996 \$30 billion of taxpayer dollars were spent to incarcerate individuals who have a history of drug or alcohol abuse and addiction or are serving time for drug- or alcohol-related crimes and that alcohol is more closely associated with violent crime than any illegal drug.

"This report is a call to open in the nation's prisons a second front in the war on crime," said Joseph A. Califano, Jr., CASA president and former Secretary of Health, Education and Welfare. "It is a call for a revolution in how we view those offenders whose core problem is alcohol

* The National Center on Addiction and Substance Abuse at Columbia University is neither affiliated with, nor sponsored by, the National Court Appointed Special Advocate Association (also known as "CASA") or any of its member organizations, or any other organization with the name of "CASA"

Prison Study, p. 2

and drug abuse--a call to identify them, assess their treatment and training needs, separate them from criminal incorrigibles and give them the hand up they need to become productive citizens and responsible parents. If we answer that call, we will save billions of dollars, reduce crime, and reclaim thousands of individuals to live as responsible parents, hard workers, taxpayers and law-abiding citizens. The choice is ours as well as theirs," he said.

Behind Bars describes how substance abuse and addiction has shaped the criminal histories of 80% of prisoners today: 81% of the 1,076, 625 state inmates, 80% of the 105,544 federal inmates and 77% of the 518,492 local jail inmates¹ violated drug or alcohol laws, were high at the time they committed their crimes, stole property to buy drugs, or have a history of drug and alcohol abuse and addiction--or share some combination of these characteristics.

Currently, one of every 144 American adults is behind bars for a crime in which drugs or alcohol is involved. One out of every 60 men is currently incarcerated; one out of every 14 black men and one out of every 34 Hispanic men. If rates of incarceration continue to rise at their current pace, one in every 20 Americans born in 1937-- one in every 11 men and one in every four black men-- will serve time in prison during their lifetime.

"The case for change, revealed in the report, is urgent and overwhelming. Reducing alcohol and drug abuse and addiction is the key to the next major reduction in crime and the prison population provides an enormous missed opportunity," said Califano.

"Failure to use the criminal justice system to get non-violent drug- and alcohol-abusing offenders into treatment and training is irrational public policy and a profligate use of public funds. Releasing drug- and alcohol-abusing and addicted inmates without treating them is tantamount to visiting criminals on society. Releasing drug-addicted inmates without treatment helps maintain the market for illegal drugs and support drug dealers," added Califano.

Behind Bars is the most comprehensive analysis ever undertaken of the relationship of drug and alcohol abuse and addiction to the character and size of America's prison population. For three years, CASA has examined all available data on the people in prison including the U.S. Department of Justice surveys of inmates, surveyed and interviewed state and federal corrections officials, prosecutors and law enforcement officers, tested programs for substance-abusing offenders and reviewed relevant studies and literature.

The CASA study documents the shattering impact of substance abuse on America's correctional systems:

- By the year 2000 if current trends continue, the nation will break the \$100 million-dollar-a-day barrier in spending to incarcerate individuals with serious drug and alcohol problems.

¹ Local jails generally house individuals convicted of misdemeanors and sentenced to less than one year in prison and individuals who are awaiting trial.

Prison Study, p. 3

- Between 1980 and 1996, the number of men in prison increased 229% from 477,706 to 1,570,231; the number of women increased 439% from 24,180 to 130,430.
- Between 1995 and 1996, state corrections budgets jumped 28%, the most rapidly growing expense for all states.
- Inmates who are alcohol and drug abusers and addicts are the most likely to be reincarcerated--again and again--and length of sentences increase for repeat offenders.
- The number one substance abuse crime in America is drunk driving, accounting for 1.4 million arrests in 1995 at a cost of \$5.2 billion for arrests and prosecutions.
- 81% of individuals selling drugs test positive at the time of arrest, including 56% for cocaine and 13% for heroin.
- Incidence of new AIDS cases among state and federal inmates in 1994 was 17 times higher than among the general population and most of these cases are drug related.

The explosion of the inmate population over the last sixteen years is largely attributable to drug law violations:

- From 1980 to 1995, drug law violators accounted for 30% of the increase in the state prison population and 68% of the increase in the federal prison population, making drug law violators by far the largest group of federal inmates.
- Arrests for drug law violations grew at more than 10 times the rate of property crime arrests and more than twice the rate of violent crime arrests.

Recidivism and Substance Abuse: Joined at the Hip

The report found that inmates who are alcohol and drug abusers and addicts are the most likely to be reincarcerated repeatedly:

- The more prior convictions an individual has, the more likely he is a drug abuser. In state prisons, 41% of first offenders have used drugs regularly compared to 63% of inmates with two prior convictions and 81% of inmates with five or more prior convictions.
- 50% of state parole and probation violators were under the influence of drugs, alcohol or both when they committed their new offense.
- State prison inmates with five or more prior convictions are three times likelier than first-time offenders to be regular crack users.

Alcohol: The First Cousin of Violent Crime

Alcohol is more closely associated with crimes of violence than any other drug. It is a bigger culprit in connection with murder, rape, assault and child and spouse abuse than any illegal drug:

Prison Study, p. 4

- 21% of state inmates incarcerated for violent crimes were under the influence of alcohol (and no other substance) when they committed their crime compared with 3% under the influence of cocaine or crack alone and 1% under the influence of heroin alone.
- Violent crimes among jail inmates are also more closely linked to alcohol than to any other drug, with 26% of violent offenders under the influence of alcohol alone at the time of their crime, versus 4% under the influence of crack or cocaine alone and none under the influence of heroin.

It Runs in the Family

The CASA study also examines the common characteristics and histories of substance-involved offenders. Regular drug users are twice as likely to have parents who abused drugs and alcohol than inmates who are not regular drug users. They are also likelier than the general inmate population to have a family member who served prison time.

- 15% in state prison and 20% in jail have been physically and sexually abused.
- More than 40% of female state and local inmates have been victims of physical and sexual abuse.

The Treatment Gap: Need vs. Availability and Participation

The report concludes that in state and federal prisons, the gap between available substance abuse treatment – and inmate participation – and the need for such treatment is enormous and widening. State officials estimate that 70 to 85% of inmates need some level of substance abuse treatment. But in 1996, only 13% of state inmates were in any treatment.

As the number of inmates in need of treatment has risen, the proportion receiving it has declined. CASA estimates that states spend an average of 5% of their annual prison budgets on drug and alcohol treatment. In 1997, the Federal Bureau of Prisons spent \$25 million--0.9% of the federal prison budget on drug treatment. In 1996, there were 840,000 state and federal inmates in need of treatment and about 150,000 inmates actually received treatment, and much of that treatment was inadequate. From 1995 to 1996, the number of inmates in treatment decreased by 18,360 as inmates in need of treatment rose by 39,578.

The study suggests that many prisoners can be rehabilitated with well-designed prison based treatment programs and literacy training, combined with prerelease planning and community-based aftercare services, including assistance with housing, education, employment and medical care. **Residential prison treatment combined with appropriate aftercare can reduce relapse and recidivism.**

Prison Study, p. 5

Missed Opportunity: Reducing Crime and Costs to Taxpayers

In examining the increasing cost of incarcerating prisoners, CASA found that 80% or \$30 billion of the \$38 billion dollars spent in 1996 to build and operate the nation's prisons and jails is spent to incarcerate substance-involved offenders.

The CASA study estimates that it would take approximately \$6,500 per year, in addition to usual incarceration costs, to provide an inmate with residential treatment in prison and include vocational and educational training, psychological services and aftercare case management. For each offender who successfully completes treatment and returns to the community as a sober citizen with a job, it is estimated that an economic benefit of \$68,800, in reduced crime, arrest, prosecution and incarceration costs, health care savings and potential earnings, will accrue during the first year after release.

There are 1.2 million inmates who are drug and alcohol abusers and addicts (the other 200,000 of the substance-involved inmates are dealers who do not use drugs). If only 10% of those inmates--120,000--are successfully treated and trained, the economic benefit in the first year of work after release would be \$8.6 billion. That is a surplus of \$456 million over the \$7.8 billion treatment and training costs for all 1.2 million inmates. Thereafter, the economic benefit would be more than \$8 billion each year.

The Second Front in the War on Crime

To open a second front in the war on crime, the CASA report sets out a plan of action to cut taxpayer costs and reduce recidivism, including:

Research:

- A major investment in research to improve the cost-effectiveness of treatment

Pre-Prison:

- Assess the substance abuse involvement of potential inmates at the time of arrest.
- Provide police, prosecutors and judges with flexibility so that non-violent offenders who are addicted to alcohol and drugs can be diverted from prison into treatment, drug courts, coerced abstinence or other programs.
- Get rid of mandatory sentences for nonviolent offenders with no chance of parole.

Prison:

- Train correction officers to better prevent the use of alcohol and drugs in prison and assist inmates with recovery
- Expand random drug testing of prisoners and keep jails and prisons alcohol and drug free, employing sanctions against inmates caught abusing these substances.

Prison Study, p. 6

- Provide treatment in prison to all who need it and give incentives (reduced prison time) to inmates who successfully complete treatment.
- Increase the availability of religious and spiritual activity and counseling and provide an environment that encourages such activity.

Post-Prison:

- Provide pre-release planning for treatment and aftercare services for parolees who need them.
- Provide job placement services for inmates upon release.
- Train parole and probation officers to deal with alcohol and drug abuse and assist parolees with finding services they need to remain clean once they leave prison, such as drug-free housing, literacy training and social services.

The National Center on Addiction and Substance Abuse at Columbia University is the only national organization that brings together under one roof all the professional disciplines needed to study and combat all types of substance abuse as they affect all aspects of society. CASA's missions are to: inform Americans of the economic and social costs of substance abuse and its impact on their lives; assess what works best in prevention, treatment and law enforcement; encourage every individual and institution to take responsibility to combat substance abuse and addiction; provide those on the front lines with tools they need to succeed; and remove the stigma of substance abuse and replace shame and despair with hope.

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**COMMUNITY RESIDENTIAL SUBSTANCE ABUSE
TREATMENT BEDS FOR DOC CLIENTS
FY'99**

Treatment Beds	Furloughees	Probationers/Parolees
Clitheroe Center (Anchorage)	11	2
ANARC (Anchorage)	2	0
Akeela House (Anchorage)	4	0
Gastineau House (Juneau)	0	2
RCAOA (Fairbanks)	2	1
Maniilaq (Kotzebue)	1	0
Hope House (Kodiak)	1	0
PATC (Bethel)	1	0
Total Beds	22	5

Rev: 9/99

Recommendations for Trust Beneficiaries in DOC: Six Guiding Principles

- ⦿ Prevent Trust Beneficiaries from Entering the Criminal Justice System.
- ⦿ Provide Appropriate and Effective Treatment for Trust beneficiaries in Department of Corrections.
- ⦿ Program Effectiveness and Management Information Systems.
- ⦿ Planning and Research.
- ⦿ Partnerships.
- ⦿ Training and Education.
- * *Only the second and fourth guiding principles are reviewed in this presentation.*



Data Highlights

Trust Beneficiary DOC Needs Assessment Snapshot Data:

- 29% (883) of the inmates in correctional facilities are mentally ill on a given day.
12% (373) of the inmates in correctional facilities are severely mentally ill.
- 8% (258) of the inmates in correctional facilities are chronic alcoholics with psychosis on a given day.
- There are 12 developmentally disabled inmates in DOC institutions on a given day.
- On the day the Needs Assessment was conducted researchers found another 1,219 inmates who had indicators of significant alcohol and drug involvement.



Data Highlights

Fiscal Year 1997 DOC Service Data:

- 1,988 unduplicated inmates treated by DOC mental health staff.
- Up to 77% of the inmates treated by DOC mental health staff had co-occurring substance abuse disorders.
- Duplicated ISAT data shows that ISAT counselors: conducted 1,577 clinical assessments, admitted 1,681 inmates to substance abuse education and 807 inmates to institutional outpatient treatment.
- In Fiscal Year 1997, there were 2,585 Title 47 non-criminal holds statewide.



CULTURE DIVERSITY SERVICES FOR ISAT

TRAINING AGENDA

DAY 1

1998

- 0830-0900 Registration & Coffee
 0900-0915 Opening Remarks
 Speakers: Jim LaBelle, Project Manager, DOC
 Sarah Williams, Project Coordinator, ISAT, DOC
 John Baertschy, Ph.D., Director, Interior & Northern Regional Tng. Ofc.
 0915-1000 Exercise [2] Open Format Talking Circles @ 18 Students per circle
 Topic: "Hopes & Fears of Diversity Training Next Three Days"
 1000-1015 Break
 1015-1030 Exercise: Conduct a "Culture Diversity Questionnaire" Discuss results
 In Pairs Dyadic Format then process in group.
 1030-1100 Lecture: "Introduction to the [10] element Generic Model of Multi-Cultural
 Understanding". "Self-Awareness & Dominant Culture Worldviews"
 Speaker: John Baertschy, Ph.D., Clinical Sociologist
 1100-1200 Lecture: "Alaskan Native & Native American Model of Multi-Cultural
 Understanding - [10] Elements".
 Speaker: "Cookie" Rose, Yupik Consultant or T.B.A.
 1200-0100 Lunch
 0100-0150 Audiocassette: Harold Napoleons' Statewide Interview on Book: Yuuyaraq: The Way
 Of The Human Being.
 0200-0240 Exercise: Divide Into Four Groups @ [9] students each and discuss Yuuyaraq
 Tasks: Identify main themes of book, How can concepts be integrated
 into DOC ISAT Counseling awareness and discuss concepts of PTSD
 and loss of identity and spirituality.
 0240-0300 Exercise: Report Out on Products of above exercise to entire class.
 0300-0315 Break
 0315-0400 Lecture: "Historical Influences on Alaska Native People and Process
 Of Deculturation".
 Speaker: "Cookie" Rose, Yupik Consultant or TBA
 0400-0500 Video: "Tanana River Rat" & Discussion

DAY 2

1998

- 0900-0930 Video: "Inter-Ethnic Communication". Ron Scollon UAA Language Center KUAC TV
 0930-1000 Lecture: "Communication Patterns Between Natives & Non Natives Gatekeeping
 Gateopening".
 Speaker: John Baertschy, Ph.D., Clinical Sociologist/Regional Trainer
 1000-1015 Break
 1015-1045 Lecture: "The Culturally Skilled Counselor: Four Conditions Process/Goals"
 Speaker: John Baertschy, Ph.D., Clinical Sociologist
 1045-1200 Lecture: "Barriers to Effective Cross-Cultural Counseling" & "Intake/Assessment"
 Speaker: Dean Zuelsdorf, Psy.D., Clinical Psychologist Private Practice
 Proposed or TBA
 1200-0100 Lunch
 0100-0200 Lecture: "Counseling the Post Traumatic Stress Disordered Alaskan
 Native and Clinical Understanding/Interventions".
 Speaker: Dean Zuelsdorf, Psy.D., Clinical Psychologist Proposed or TBA
 0200-0300 Video: "Healing The Hurts". Canadian film on PTSD Boarding Schools
 0300-0315 Film Discussion
 0315-0330 Break
 0330-0500 Lecture: "Justice, Law Enforcement Alternative Sentencing & Healing
 and Alaska Native Commission Report"
 Speaker: Rupert Ross Canadian Attorney or Criminal Justice Professor
 University of Alaska, Fairbanks or Anchorage Proposed or TBA

CULTURE DIVERSITY SERVICES FOR ISAT

TRAINING AGENDA

DAY 3

1998

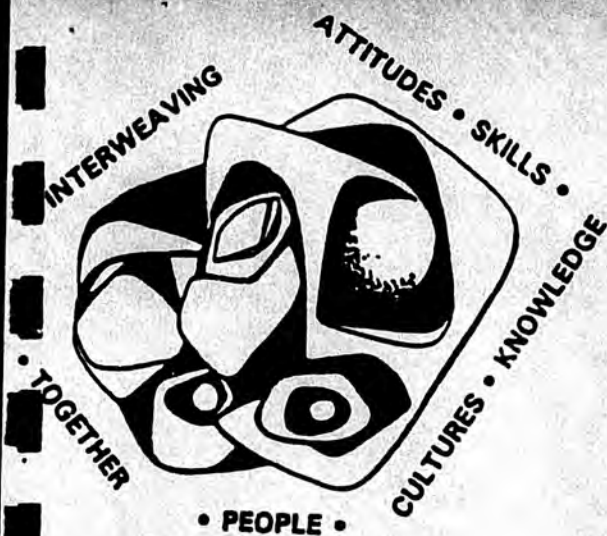
- 0900-0950 Lecture: "Public Health Concerns Related To Substance Abuse: AIDS/FAS/FAE Sexual Abuse & Domestic Violence"
Speaker: ADA Health Facility Surveyor TBA Proposed.
- 0950-1000 Break
- 1000-1050 Lecture: "Model Programs in Rural Alaska the Old Minto Family Recovery Camp TCC and Graf Healing Center Integrating Spirituality, Subsistence and Native Identity into Treatment Programming".
Video: "The Healing Place Fort Yukon Spirit Camp"
Speaker: Victor Joseph, Director Old Minto Family Recovery Camp TCC Proposed Or TBA Native Speaker
- 1100-1200 Lecture: "The Role of Elders In Native Communities & Reentry Issues for DOC Clients Returning to Village Life".
Speaker: Oscar Kavagley, Proposed Native Author UAF Professor
- 1200-0100 Lunch
- 0100-0200 Lecture: "Clinical Issues Differences & Similarities Between Alaska Native and Western Counseling Skills".
Speaker: Peter Baertschy, M.S.W., Director, FNA/TCC Graf Healing Center Proposed or TBA Clinician from Anchorage area.
Video: "Traditional Counseling Interview" Elder to Native Client Film
Video: "Profiles In Spirit" Barrow film
- 0230-0245 Break
- 0245-0500 Lecture: "Special Case Management Issues in Rural Alaska for ISAT Counselors Returning to Villages DOC Clients".
Issues: Relapse Prevention, Re-Entry, Developing Support Systems Dependency Issues, Coerced Sobriety and Relapse Cue Extinction Tools, Cultural Relevance Issues.
Video: "Profiles In Spirit" Barrow film
Speaker: TBA Clinician
- 0500 Post Course Evaluation & Adjournment

Notation: Vendor proposes that two textbooks be purchased and pre-mailed to all students prior to training:

1. Yuuyaraq: The Way Of The Human Being., Harold Napoleon
2. Returning To The Teachings: Exploring Aboriginal Justice., Rupert Ross

Recommended Additional Readings:

1. Dancing With A Ghost: Exploring Indian Reality., Rupert Ross



**INTERIOR & NORTHERN REGIONAL TRAINING OFFICE
REGIONAL CENTER FOR ALCOHOL & OTHER ADDICTIONS
FAIRBANKS NATIVE ASSOCIATION**

201 1ST AVE., 2ND FLOOR
FAIRBANKS, AK 99701
TELEPHONE: (907) 452-1648

February 19, 1998

**TO: ACCDPC[ALASKA COMMISSION FOR CHEMICAL DEPENDENCY
PROFESSIONALS CERTIFICATION]
JIM LABELLE, PROJECT MANAGER, DEPT. OF CORRECTIONS**

COURSE SYLLABUS:

**SUBMITTED BY: JOHN BAERTSCHY, PH.D., DIRECTOR
INTERIOR & NORTHERN REGIONAL TRAINING OFFICE**

COURSE TITLE: CULTURE DIVERSITY SERVICES FOR ISAT PROFESSIONALS

COURSE NUMBER: 250

DEPARTMENT: HST[HUMAN SERVICES TECHNOLOGY]

TRIAL: TRIAL COURSE FIELD TEST

LOCATION: ANCHORAGE, ALASKA

CREDITS: [01] PROPOSED OPTION FOR ACADEMIC CREDIT THROUGH UA-FAIRBANKS

SCHEDULED DATES: APRIL 19-17, 1998 0900-0500 PM

**GRADING POLICY: [OPTIONAL] LETTER GRADE POST TEST 50%
CLASS PARTICIPATION 50%**

1.0 COURSE DESCRIPTION:

The primary purpose of this course is to increase a greater awareness and enhancement of multicultural relevance in delivery of chemical dependency services to Alaskan Native Inmates to include awareness of attitudes, values, skills and knowledge of the diverse impact of delivering those services to Native People. A ten element of a multicultural model will be introduced generically and then specific issues for Native Americans will be discussed to include: acculturation, poverty and economic concerns, history of oppression, language and arts, racism and prejudice, sociopolitical factors, child rearing practices, religious practices, family structure and dynamics and lastly cultural values and attitudes. After this conceptual overlay, the elements of the "Culturally Skilled Counselor" will be introduced for the culturally different client and four conditions of exposure: appropriate process, appropriate goals, condition one, appropriate process and inappropriate goals, condition two, inappropriate process and appropriate goals, condition three and worse case scenario, inappropriate process and inappropriate goals. Understanding of the world view of the culturally different client and guidelines for culturally congruent substance abuse services will be delineated. Differences in communication patterns, differences in values and cultural patterns will be highlighted along with specific barriers and gate opening and gate keeping functions of counseling differences between Western and traditional concepts will be addressed, outlined and discussed and exemplified.

2.0 COURSE OBJECTIVES:

SECTION A: MULTICULTURAL MODEL OF UNDERSTANDING

Student will be able to

- 2.1 Identify the [10] elements of multicultural understanding to include: acculturation, poverty, economic concerns, history of oppression, language and arts, racism and prejudice, sociopolitical factors, child rearing practices, religious practices, family structure and dynamics and listly cultural values and attitudes.
- 2.2 Identify those same [10] elements now specific to Native Americans and a delineation of Native values to include: sharing, cooperation, noninterference, time orientation, extended family orientation, harmony with nature, etc and a comparison with Inupiaq values and middle class non native values.
- 2.3 Gain self-awareness of their own values, personal biases and interests through the use of taking a "Cultural Diversity Questionnaire" and sharing the results with a peer student and discussing the instrument.
- 2.4 Gain understanding of how their own values relate to the five components of culture and how they relate to the [14] themes and value orientations of the dominant culture.

SECTION B: COMMUNICATION PATTERNS OF NATIVES AND NON NATIVES

Student will be able to

- 3.1 Understand differences between the communication patterns of Natives and Non Natives.
- 3.2 What's confusing to Natives about Non-Native presentation of self, distribution of talk and contents.
- 3.3 What confusing to English speakers about Native presentation of self, distribution of talk and contents.
- 3.4 Understand Native communication patterns through participation in an open "Talking Circle" exercise and discussion to application in correctional counseling.
- 3.5 Understand a four element Native Generational Diagnosis and Placement and Conflicts Resolution Scale from the Native American Rehabilitation Assoc.

SECTION C: CULTURALLY SKILLED COUNSELING

Student will be able to

- 4.1 Identify relevant processes and goals in cross cultural counseling and identify four possible conditions: Condition I, Appropriate process and appropriate goals, Condition II, Appropriate Process and Inappropriate Goals, Condition III, Inappropriate Process and Appropriate Goals and lastly Condition IV, Inappropriate Process and Inappropriate Goals(worse case scenario).
- 4.2 Identify the barriers to effective cross-cultural counseling and sources of conflict and misinterpretation in counseling to include: culture bound values, individual centeredness, verbal-emotional-behavioral expressiveness, insight, self-disclosure, cause effect orientations, distinctions between mental and physical functioning, ambiguity, class bound values, language barriers, and role of stereotypes and some cautions.

2.0 COURSE OBJECTIVES CONTINUED:

SECTION D: PROCESSES OF DECULTURATION

Student will be able to

- 5.1 Identify the historical influences that have influenced Alaska's Native People to include: "The Great Death" flue epidemic, religion and boarding school relocations and missionaries and relocation policies of 1940, Western education, Molly Hootch Schools, Alaska Native Settlement Claims Act of 1971, The "Great Society", Oil Boom, Oil Spill and how this relates to alcohol abuse epidemic, and PTSD[Post Traumatic Stress Syndrome] and the loss of "Indianness" and identify and loss of spirituality and its role to both functional and dysfunctional codependency.

SECTION E: PUBLIC HEALTH CONCERNS & 1994 ALASKA NATIVE COMMISSION REPORT

Student will be able to

- 6.1 Understand alcohol's carnage in the Native community with the epidemiology Native death statistics, Native suicides as an affliction of the young, gender gap, the role of its relationships to FAS/FAE and alcohol and Native sex offenses and a breakdown in parenting roles and how alcohol is related to self-medication, effects on Natives' mental health and spiritual well being, physical well being, effects on functioning communities and the lack of adequate and appropriate treatment factors which need to address unique "binge drinking" and the role of family-clans-tribes in treatment versus the traditional twelve step disease concept of individual treatment.

SECTION F: MODEL PROGRAMS

Student will be able to

- 7.1 Outline the historical development of the "Spirit Camp Movement" in Alaska rural settings within the Tanana Chiefs Conference Region.
- 7.2 Describe the "Model Programs" of the TCC Old Minto Family Recovery Camps and the Graf Adolescent Treatment Program and the role of "Spirituality" working with clients referred from corrections and unique role of aftercare and familial community involvement and how spirituality is integrated into treatment programming.

SECTION G: ROLE OF ELDERS

Student will be able to

- 8.1 Understand historical role of elders in the community as it relates to indigenous healing patterns, role of story telling and how elders can be used in aftercare treatment and unique problems of "re-entry" back into both urban and rural settings in Alaska and what are the views of elders as it relates to substance use and abuse and how elders can play a role in alternative criminal justice programs through "Healing Circles".

2.0 COURSE OBJECTIVES CONTINUED:

SECTION H: JUSTICE, LAW ENFORCEMENT & CORRECTIONS ALASKA NATIVE COMMISSION REPORT

Student will be able to

- 9.1 Understand fundamental values and influences: ethic of truth telling and self disclosure, ethic of non-interference, ethic of non-confrontation.
- 9.1a Unique case management issues of re-entry and relapse prevention-aftercare.
- 9.2 Understand problems related to the Legal System: over-representation of Natives, law enforcement and judiciary and corrections, probation and parole and analysis of problems and probable causes.
- 9.3 Outline issues related to local control, village governance, local ordinances, tribal courts and "alternative punishment" at the village level and recommendations for changes in law enforcement and probation and parole and counseling programs within corrections per the commission report.

3.0 COURSE CONTENT: Reference following agenda covering [21] hours of instruction.

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- 4.3 A Yupiaq World View: A Pathway To Ecology & Spirit., Oscar Kawagley., Waveland Press, Prospect Heights, Illinois, 1995.
- 4.4 Dancing With A Ghost: Exploring Indian Reality. Rupert Ross, Reed Books Canada, 75 Clegg Road, Markham, Ontario 1992 [Now McClelland & Stewart Inc., Canbook Distribution Services, 1220 Nicholson Road, Newmarket, Ontario, L3Y 7V1 905-836-5807 or toll free 1-800-399-6858 FAX 1-800-363-2665]
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