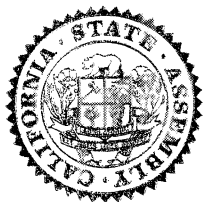


REPORT OF THE
OFFICE OF THE AUDITOR GENERAL
TO THE
JOINT LEGISLATIVE AUDIT COMMITTEE

282.1

AN OPERATIONAL AUDIT OF
CALIFORNIA CORRECTIONAL INSTITUTIONS

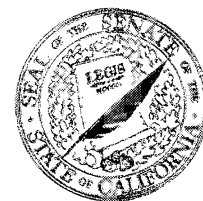
MARCH 1977



Joint Legislative Audit Committee

OFFICE OF THE AUDITOR GENERAL

California Legislature



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March 14, 1977

The Honorable Speaker of the Assembly
The Honorable President pro Tempore of the Senate
The Honorable Members of the Senate and the
Assembly of the Legislature of California

Members of the Legislature:

Your Joint Legislative Audit Committee respectfully submits the Auditor General's first of two reports on the California Correctional Institutions. This report analyzes the functions and activities of the institutional staff and the administration of the Inmate Welfare Fund.

Ninety percent of inmates return to community life, each having cost California taxpayers approximately \$8,000 annually for each year of incarceration. The cost of a federal prison is less. In addressing the dire problems disclosed by the Auditor General, the standing committees to which this report is referred should also consider an agreement with the Federal Government to take over and operate our twelve institutions.

By copy of this letter, the Department is requested to advise the Joint Legislative Audit Committee within sixty days of the status of implementation of the recommendations of the Auditor General that are within the statutory authority of the Department.

The auditors are Harold L. Turner, Manager, Robert J. Maloney, Walter M. Reno and Edwin H. Shepherd.

Respectfully submitted,

MIKE CULLEN
Chairman

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SUMMARY

California's adult correctional institutions are responsible for confining sentenced felons and providing them care and treatment while they are in custody. We have examined the activities and costs of the Department of Corrections correctional officers, correctional counselors, and correctional program supervisors. We also evaluated the wages received by inmates and the procedures followed in administering the Inmate Welfare Fund.

We found that:

- Correctional officers work under substantial amounts of anxiety, use excessive amounts of sick leave which costs the Department \$1,860,000 per year, sustain significant assault and battery rates, and are paid salary and retirement benefits below other state law enforcement officers.
- Correctional counselors spend an inadequate amount of time counseling inmates for treatment purposes, are assigned caseloads too large to adequately discharge their responsibilities, and have inadequate education and no pertinent in-service training.

OFFICE OF THE AUDITOR GENERAL

- Deuel Vocational Institution needs the Correctional Program Supervisor series.
- There are wide variations in inmate wages.
- Regulations governing the operations of the Inmate Welfare Fund in items purchased, handicraft programs, surcharges, employee services, and financial statements need improvement.

INTRODUCTION

In response to a resolution of the Joint Legislative Audit Committee, we have reviewed the operations of the California adult correctional institutions. This review was conducted under authority vested in the Auditor General by Section 10527 of the Government Code.

The audit was approved in two phases. This first phase analyzes the functions and activities of the institutional staff and of the Inmate Welfare Fund. The second phase, to be presented in a later report, reviews correctional educational and industrial programs.

The principal functions of the Department of Corrections are the control, care, and treatment of those convicted of serious crimes and those admitted to the civil narcotic program and committed to state correctional facilities. There are 12 correctional institutions under the Department's control. Expenditures for the institutional program during fiscal year 1975-76 were \$184.8 million, of which \$74.5 million was expended for institutional security costs.

Sections of this report describe the following operational problems:

- Security personnel's working conditions.
- Correctional counselors' limited counseling activities.
- Absence of correctional program supervisors at Deuel Vocational Institution, Tracy.
- Inmate wages.
- Management of the Inmate Welfare Fund.

This is, in part, an informational report in that recommendations are not provided for each problem described. The resolution of some problems would require changes in long-standing state policies, such as the elimination or reduction of the disparities between the pay scales and retirement benefits of correctional and other state law enforcement officers.

AUDIT RESULTS

CORRECTIONAL OFFICERS WORK
UNDER ADVERSE CONDITIONS

Correctional officers in California adult correctional institutions experience significant levels of anxiety, sustain high levels of assault and battery, receive the minimum in pay and retirement benefits compared to other state law enforcement officers, and expend excessive amounts of sick leave which results in substantial cost to cover their absences.

There were 3,843 correctional officers and 470 program supervisors in the Department of Corrections during fiscal year 1975-76. They are responsible for the security and custody of over 20,000 adults who are convicted felons or are admitted to the civil narcotic program within 12 correctional institutions statewide. Some of their duties include: standing watch on armed posts (towers), cell blocks, perimeter security walls, and prison yards; overseeing inmates detailed to mechanical and industrial operations; escorting inmates inside and outside the institutions; and guarding security housing units and gate entrances.

Expenditures for security in the institutional program in the Department of Corrections were \$74,461,777 for fiscal year 1975-76 and are estimated at \$81,989,637 for fiscal year 1976-77.

Correctional Officers Experience
Significant Anxiety Levels

Our analysis of correctional institutions concludes that many correctional officers have significant levels of tension and anxiety. We visited and surveyed nine institutions. We excluded the California Institution for Women (CIW) at Frontera and the California Rehabilitation Center (CRC) at Corona from the following analysis because the inmate population and the institutional environment are dissimilar to the other reported institutions. Thirty-seven percent, or 1,113 correctional officers in those institutions, responded to our survey. Nineteen percent acknowledged that they had been or currently are under a doctor's care for job-related symptoms of either anxiety, stress, high blood pressure, or other problems associated with tension. Seventy-five percent indicated that personal safety, the safety of their fellow officers, the safety of the inmates, or qualified staff coverage were their greatest job-related concerns. The most commonly cited causes of anxiety were personal safety and the security of the institution. (See Appendix A for an example of our survey questionnaire.)

Officers Frequently Assaulted

Our survey was conducted at California State Prison at Folsom (Folsom); California State Prison at San Quentin (San Quentin); the Deuel Vocational Institution (DVI) at Tracy; California Men's Colony (CMC) at San Luis Obispo; California Institution for Men

(CIM) at Chino; Correctional Training Facility (CTF) at Soledad; and the California Conservation Center (CCC) at Susanville. The survey indicates 38 percent of the correctional officers have been physically assaulted at least once during their career. In one institution the assault rate was nearly 50 percent. Of the 38 percent, almost one-third had been the victims of 3 to 5 assaults with battery, 7 percent had sustained 6 to 10 assaults with battery, and 8 percent had 11 to more than 20 assaults with battery.

The number of assaults upon correctional officers cannot be explained by any single cause. In our opinion, an entire range of activities (e.g., gang conflict and drug use) fostering adversary relationships among inmates and officers underlies the attacks. Based on our observations, violence potential is particularly explosive in closely managed and controlled units, especially security housing units, and often manifests itself through assaults by inmates. The following quotes from officers at the Deuel Vocational Institution describe some of these assaults:

. . . I have helped break up riots on the yard, corridors, fieldhouse, housing wings, TV rooms, dining rooms and library. I've had my uniform torn so badly I couldn't wear it. I've had human feces, urine, water thrown on me . . .

and,

. . . In all instances a doctor needed to be consulted. Varied weapons were used including clubs, saps, pipes, weightlifting bars and weights, knives, scissors, soap

with razor blades imbedded in it. I have been involved in three full blown riots. I have received bumps, bruises, contusions, cuts and have been left with a permanent back injury upon which a workmen's compensation claim has been paid . . .

Correctional Officer Profile

The following table is a compilation of the survey data from our analysis of correctional officers in seven institutions. The result is an aggregate profile of a Department of Corrections correctional officer.

TABLE I
AGGREGATE CORRECTIONAL OFFICER PROFILE

Average Age	36.8 years
Average Years as a Correctional Officer	7.3 years
Average Educational Level	13.4 years
Prior Law Enforcement Experience	
Military	36%
City/County/State Police	11%
Other	1%
None	52%
Assault History	
Correctional Officer Assaulted During Career	38%
1 to 2 Assaults	55%
3 to 5 Assaults	30%
6 to 10 Assaults	7%
11 to 20 Assaults	4%
Over 20 Assaults	4%
Stress/Anxiety Problems Needing Medical Treatment	19%
Greatest Job-Related Concern	
Safety/Security/Qualified Staff Coverage	75%
Pay, Retirement, and Benefits	12%
Departmental Apathy to Correctional Officer Concerns	8%
Other	5%

NOTE: These statistics are based on an analysis of the California State Prison at Folsom; California State Prison at San Quentin; Correctional Training Facility, Soledad; California Institution for Men, Chino; The Deuel Vocational Institution, Tracy; California Men's Colony, San Luis Obispo; and California Conservation Center, Susanville.

Table II shows the aggregate profile of correctional officers by institution. Data from the California Institution for Women (CIW) at Frontera and the California Rehabilitation Center (CRC) at Corona, Men and Women's Units, are included in this profile.

TABLE 11
 AGGREGATE CORRECTIONAL OFFICER PROFILE
 BY INSTITUTION

	Folsom	San Quentin	CTF Soledad	CIM Chino	DVI Tracy	CMC San Luis Obispo	CCC Susanville	CIW Frontera	CRC Women's Unit	CRC Men's Unit
Number of Inmates (6/30/76)	1,572	2,069	2,297	2,357	1,158	2,334	910	778	342	1,910
Number of Correctional Officers	344	495	504	539	298	308	67	184	72	261
Number of Responses (Percent of Total)	140 (41%)	130 (26%)	210 (42%)	209 (39%)	142 (48%)	88 (29%)	27 (40%)	22 (12%)	41 (57%)	124 (48%)
Average Age	38.3	36.9	36.4	34.1	37.3	42.4	33.2	33.8	34.5	35.7
Average Years as a Correctional Officer	8.2	7.4	6.6	5.4	8.8	10.6	5.0	4.4	5.9	6.7
Average Educational Level	13.1	13.5	13.4	13.6	13.2	13.5	13.2	14.2	14.3	13.4
Prior Law Enforcement Experience:										
Military	44%	34%	31%	32%	38%	43%	26%	14%	12%	31%
City/County/State Police	6%	12%	10%	11%	11%	13%	18%	5%	7%	6%
Other	--	8%	--	--	--	--	--	14%	5%	6%
None	50%	46%	59%	57%	51%	44%	56%	67%	76%	57%
Assaulted During Career:	32%	48%	39%	28%	43%	49%	18%	18%	7%	17%
1 to 2 Assaults	53%	59%	44%	69%	52%	53%	100%	75%	100%	76%
3 to 5 Assaults	35%	17%	36%	28%	36%	30%	--	--	--	19%
6 to 10 Assaults	2%	10%	9%	3%	3%	14%	--	25%	--	5%
11 to 20 Assaults	7%	6%	2%	--	5%	2%	--	--	--	--
Over 20 Assaults	2%	8%	9%	--	3%	--	--	--	--	--
Stress/Anxiety Problems Needing Medical Treatment	13%	24%	21%	18%	22%	24%	7%	27%	10%	13%
Greatest Job-Related Concerns:										
Safety/Security/Qualified Staff Coverage	79%	85%	64%	66%	79%	69%	93%	32%	51%	65%
Pay/Retirement/Benefits	6%	--	32%	4%	8%	20%	7%	23%	12%	5%
Departmental Apathy to Correctional Officer Concerns	11%	12%	--	8%	13%	10%	--	23%	--	18%
All Other Concerns or None	4%	3%	4%	22%	--	--	--	22%	37%	12%

Low Salary and
Retirement Benefits

Length of service appears to be an important issue for job performance because of the tense, hostile, and potentially explosive environment in which correctional officers work. Correctional officers talk of being "burned out" late in their careers--a phrase that means they have been exposed to the adversities of prison life for too long and are having problems coping with the daily requirements of their duties. Correctional personnel stated that exposure to the inmate population for long periods results in intense cynicism and impairs the ability of correctional officers to effectively deal with inmates. This problem will be further exacerbated as long-range projections show a continuing increase in the inmate population. Until additional facilities are built, this will necessitate housing two men in each cell, a procedure which leads to significant management problems for correctional officers.

Generally, correctional officers receive the same pay and retirement benefits as state police officers. However, correctional officers receive significantly lower pay and retirement benefits than the California Highway Patrol. The following table compares salary and retirement benefits of correctional officers, California highway patrolmen, and state police officers.

TABLE III
STATE LAW ENFORCEMENT
COMPARISON OF PAY AND BENEFITS PER MONTH

	<u>Salary Range</u>	<u>Range Difference Over Correctional Officer</u>	<u>Retirement Benefits</u> ^{1/}	<u>Range Difference Over Correctional Officer</u>
Correctional Officer	\$1,097-1,260		\$ 756.00	
State Police Officer	\$1,072-1,288	+\$ 28.00	\$ 772.80	+\$ 16.80
CHP Officer ^{2/}	\$1,282-1,464	+\$204.00	\$1,098.00	+\$342.00

^{1/} Based on the top of the salary range with the retirement program computed at 2 percent, age 55 and 30 years of service for a correctional officer and a state police officer; and at 2.7 percent, age 55 and 30 years of service for a California highway patrolman.

^{2/} Deputy sheriffs in San Francisco have essentially the same retirement plan as the Highway Patrol. Federal correctional officers have had a 2 percent retirement at age 50 since 1948.

Excessive Amounts of Sick Leave

In fiscal year 1975-76, security personnel used approximately 348,000 hours of sick leave. This averages nearly 11 days per year taken by each correctional officer. In comparison, a fiscal year 1975-76 State Personnel Board semi-annual report on sick leave showed the average state employee used 8.1 days of sick leave. Sick leave rates averaged 35 percent higher for all Departmental correctional officers compared to the average for state employees. We believe that the stressful environment of the correctional facilities is a major factor contributing to officers expending large amounts of sick leave.

This problem exists at most of the institutions we visited. Institutional officials are concerned that correctional officers' continual use of significant amounts of sick leave affects the ability to safely manage institutions and results in substantial additional costs to the State. Currently, when an officer in an essential security position is on sick leave, that post is filled at time-and-one-half salary for more than one-half of the absences.* This practice costs the Department of Corrections in excess of \$700,000 per year.

Of the approximately 348,000 hours of sick leave taken by security personnel, 89,800 hours (26 percent) were covered by other custody personnel; 79,200 hours (23 percent) were not covered; and 179,000 hours (51 percent) were covered at time-and-one-half. The 1975-76 salary cost of covering critical positions with personnel earning time-and-one-half is \$1,860,000 per year. If those positions were covered at straight time, the cost would be \$1,160,000 per year, for a salary savings of \$700,000.

Insufficient Training and Education

Correctional officers are provided two weeks of training prior to assuming custodial and security responsibilities in state correctional institutions. The Department believes that training is essential to officers properly performing their duties, but

*Work in excess of 40 hours per week is required by state law to be filled at time-and-one-half.

many correctional officers believe that their training is too limited. Some officers feel that a six-to-ten-week course would better prepare them to cope with the exigencies of institutional life and the inmate population.

Our survey indicates that the mean educational level of correctional officers is approximately 1.5 years of college. In our judgment, the Department of Corrections should consider requiring a two-year college degree in law enforcement for correctional officers. Further, college courses should continue to be encouraged by the Department and should be made an integral part of the correctional officers' career development program.

CONCLUSION

Correctional officers are not paid comparably with other state law enforcement personnel in terms of salary and retirement benefits. They sustain high rates of assault and battery in the State's correctional institutions. They experience significant levels of tension and anxiety. They compile one of the highest rates of sick leave in State Government, which results in costly substitution. They receive insufficient training.

RECOMMENDATIONS

We recommend that the Department perform a cost-benefit analysis in conjunction with the Public Employees' Retirement System to determine the feasibility of permitting correctional officers to retire at the conclusion of 20 years of service at a discounted rate similar to that mandated by law for county law enforcement officers, and that at age 50 they be provided 2 percent of salary after 20 years and 2.4 percent of salary at age 55 and beyond. The Legislature should be advised of the results.

We further recommend that a similar analysis be performed by the Department in conjunction with the Public Employees' Retirement System to determine the feasibility of granting a lump sum cash settlement of one-half of accumulated sick leave for corrections officers in order that they may retire without abusing the system and that their benefits be realized at retirement. The Legislature should be advised of the results of this analysis.

We also recommend that the Department of Corrections budget for sufficient full-time and permanent intermittent employees so that sick leave relief will be covered at straight time.

BENEFITS

If the studies prove feasible and cost effective, implementation should increase the attendance, performance, and efficiency of correctional officers. Adequate staffing to eliminate overtime costs should save the Department \$700,000 per year in salary expenditures.

CORRECTIONAL COUNSELORS ARE
PROVIDING INADEQUATE COUNSELING

Correctional counselors in the State's adult correctional institutions are not able to fully exercise their primary responsibility--counseling. They have excessive caseloads, inadequate education to perform their jobs, and no in-service training to upgrade their professional skills.

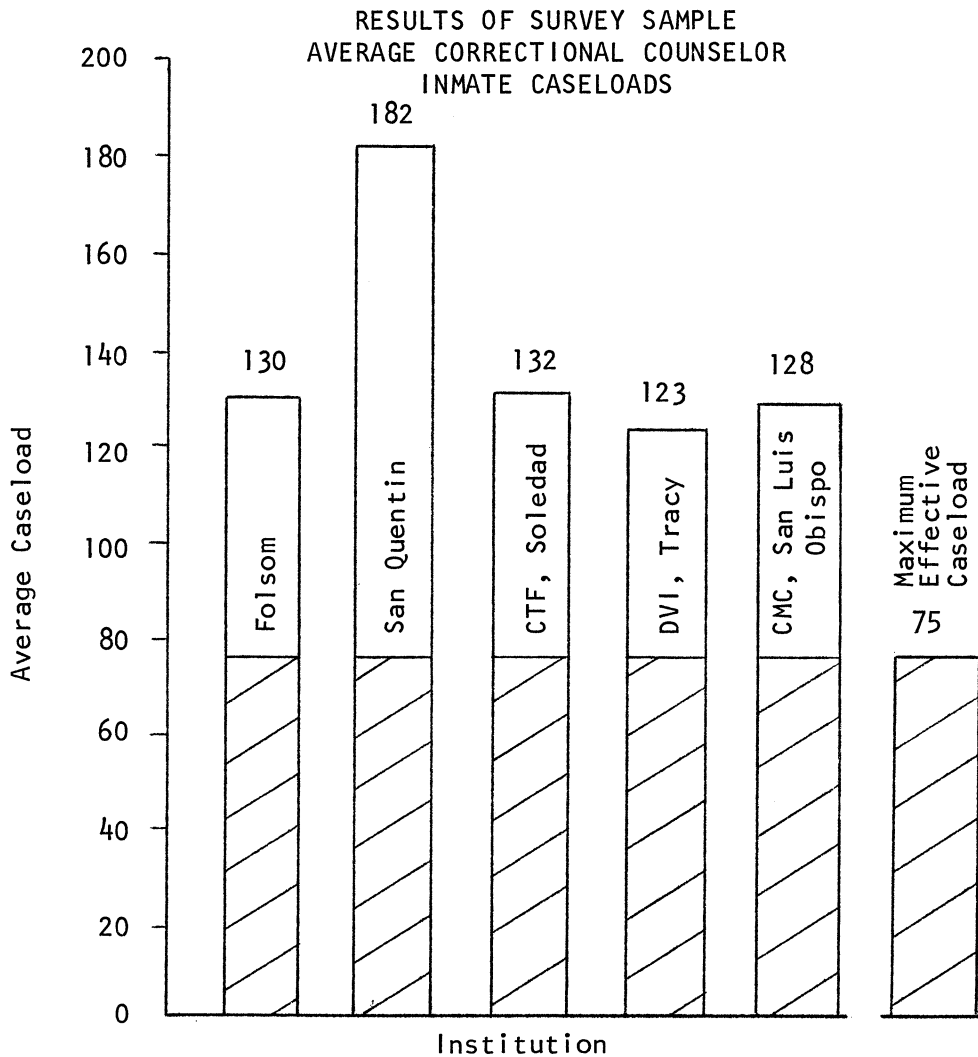
The Department of Corrections had approximately 240 correctional counselors and expended \$8,527,420 for counseling services in the State's adult penal institutions during fiscal year 1975-76. The State Personnel Board's job description of a Correctional Counselor I states:

Under general supervision, to assemble, organize, analyze and record information necessary for classification and parole planning for prison inmates; to interview and counsel inmates and assist with their adjustment and plans for rehabilitation in a correctional setting; and to do other work as required.

Our study shows that 75 percent of a correctional counselor's time involves assembling, organizing, and recording information for classifications, adult authority board reports, and parole and other non-counseling functions. Only 25 percent of the counselor's time is spent directly counseling inmates. In response to our survey in which 51 percent of the correctional counselors responded, 38 percent stated they did not have enough time to directly counsel inmates. Instead, they replied that

they were involved in studying, evaluating, and classifying inmate files and preparing reports. (Appendix B is an example of our correctional counselor questionnaire.)

The following graph depicts the caseloads of correctional counselors in five of the Department of Corrections maximum/medium security institutions. Correctional counselors from all the institutions indicate that a caseload of 75 inmates would be maximum for substantive counseling. At California State Prison at San Quentin, caseloads for correctional counselors we sampled average 182 inmates per counselor but have run as high as 250.



Counseling represents a substantial part of the treatment program provided by the Department of Corrections. It is especially critical because counselors provide a distinct and positive focal point for the inmate population. The counselor's job is designed to offset the restrictive overtones that pervade virtually all the other aspects of institutional activities.

Approximately 79 percent of all correctional counselors in the Department have emanated from the correctional officer ranks. Though the educational qualifications are equivalent to graduation from college, 26 percent of the counselors do not have a college degree; however, they may substitute qualifying experience for their educational requirements. Further, there is no systematic on-the-job or in-service training program provided by the Department of Corrections to upgrade counselor skills in working with inmates.

Most of the institutions we observed provide little substantive counseling to the inmates. The fact that over 90 percent of the inmates will be released into the community is especially critical considering that with the abolition of the indeterminate sentence and its uncertainty regarding release dates and with the implementation of the determinate sentence the inmate population will be scheduled for release at known dates. This should underscore the necessity for intensified counseling. There are individual counselors who attempt to contact as many inmates as possible, but generally counseling is relegated to a

secondary role. At two large institutions, some inmates are seen by their counselor only once a year and then only because the Department of Corrections requires that an inmate's custody classification be annually reviewed by his counselor and custody lieutenant.

Another important problem is the separation that exists between security and treatment. While the paramount concerns of each institution are the custody of inmates and security of the facility, the law provides that care, treatment, education, rehabilitation, and industrial and vocational training are also major functions of correctional institutions. The concern for custody often overrides attempts by counselors to work productively with inmates to open vital avenues of communication and action while they await release.

Inmate activities are determined by security considerations. Only with security personnel's consent are inmates allowed to perform those activities a counselor may feel will assist them in reentering society. If a working relationship between custody and counseling personnel breaks down, the counseling function is secondary.

In the larger institutions inmate caseloads are assigned to counselors based on either the last two numbers of the inmate's Department of Corrections number or on his unit or housing wing. This procedure gives no consideration to the background of the inmate or the counselor.

CONCLUSION

Correctional counselors in the Department of Corrections are immersed in administrative duties that are prohibiting the substantive counseling of inmates. Counselors' caseloads are too high for consistent individual counseling. Counselors' qualifications and training are substandard for the purpose for which the Correctional Counselor series was created.

RECOMMENDATIONS

In order to reaffirm the primary role of the correctional counselor in the Department of Corrections, we recommend:

- All correctional counselors should have a college degree in the behavioral sciences or a related field, and those counselors who presently do not have a degree should be required to begin studies to earn one.
- Correctional counselors should be assigned a maximum caseload of 75 inmates. Under the determinant sentence such an adjustment can be made without increasing the number of counselors. This could be possible by providing intensive counseling to small caseloads of inmates near release and giving more general counseling to larger caseloads of inmates in the earlier term of their sentences.

- The Department of Corrections should implement a program of systematic in-service training for correctional counselors to impart new ideas and techniques in the field.

- The Department of Corrections should insist that custody personnel give maximum consideration and cooperation to counselors' suggestions for inmate behavior development unless it is considered clearly contrary to the safety of the institution.

BENEFITS

Effecting these recommendations will provide correctional counselors with manageable caseloads for individual counseling, provide better educational background to identify behavioral problems in inmates, and recommend programs to improve such behavior. Implementing in-service training programs for counselors will allow them to learn new techniques and upgrade their skills for productive inmate counseling.

CORRECTIONAL PROGRAM SUPERVISORS
COULD BENEFIT THE DEUEL
VOCATIONAL INSTITUTION

The Correctional Program Supervisor (CPS) position in the Department of Corrections is designed to merge the functions of custody and counseling into a single job. The salary of a CPS is five percent greater than that of a correctional officer in each step of the series. CPS duty assignments include maintaining custody and supervising the conduct of inmates; assembling, organizing, analyzing, and recording information necessary for classifying inmates and parole planning; and interviewing, counseling, and assisting inmates with their reentry into society.

Eight institutions have the Correctional Program Supervisor I, II, and III series. Presently, Folsom, San Quentin, and Deuel Vocational Institution do not have the CPS series but utilize the traditional Correctional Officer and Correctional Counselor series instead. For fiscal year 1976-77, 484.6 CPS man-years have been programmed throughout the Department as shown in the following table.

DEPARTMENT OF CORRECTIONS
CORRECTIONAL PROGRAM SUPERVISORS (CPS)

	<u>CPS I</u>	<u>CPS II</u>	<u>CPS III</u>	<u>Total</u>
California Conservation Center (CCC), Susanville	64.8	26.5	14.7	106.0
Sierra Conservation Center (SCC), Jamestown	63.4	25.0	16.8	105.2
Conservation Camps	14.0	3.0	6.0	23.0
California Correctional Institution (CCI), Tehachapi	40.0	8.0	4.0	52.0
California Training Facility North (CTF), Soledad	36.0	7.0	5.0	48.0
Deuel Vocational Institution (DVI), Tracy	--	--	--	--
California State Prison at Folsom	--	--	--	--
California Institution for Men (CIM), Chino	32.0	13.0	8.0	53.0
California Men's Facility (CMF), Vacaville	38.0	4.0	--	42.0
California Men's Colony	30.0	4.0	2.0	36.0
California State Prison at San Quentin	--	--	--	--
California Institution for Women, Frontera	<u>18.4</u>	<u>1.0</u>	<u>--</u>	<u>19.4</u>
Total	<u>336.6</u>	<u>91.5</u>	<u>56.5</u>	<u>484.6</u>

The effectiveness of the CPS series lies mainly with the younger inmates since CPS personnel actually live with the inmates for 8 to 16 hours per day and handle both custody matters and counseling needs. At the North Facility of the Correctional Training Facility, Soledad, correctional program supervisors have

stabilized a dangerous situation among young problem inmates in the management control unit (Unit II) through their constant presence and increased communication with inmates. The success of this series in Unit II is evidenced by the following factors as described by the California Training Facility:

- Although every identified problem inmate in the CTF Complex was placed in Unit II (in December 1973), the number of serious incidents did not significantly increase over a long period of time.
- Inmate members of prison gangs that usually are unable to peacefully coexist in an institution have been able to do so for a prolonged period in Unit II.
- Inmates who have been identified as threats to the safety and security of institutions throughout the State have been placed in Unit II, again without a significant increase in the number of violent incidents.
- A large number of inmates who have been in security housing units for long periods of time have been able to be absorbed into the Unit II population without causing the type of unmanageable problems they usually do.

The correctional program supervisor's dual role as custodian and counselor necessitates smaller caseloads. According to our survey, the average caseload is about 17 inmates per correctional program supervisor. (Appendix C is an example of our correctional program supervisor questionnaire.) Present requirements for a CPS I are equivalent to one year of college and generally one year of experience in a correctional related field; for a CPS II, one year of experience as a CPS I or correctional

sergeant or three years' experience in California state service performing duties comparable to those of a correctional officer, work assistant or group supervisor, or youth counselor; and, for a CPS III, two years of experience in California state service in custody, classification, or treatment work performing the duties of a class with a salary range not less than that of correctional sergeant. Educational requirements of the CPS series should be substantially upgraded in order that the supervisors may become more proficient in the counseling aspect of their job responsibilities. The CPS series has demonstrated its potential to effectively interact with the younger inmates who have heavy gang involvement, intense peer pressures, and a need for communication apart from their fellow inmates.

The Deuel Vocational Institution at Tracy appears especially amenable to the use of the CPS series. The average age of the inmate population at this facility is 23.5 years. Gang elements at DVI pervade the inmate population and materially affect institutional efforts for productive inmate involvement.

In November 1973 a correctional officer was killed in a housing wing at DVI. Grilled lattice works were then installed at the entrances to the residential wings, and correctional counselors moved their offices outside the units. Because of these grilled security areas, inmates are left virtually alone in the units which are three tiers in height and number approximately 120 cells per unit.

Implementing the Correctional Program Supervisor series in the residential units at DVI would require additional staffing of CPS personnel, but if the results parallel those achieved at Soledad, they could reduce hostility in what DVI correctional officers term the most violent institution in the United States. If correctional program supervisors worked with inmates 16 hours a day, they could increase communication with inmates and dilute the high levels of tension.

NOTE: CPS assault rates average 1.4 per officer whereas correctional officer assault rates average 3.9 per officer during their career.

CONCLUSION

The Correctional Program Supervisor series is valuable in working with the younger inmate population. CPS personnel have more opportunity to improve communication and effect closer custody control over inmate activities.

RECOMMENDATION

We recommend that the Department consider adding correctional program supervisor personnel in each housing unit of the Deuel Vocational Institution. We recommend further that at least one-third of those CPS personnel assigned to DVI be bi-lingual/bi-cultural to effect greater communication with the Spanish-surname inmates.

BENEFITS

Assigning the CPS series to the housing units of the Deuel Vocational Institution could reduce violence, increase communication with the inmate population, allow for more individual counseling and custody in the daily activities of the inmates, and provide the means to dilute the high degree of gang activity that pervades the institution.

INMATE WAGES IN THE STATE'S
CORRECTIONAL INSTITUTIONS--AN
ANALYSIS FOR LEGISLATIVE CONSIDERATION

Most inmate wages in the State's correctional institutions are derived from two sources: the correctional industries program and the State's general or support fund.

Correctional Industries Program

The correctional industries program is a self-supporting program that operates 23 industrial and 7 agricultural enterprises in 11 of the State's 12 correctional institutions. Products of the correctional industries program include clothing, textile products, wood and metal furniture, metal products, detergents, mattresses, and bedding. Automobile, truck and motorcycle license plates and annual renewal stickers are also products of this program. Other enterprises include dairies, laundries, dry cleaning plants, and furniture factories.

The correctional industries program is regulated by the Correctional Industries Commission, a supervisory board appointed by the Governor. The correctional industries program employs 1,868 inmates in six institutions and about 2,000 inmates systemwide. For fiscal year 1975-76 the program's revolving fund expenditures were \$14,006,280. The Department of Corrections budget indicates that the average inmate in the industries program earns \$29.42 per month.

To prevent adverse impact on private enterprise, correctional industry products may only be sold to tax-supported agencies, government corporations, and prison inmates. Annual production is limited by statute and by limitations established by the Commission. Prevailing market prices must be charged for all products and no new enterprises with gross annual production over \$25,000 can commence without public hearings to evaluate the potential effect on the economy and the approval of the Commission.

Support Funding

In the fiscal year 1976-77 Governor's budget, support funding for noncorrectional industries employment was requested at \$1,037,920, which included an augmentation of \$100,000 for inflation. This amount averages to \$58.18 per inmate per year based on the 17,841 inmates who are not employed in the Forestry Camps and correctional industries. The \$58 figure is not an accurate indicator, however, since approximately 58 percent of the inmates do not work during their confinement or are assigned to nonpaying activities, i.e., vocational training or education.

Inmate support fund work assignment positions include clerks, porters, electricians, helpers, tier tenders, gate assistants, culinary help, ground crews, etc. Salaries range from \$9 per month for an operations file clerk at San Quentin to \$37.50 per month for a skilled worker and leadman at DVI, Tracy.

Inmate Needs

Even though the State provides free items such as soap, toothbrushes, tobacco, and razors, inmates consider \$25 per month the minimum to meet basic institutional needs. At eight institutions 92 percent of the 4,151 inmates who were being paid from the general fund earned less than \$25 per month. The average salary was \$14.12 per month.

Each inmate is provided an Inmate Trust Account by the institution in which he or she is confined. At California State Prison at Folsom inmates are apprised monthly of their current balance. There is no limit on the amount of money inmates can spend or the number of transactions they can make per month. Thus, inmates are free to purchase from the canteen as much as they are able. They may also send money outside the institution to whomever they choose.

Our analysis at California State Prison at Folsom showed that during the fourth quarter of fiscal year 1975-76, 55 to 65 percent of the inmates would have received less than \$25 per month if other funds had not been sent by friends or relatives. The study further showed that even considering out-of-prison contributions, 40 to 50 percent of the inmates had less than \$25 per month. Overall, whether they received outside funding or not, 50 to 60 percent of the inmates were living on less than \$25 per month.

Based on our analysis, a major problem with the current inmate wage structure is that it barely allows for the majority of inmates to subsist within the institution. As a result, some inmates pressure their families to send them money. This can create hardships for their families if they are supported by welfare.

Many work assignments paid out of the general support fund are basically make-work employment for the good of the institution and appear to have little or no relationship to the redevelopment of the inmates. Such jobs as file clerk, BOQ janitor, bookroom clerk, scullery feeder, hot food runner, mop man, coffee man, and sandwich man are examples.

The work performed by many inmates bears no resemblance to the work they will perform or wish to perform in society. In addition, most inmates in vocational and educational programs receive no pay.

Both staff and inmates claim that the subject of inmate wages has an extremely low priority with society since unemployment in the State is running high. Further, they recognize the fact that there is little or no sympathy in society for convicted felons and their wage problems.

IMPROVEMENT NEEDED IN
THE INMATE WELFARE FUND

California Department of Corrections (CDC) policies and regulations for Inmate Welfare Fund (IWF) expenditures are not definitive, are often confusing, and can be interpreted as being in conflict with the Penal Code.

Conflict with the Penal Code

The Inmate Welfare Fund is authorized by Penal Code Section 5006 as a trust fund for the benefit and welfare of inmates. This section states that "The money in the fund shall be used for the benefit, education, and welfare of inmates. . . ." The objectives stated in the CDC Business Administration Manual (BAM) are: 1) to purchase leisure time articles for inmate use, 2) to provide opportunities and training for inmates to be creative and to profit from their products, and 3) to make essential items available for purchase by inmates.

Some of the items not to be charged to the IWF under Section 3011, Chapter 30 of the CDC BAM are:

- Shop equipment, tools, etc., used . . . in teaching arts and crafts.
- Postage on library books (text and reference books).
- Correspondence courses.
- Purchase of nonfiction, text, or reference books.

The Department does not allow expenditures for educational elements (books, correspondence courses, and teaching arts and crafts) by the Inmate Welfare Fund. This can be interpreted as being in conflict with the above-quoted code section since inmates without funds are precluded from participating in the educational process.

California Department of
Corrections Guidelines

The guidelines set forth by the California Department of Corrections Business Administration Manual (BAM) are in some instances vague and confusing with regard to expenditures that can be charged against the IWF.

Section 3011, Chapter 30, of the BAM specifically lists the types of expenditures which will not be charged to the IWFs. However, Section 3010 of the same Chapter states "If Inmate Welfare Funds are available, purchases or services normally paid from Support, except for radio, television and recreation expenses, may be charged to the Inmate Welfare Fund if the item meets the criteria of an inmate benefit."

The broad guidelines of Section 3010 effectively negate the provisions of Section 3011. In most cases the criteria of "for inmate benefit" is met through the approval of the institution's inmate advisory committee. Sections 3005 and 3009 of the

BAM require an inmate advisory committee or other group representing the inmate body, yet California State Prison at Folsom has no such committee.

The Inmate Welfare Fund subpurchase orders for the 1975-76 fiscal year were examined at eight institutions. At seven of the institutions, \$600 to \$5,000 in questionable expenditures, as determined by the applicable Section of Chapter 30 of the BAM, were charged to the Inmate Welfare Funds.* However, the "inmate benefit" criteria makes all but a few of these purchases acceptable. Examples of questionable items include an addressing machine, office supplies, and typewriters.

Handicraft Programs

There is no specific ruling at the California Department of Corrections concerning the source of the handicraft program manager's salary other than that the expenditure for the manager may be financed from the Inmate Welfare Fund. Of the four institutions with formal handicraft programs, two pay the program manager's salary from general support funds and two pay the salary from IWF monies. The \$20,000 salary of the handicraft program manager at Folsom is paid by the Inmate Welfare Fund and benefits only the 700 inmates in the program. If this salary were paid from the general fund, the \$20,000 of IWF monies could be used to

*No variance from CDC rules was found at California Institution for Women.

benefit the entire inmate population. The handicraft programs at six institutions have proven to be a valuable source of income for the IWFs. However, at the nine institutions we visited, five do not have a formal handicraft program.

It is a misdemeanor for any person to sell, expose for sale, or offer for sale within this State any article or articles manufactured wholly or in part by convict or other prison labor. As a result, inmates may send articles as gifts to relatives, friends, or other designated parties or may sell their articles through the handicraft shops in the institutions in which they are confined. Currently there does not appear to be a valid reason why inmate handicraft articles should not be sold on the free market, thus providing them the opportunity to receive higher remuneration for their work.

There is not a large market area available for inmate handicrafts at several of the institutions. The largest town within 25 miles of either the California Conservation Center, Susanville, or Sierra Conservation Center, Jamestown, has a population of 5,000 to 10,000, and at California Correctional Institution, Tehachapi, the largest town is in the 2,500 to 5,000 range. The location of these institutions restricts the available markets for handicraft goods that may be produced.

Surcharge on Sales

A nine percent surcharge, credited to the Inmate Welfare Fund, is assessed on all handicrafts sold except art. On art the surcharge is 24 percent. The reason given for the higher surcharge on art products is the higher cost of special shows. Even when handicrafts, other than art, are sold at a special show, there is no increase in the surcharge for those items. When art work is displayed and sold at a special show, with increased cost, the difference in surcharge appears to be reasonable. When there is no documented special handling of art, there appears to be no valid reason for the increased surcharge. A more equitable system of surcharges would be appropriate.

Employee Service

Another source of income for the Inmate Welfare Fund is the provision of employee services by inmates. These services range from shoe shines to major automobile body repair. Section 07, Chapter XL CDC BAM suggests a special service charge for or donations to the IWF from employees utilizing the services. The service charges or donations currently in effect at the institutions range from nothing to a flat rate charge to a percentage of inmate salary. At some of the institutions, the employee pays for the cost of the inmate labor; at others he does not.

Financial Statements

Quarterly Inmate Welfare Fund financial statements and the required biennial audits by the Department of Finance are to be posted for the inmates to review. The financial statements prepared by the Department of Corrections are too complex for the average inmate (eight years education level) to understand. A simplified statement of operations for each reporting period showing the beginning fund balance, revenue, expenditures, and the ending fund balance would be more appropriate. This revision would enable the inmates to obtain more meaningful and comprehensible information.

CONCLUSION

California Department of Corrections policies and procedures for control of Inmate Welfare Funds are confusing and can be interpreted as being in conflict with the Penal Code. The purchase of educational items has been restricted, and published guidelines are so vague as to allow the purchase of questionable items. Handicraft programs and sales are not uniformly administered. Employee services are provided without standardization.

RECOMMENDATIONS

We recommend that the California Department of Corrections:

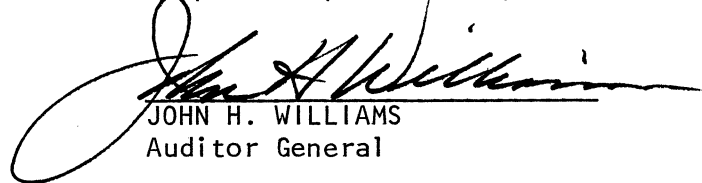
- Change the criteria in the Business Administration Manual to allow Inmate Welfare Funds to be used for the purchase of educational items.
- Change Chapter 30 of the Business Administration Manual to more clearly define authorized and unauthorized expenditures.
- Establish an inmate advisory committee at California State Prison at Folsom.
- Establish formalized handicraft programs at all institutions with the manager's salary to be paid from support funds.
- Charge an appropriate incremental surcharge only on goods sold at special shows.
- Seek change in the current law to allow items made by inmates to be sold on the free market.
- Evaluate alternative marketing means for handicrafts produced at those institutions with a small local market.
- Standardize the service charge for employee services provided by inmates at all institutions.

- Post simplified Inmate Welfare Fund financial statements and place them in the inmate newspaper for inmates to review.

BENEFITS

Implementing these recommendations will bring the California Department of Corrections into compliance with the law and provide greater educational opportunities to the inmates. There will be fewer inappropriate expenditures, and a greater income for the inmates and the Inmate Welfare Funds will be generated. Inmates will be able to more readily understand the operations of the IWF.

Respectfully submitted,



JOHN H. WILLIAMS
Auditor General

March 11, 1977

Staff: Harold L. Turner
Robert J. Maloney
Walter M. Reno
Edwin H. Shepherd

State of California

M e m o r a n d u m

Mr. John H. Williams, Auditor General
 Joint Legislative Audit Committee
 Office of the Auditor General
 925 "L" Street, Suite 750
 Sacramento, California 95814

Date: March 9, 1977

File No.:

Subject: Operational Audit
 of California
 Correctional Institutions

From: Department of Corrections, Sacramento 95814

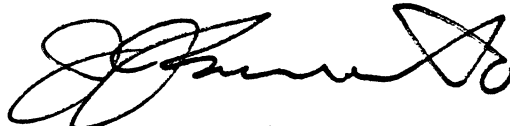
The draft report of the Auditor General covers many areas that are of concern to the Department of Corrections, and we appreciate this opportunity to review the findings and suggestions.

Many of the recommendations such as increasing the number of Correctional Program Supervisors; increasing inmate pay; and paying handicraft supervisors from the General Fund have budgetary considerations and could be addressed in future budget proposals.

* * * ^{1/}

Also, your comments concerning the Inmate Welfare Fund are quite timely as we currently are reviewing the surcharge on handicraft and markup on canteen merchandise.

At a later date you may expect our response to each specific recommendation, and, may I add, it is a well written report that will be of assistance to us in improving our operations.



J. J. ENOMOTO
 Director of Corrections

^{1/} Comments deleted refer to items shown in draft report but not included in this report.

OFFICE OF THE AUDITOR GENERAL
 QUESTIONNAIRE FOR
 DEPARTMENT OF CORRECTIONS
CORRECTIONAL OFFICERS

Institution _____ Name (OPTIONAL) _____

I. Rank (Check appropriate space)

Officer _____ Present age _____
 Sergeant _____
 Lieutenant _____

II. Number of years as a CDC Correctional Officer

0-1 _____ 5-10 _____
 1-3 _____ 10-20 _____
 3-5 _____ 20 and Over _____

III. Academy Training (Indicate as many as apply)

Modesto JC _____
 1 wk 2 wk

CRC _____
 1 wk 2 wk

None _____

IV. Education (Check highest level reached)

High school equivalency _____
 High school diploma _____
 2 years college without degree _____
 2 years college with AA degree _____
 4 years college without degree _____
 4 years college with degree _____
 More than 4 years college _____

V. Prior law enforcement experience

<u>Type</u>	<u>Check as Many As Apply</u>	<u>Indicate Number Of Years</u>
Military	_____	_____
City	_____	_____
County	_____	_____
CHP	_____	_____
State Police	_____	_____
Other (If other, please describe)	_____	_____

VI. Present institution custodial employment (ie., tower, cell block, yard, culinary, etc.) and watch

Employment _____ Watch _____

VII. Have you ever been or are you currently under the treatment of a physician for job related symptoms of either anxiety, stress, high blood pressure; or other tension related problems?

Yes _____ No _____

VIII. A. Have you ever suffered a heart attack while working with the California Department of Corrections? Yes ___ No ___

B. If yes to the above, what was your age at the time of the attack? _____

C. Was the heart attack considered to be employment related?
Yes ___ No ___

(Continued)

IX. Correctional Officer - Physical Assault History

In response to this question, physical assault constitutes being attacked or manhandled by an inmate to a degree that caused a bruise or greater injury.

- A. Have you ever been assaulted by an inmate? Yes ___ No ___
- B. If yes, indicate the number of times you were assaulted during your career. ____
- C. List the most severe assaults on your person, as indicated below.

<u>Year</u>	<u>Institution</u>	<u>Location Within Institution</u>	<u>No. of Inmates Involved</u>	<u>Assault Weapons Used</u>	<u>Injury Sustained</u>	<u>Was a Doctor Consulted?</u>

X. Briefly state what you consider to be your greatest job-related concern as a correctional officer.

OFFICE OF THE AUDITOR GENERAL
 QUESTIONNAIRE FOR
 DEPARTMENT OF CORRECTIONS
CORRECTIONAL COUNSELORS

Institution: _____ Name (optional) _____

I. Please indicate what Correctional Counselor Classification you occupy.

CC-I _____ CC-II _____ CC-III _____

II. Your present age: _____.

III. How many years have you been a Correctional Counselor/Institutional Parole Officer? (Please check appropriate space.)

0-1 _____ 5-10 _____
 1-3 _____ 10-20 _____
 3-5 _____ 20 & Over _____

IV. Have you had prior Department of Corrections employment?

	<u>No</u>	<u>Yes</u>	<u>Years</u>
C.O.	_____	_____	_____
Sgt.	_____	_____	_____
Lt.	_____	_____	_____
CPS I	_____	_____	_____
CPS II	_____	_____	_____
CPS III	_____	_____	_____

V. Education (Check highest level reached).

High school equivalency _____
 High school diploma _____
 Two-year college without degree _____
 Two year college with a degree _____
 Four-year college without degree _____
 Four-year college with degree _____
 Over four years college _____

VI. Do you believe that continuing education for employment skill development is necessary? Yes _____ No _____

VII. Are you provided continuing education courses by the Department of Corrections? Yes _____ No _____

If yes, please list last two courses taken.

1.

Name of Course	Date	Location
----------------	------	----------
2.

Name of Course	Date	Location
----------------	------	----------

VIII. What is your present caseload? _____
Number of Cases

IX. Please estimate as a percent, the amount of your time spent on the following:

Inmate file and other paperwork preparation _____
Adult authority and institution committee activities _____
Direct inmate counseling _____
Other _____

TOTAL 100.0%

X. Please indicate the frequency with which you counsel individually your entire assigned caseload.

Once every

<u>3 months</u> or less	<u>3-6 months</u>	<u>6-9 months</u>
<u>9-12</u> months	<u>Over</u> 12 months	

XI. How often do you believe, as an average, an inmate should be counseled?

<u>3 months</u> or less	<u>3-6 months</u>	<u>6-9 months</u>
<u>9-12</u> months	<u>Over</u> 12 months	

XII. Correctional Counselors - Physical Assault History

In response to this question, physical assault constitutes being attacked or manhandled by an inmate to a degree that caused a bruise or greater injury.

- A. Have you ever been assaulted by an inmate while a Correctional Counselor? Yes ___ No ___
- B. If yes, indicate the number of times you were assaulted during your career. ___
- C. List the most severe assaults on your person as a Correctional Counselor.

<u>Year</u>	<u>Institution</u>	<u>Location Within Institution</u>	<u>No. of Inmates Involved</u>	<u>Assault Weapons Used</u>	<u>Injury Sustained</u>	<u>Was a Doctor Consulted?</u>
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XIII. Briefly state what you consider to be your greatest job-related concern as a Correctional Counselor.

QUESTIONNAIRE FOR
DEPARTMENT OF CORRECTIONS
CORRECTIONAL PROGRAM SUPERVISORS

APPENDIX C

Institution _____

Name (Optional) _____

- I. Please indicate what current Correctional Program Supervisor Classification you occupy.
- CPS-I _____ CPS-II _____ CPS-III _____
- II. Your present age _____.
- III. How many years have you been a Correctional Program Supervisor?
(Please check appropriate space.)
- 0-1 _____ 3-5 _____ 10 & over _____
1-3 _____ 5-10 _____
- IV. Have you had prior Department of Corrections employment? Yes _____ No _____
- | If yes: | <u>Position</u> | <u>No. of Years</u> |
|---------|-----------------|---------------------|
| | C.O. | _____ |
| | Sgt. | _____ |
| | Lt. | _____ |
| | CC I | _____ |
| | CC II | _____ |
| | CC III | _____ |
- V. Academy Training (Indicate as many as apply)
- | | | |
|------------------------|-------|-------|
| Modesto JC | _____ | _____ |
| | 1 wk. | 2 wk. |
| CRC | _____ | _____ |
| | 1 wk. | 2 wk. |
| Other (Please specify) | _____ | |
| None | _____ | |
- VI. Education (Check highest level reached)
- | | |
|--------------------------------|-------|
| High school equivalency | _____ |
| High school diploma | _____ |
| 2 years college without degree | _____ |
| 2 years college with AA degree | _____ |
| 4 years college without degree | _____ |
| 4 years college with degree | _____ |
| More than 4 years college | _____ |

(continued on back)

VII. Prior law enforcement experience

<u>Type</u>	<u>Check as Many As Apply</u>	<u>No. of Years</u>
Military	_____	_____
City	_____	_____
County	_____	_____
CHP	_____	_____
State Police	_____	_____
Other (Please describe) _____	_____	_____

VIII. Do you believe that continuing education for employment skill development is necessary? Yes _____ No _____

IX. Are you provided continuing education courses as a CPS by the Department of Corrections? Yes _____ No _____

If yes, please list last two courses taken.

1. _____

Name of Course	Date	Location
----------------	------	----------
2. _____

Name of Course	Date	Location
----------------	------	----------

X. Present institution custodial employment (i.e., tower, cell block, yard, culinary, etc.) and watch.

Employment _____ Watch _____
 Location within Institution _____

XI. What is your present caseload? _____
 Number of Cases

XII. Please estimate as a percent, the amount of your time spent on the following:

Custodial Activity	_____
Inmate file and other paperwork preparation	_____
Adult authority and institution committee activities	_____
Direct inmate counseling	_____
Other	_____
TOTAL	100.0%

XIII. Have you ever been or are you currently under the treatment of a physician for job-related symptoms of either anxiety, stress, high blood pressure; or other tension-related problems? Yes _____ No _____

XIV. Have you ever suffered a heart attack while working with the California Department of Corrections? Yes _____ No _____

If yes, what was your age at the time of the attack? _____

Was the heart attack considered to be employment related? Yes _____ No _____

XV. Correctional Program Supervisor--Physical Assault History

In response to this question, physical assault constitutes being attacked or manhandled by an inmate to a degree that caused a bruise or greater injury.

- A. Have you ever been assaulted by an inmate? Yes _____ No _____
- B. If yes, indicate the number of times you were assaulted during your career _____.
- C. Number of above that occurred while a CPS _____.
- D. List the most severe assaults on your person, as indicated below.

<u>Year</u>	<u>Institution</u>	<u>Location Within Institution</u>	<u>No. of Inmates Involved</u>	<u>Assault Weapons Used</u>	<u>Injury Sustained</u>	<u>Was a Doctor Consulted?</u>
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XVI. Briefly state what you consider to be your greatest job-related concern as a Correctional Program Supervisor.

Office of the Auditor General

cc: Members of the Legislature
Office of the Governor
Office of the Lieutenant Governor
Secretary of State
State Controller
State Treasurer
Legislative Analyst
Director of Finance
Assembly Office of Research
Senate Office of Research
Assembly Majority/Minority Consultants
Senate Majority/Minority Consultants
California State Department Heads
Capitol Press Corps