

OKLAHOMA BOARD OF CORRECTIONS
REGULAR MEETING AGENDA
Oklahoma Department of Corrections
3400 N Martin Luther King Ave
Oklahoma City, OK 73111
1:00 PM on November 13, 2019

Members of the Board of Corrections will be dining together before the Board meeting.
No business will be conducted during this time period.

ITEM	PRESENTER
1. Call to Order A. Pledge of Allegiance B. Roll Call	Scott Crow, Interim Director
2. Introduction of Randy Chandler, Board of Corrections Member	Scott Crow, Interim Director
3. Introduction of Stephan Moore, Board of Corrections Member	Scott Crow, Interim Director
4. Election of Officers	All Members
5. Chairman's Comments	Chair
6. Approval of Board of Corrections Regular Meeting Minutes for: A. September 4, 2019	Scott Crow, Interim Director
7. Director's Comments	Scott Crow, Interim Director
8. Approval of Board of Corrections Policy: A. P-010200, Operating Procedures and Policies for the Oklahoma Board of Corrections	Penny Lewis Chief Compliance Officer
9. FY 2019 Internal Financial Audit Quarterly Update A. BOC Internal Audit Summary Report – 4 th Quarter FY 19	Penny Lewis Chief Compliance Officer

10. GEO Contract Changes for PC Beds
 A. GEO Correctional Services Contract 11-4-19 Amendment 2
 James Rudek, Director
 Community Corrections
 Gary Elliott, Acting General
 Counsel
11. Legislative Initiatives Update
 A. Staff's Suggested Legislative Requests for the 2020 Session
 Jessica Brown, Director
 Communications
12. Inmate/Offender Population Update
 A. BOC Population Analysis 10-31-19
 Millicent Newton-Embry, Director
 Offender Services
13. Budget Updates
 A. Clemmons Board Reports Sept 20
 B. FY 2020 Appropriated Operating Budget 9-30-19 Detailed
 C. Copy of Statement of Federal Funds July – September FY 20
 D. Copy of Statement Revolving Funds July – September FY 20
 Ashlee Clemmons, Director
 Business Services
14. FY 2021 Budget Request
 A. FY 2021 Budget Request
 Ashlee Clemmons, Director
 Business Services
15. Commutation Project Update
 Clint Castleberry
 Chief of Staff
16. New Business
 Chair
17. Approval to Enter into Executive Session
 Gary Elliott, Acting
 General Counsel
- Pursuant to 25 O.S. § 307(B)(9), the Board of Corrections may discuss in Executive Session matters involving safety and security at state penal institutions or correctional facilities used to house state inmates.*
- Pursuant to 25 O.S. § 307(B)(4), the Board of Corrections may have confidential communications with its attorney concerning a pending investigation, claim, or action if the Board of Corrections, with the advice of its attorney, determines that disclosure will seriously impair the ability of the Board of Corrections to process the claim or conduct a pending investigation, litigation, or proceeding in the public interest.*
- A. Homicide and Assault and Battery with Dangerous Weapon at Dick Conner Correctional Center on September 15, 2019 (Case Number IG 19-0271)
- B. Homicide of inmate Mark Lawhead #481394 at Oklahoma State Penitentiary on October 19, 2019 (Case Number IG 19-0271)
- C. Update on Homicide of Rosco Craig #737554 at Davis Correctional Facility on June 24, 2019 (Case Number IG 19-0144)

18. Approval to Return from Executive Session

Chair

19. Adjournment

Chair

The next regular meeting of the Board of Corrections will be held at 1:00 PM on Wednesday, January 15, 2020 at the Oklahoma State Penitentiary in McAlester, Oklahoma.

Updated on 11/12/2019 9:45 AM

Item #6
Approval of 9-4-19 BOC Minutes

**OKLAHOMA BOARD OF CORRECTIONS
REGULAR MEETING MINUTES
September 4, 2019**

1. Call to Order

Chairman Steven Harpe called the regular meeting of the Oklahoma Board of Corrections (BOC) to order at 1:00 PM on Wednesday, September 4, 2019, at the Oklahoma Department of Corrections (ODOC), 3400 North Martin Luther King Avenue, in Oklahoma City, Oklahoma.

The meeting was preceded by advance notice of the date, time, and place, filed with the Oklahoma Secretary of State on October 31, 2018. An amended meeting notice changing the time was posted with the Oklahoma Secretary of State on May 1, 2019. An announcement was also given at least twenty-four (24) hours in advance by posting notice of the date, time, place, and agenda of the meeting at 12:39 PM on Tuesday, September 3, 2019, at the principal office of the ODOC, located at 3400 North Martin Luther King Avenue in Oklahoma City, Oklahoma.

A. Pledge of Allegiance

Chairman Harpe led the meeting attendees in reciting the pledge of allegiance to the United States Flag.

B. Roll Call

Chairman Harpe asked the clerk to call the roll:

Betty Gesell	Absent	Michael W. Roach	Present
Joseph Griffin	Absent	T. Hastings Siegfried	Present
Steven Harpe	Present	Rodney Thornton	Present
Lynn Haueter	Present	Daryl Woodard	Present
Dr. Kathryn LaFortune	Present		

Calling of the roll reflected a quorum was present.

2. Approval of Board of Corrections Regular Meeting Minutes

Chairman Harpe requested approval of the meeting minutes as presented to members in the BOC Packet for September 4, 2019.

A. August 14, 2019

Motion: Mr. Siegfried made motion to approve the minutes. Mr. Woodard seconded the motion.

Results:

Betty Gesell	Absent	Michael W. Roach	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Steven Harpe	Approve	Rodney Thornton	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

Meeting minutes for August 14, 2019 were approved by majority vote. There was no further discussion.

3. Vice-Chairman Election

During the August meeting there was a discrepancy in the recording of the votes for Vice-Chairman. Chairman Harpe requested a revote and nominations for the position of Vice-Chairman of the BOC

Motion:

Mr. Haueter moved to nominate Mr. Thornton as vice chairman; motion seconded by Dr. LaFortune.

Results:

Betty Gesell	Absent	Michael W. Roach	Yes
Joseph Griffin	Absent	T. Hastings Siegfried	Yes
Steven Harpe	Yes	Rodney Thornton	Abstain
Lynn Haueter	Yes	Daryl Woodard	Yes
Dr. Kathryn LaFortune	Yes		

Mr. Thornton elected as Vice-Chairman by majority vote so no additional votes taken.

4. Chairman’s Comments

Chairman Harpe voiced concern over discrepancies in the agency’s budget numbers. Mr. Harpe stressed the importance of the agency’s numbers matching. Mr. Harpe indicated that after speaking to some legislatures it has become evident that it is difficult for the Department of Corrections to be taken seriously due to data the agency has provided. Mr. Harpe stressed the importance of getting to a place where the agency’s data is accurate, consistent and trustworthy.

There was no further discussion.

5. Director's Comments

A. Introduction of acting Executive Assistant and Administrative Assistant

Interim Director Crow took a moment to introduce acting Executive Assistant Kathi Sappington and Administrative Assistant Tasha Parker.

B. ODOC Information Seminars

Interim Director Crow stated ODOC hosted the second seminar on August 22, 2019. During the seminar, directors of numerous DOC divisions present information on their areas. The seminar also offered a tour at Kate Barnard Correctional Center (KBCC) where participants heard testimonies from a panel of three female inmates. Participants included a BOC Member, Noble County Sheriff's Jailers, Oklahoma City Police Department Deputy Chief, Member of the Oklahoma Juvenile Authority, Oklahoma Council of Public Affairs, American Legislative Exchange Council, Several Members of Non-Profit Organizations attended such as Potts Family Foundation, We Build Oklahoma, Cooperating Baptist Fellowship of Oklahoma, The Education and Employment Ministry (TEEM), Two House of Representatives and a few new DOC employees were invited to attend. The feedback was really positive and another seminar is scheduled for Friday, October 4, 2019. Please contact Communications Director Jessica Brown if you would like to attend.

C. Upcoming Cadet Graduation

Interim Director Crow stated the next academy graduation is scheduled for September 17, 2019. 61 cadets are expected to graduate from the Wilson Training Academy. This is a six week regimen training. Among the cadets are 46 males and 15 females. Upon graduation they will report to their assigned facilities. In this particular academy Jackie Brannon Correctional Center (JBCC) will gain the most cadets, with the total being 8. Interim Director Crow indicated he believes he mentioned in last month's meeting that ODOC combined the two academies into one and ODOC continues to see success in utilizing one academy.

Chairman Harpe inquired how the 61 affect overall staffing.

Interim Director Crow responded that typically the numbers are a "wash" but this academy is expected to increase numbers. Interim Director Crow indicated that ODOC is seeing an increase in retention.

Chairman Harpe inquired if ODOC conducts an exit survey.

Interim Director Crow responded yes.

D. Prison Fellowship Inmate Graduation

Interim Director Crow extended his appreciation to Warden Dunkin at KBCC for offering an inmate program named Prison Fellowship. Interim Director Crow stated on August 23, 2019, twenty female inmates at KBCC graduated from the year-long faith-based course that addresses criminogenic behaviors, healthy relationships, life skills, reentry, and addiction recovery. This was the first graduating class for this organization in Oklahoma. A former inmate teaches the class. Interestingly, none of the inmates received any credits for taking this

course. The ladies took the class just to become better citizens when released, making this a huge win for us. Last month, Congressman James Lankford visited the program to see firsthand how this course is changing the lives of inmates.

E. CEO Ribbon Cutting Event

Interim Director Crow indicated yesterday (September 3, 2019), several members of ODOC attended the CEO Ribbon Cutting Event. Celebrating the opening of a new building for the Center for Employment Opportunities in Oklahoma City. CEO and ODOC's Probation and Parole work closely together to find employment for offenders when released from prison. CEO is the largest reentry employment provider in the country, providing former inmates with immediate paid employment, skill training and ongoing career support.

Vice-Chair Thornton inquired about the number one skill employers are looking for at the job fairs.

Interim Director Crow Responded indicating typically it is career tech skills.

Interim Director Crow indicated the CEO struggled to find office space due to communities not wanting to welcome them based off of the cliental they served. CEO finding this particular location is great, CEO has been extremely successful. CEO indicated during the ribbon cutting approximately 350 former inmates have processed through and obtained meaningful jobs within this year alone.

Vice-Chair Thornton inquired on the timespan of processing 350 former inmates.

Interim Director Crow responded one year.

F. SB 780 Project with the Pardon and Parole Board

Interim Director Crow indicated ODOC continues to work closely with Executive Director Steve Bickley and his team gearing up for SB780 to take effect November 1, 2019 allowing for a one-stage commutation process for those inmates sentenced for felony crimes that are now misdemeanors, examples possession of a controlled dangerous substance and some property crimes. Several hundred inmates' sentences could be commuted to one year by Governor Stitt. Most of these inmates will have already served that time and could be released to spend the holidays with their families. This is a huge project. There is a lot happening behind the scenes to accomplish this tasking. Governor Stitt has set some very clear timelines and we are going to meet those time lines. These timelines are within the next 90 to 120 days. Interim Director Crow indicated he met with Probation and Parole Director Kevin Duckworth who could see an influx of offenders on their caseload once they are released from prison. As ODOC moves forward, Interim Director Crow will keep the BOC updated on the number of inmates affected by SB780.

Vice- Chair Thornton inquired on ODOC policy and whether or not it would need to be revised to accommodate SB780.

Interim Director Crow referred question to General Counsel David Cincotta. General Counsel Cincotta responded indicating some changes have been made on the employee side but no changes appeared to be necessary on the inmate side.

Vice – Chair Thornton reiterated his question.

General Counsel Cincotta responded No Sir.

G. Oklahoma Correctional Association Conference (OCA)

Interim Director Crow indicated the OCA conference begins on September 11, 2019 through September 13, 2019 at the Mayo Hotel in Tulsa, Oklahoma. This is a multidisciplinary organization that targets correctional professionals, agencies and organizations involved in all aspects of the criminal justice system. This conference offers several classes including Building Resilience in the Work Place, Crime Scene Preservation and Brining Positivity and Morale to the Workplace. ODOC is sending 63 employees to this conference. This state association is an affiliate to the national association. OCA has been an organization for many years and this is their annual conference.

Vice – Chair Thornton inquired if OCA was the same as the American Correctional Association (ACA).

Interim Director Crow responded No, Sir.

H. Dick Conner Correctional Center (DCCC) Celebrating 40th Anniversary

Interim Director Crow announced DCCC was celebrating their 40th anniversary Friday, September 6, 2019. Current and former employees will come together and reflect on the many changes in the system over the last several decades.

I. Sherriff Peace Officer Association

Interim Director Crow indicated ODOC continues to meet with the Sherriff Peace Officer Association to try to bridge some gaps and form partnerships. Additional status updates on this will be forthcoming as progress moves forward.

J. Restore Committee

ODOC continues to participate on Governor Stitt's restore Criminal Justice Task Force which is a series of several different sub-committees that are dedicated to different areas of criminal justice reform. Governor Stitt is anticipating recommendations by the end of this year. ODOC is actively participating in at least five of the committees.

Chairman Harpe inquired on who is involved in the Restore Committee.

Interim Director Crow responded indicating Dr. Pitman was and now Greg Williams and himself.

K. Interim Director Crow solicited the BOC to provide recommendations on what they would like updates on during the BOC meetings

Mr. Haueter inquired on the best way to send topics.
Interim Director Crow responded through email.

Mr. Woodard indicated updates are helpful and particular challenges for the month should be included in the BOC updates.
Interim Director Crow responded in acknowledgement.

Chairman Harpe indicated ODOC needed to work through the discrepancies and then hopefully get to a place where the budget, technology and systems set in place to protect the general public could be addressed. Chairman Harpe indicated a work group should be initiated soon to begin progress on the matter.
Interim Director Crow responded in acknowledgement.

There was no further discussion.

6. Overview of Mental Health Services and Needs

Dr. Jana Morgan provided an overview of ODOC's mental health services and needs. A copy of the overview was included in the BOC packet. During the overview Dr. Morgan responded to the following inquiries from board members:

Dr. LaFortune thanked Dr. Morgan for presenting and indicated she felt it important to place this item on the agenda to bring attention of the need for doctoral level degrees in the mental health field. As of this moment there are 17 vacant positions for psychologists and right now ODOC needs an additional 5 doctoral level psychologists and this has been an ongoing need since 2006. Dr. La Fortune thanked mental health staff for their work and dedication
Dr. Morgan responded in appreciation.

Chairman Harpe inquired about a breakdown of how many inmates classified as mental health level O, A, B, C1, C2, or D and cost associated with each.

Dr. Morgan responded indicating ODOC has the percentage of inmates classified as mental health level O, A, B, C1, C2 or D but does not currently have cost associated. Dr. Morgan indicated the mental health department could look into obtaining associated costs.

Mr. Woodard inquired about the budget restriction and how it affected inmates receiving necessary medications.

Dr. Morgan responded indicating there is a formulary that is used with a wide range of medication to choose from and there are regular meetings to discuss costs and of medications on the formulary and adjustments are made when required. Dr. Morgan also indicated, If necessary, medications are provided that are not on the formulary.

Mr. Haueter inquired about the type of assessments are conducted at the assessment and reception centers.

Dr. Morgan responded indicating a general screening with a self-report and structured interview.

Mr. Thornton inquired about the mental health process at the assessment and reception centers.

Dr. Morgan responded mental health has levels of assessment also, each time an inmate transfers they receive another mental health screening.

Mr. Thornton inquired about mental health record keeping.

Dr. Morgan responded indicating mental health has an electronic health record (HER).

Mr. Thornton inquired about the electronic record keeping sufficiency.

Dr. Morgan responded indicating it is not a perfect system but it is much better than what was available in the past.

Mr. Haueter inquired on what EHR mental health was using.

Dr. Morgan responded indicating it was Medunison through Docsynergy.

Dr. LaFortune inquired about what Dr. Morgan would like to see when it comes to the mental health department.

Dr. Morgan Responded indicated more staff would allow for more time for testing and screening of inmate patients. It is critical to be able to diagnosis mental health issues in the beginning to provide treatment faster allowing more preventative care rather than reactive care.

Interim Director Crow inquired about the new OMS system and if that system would have a more sufficient EHR system.

Dr. Morgan referred to Mr. Mike Carpenter.

Mr. Carpenter responded indicating 3 of the 4 vendors do offer a more technological advanced EHR system.

Mr. Haueter inquired about who hosts our EHR system.

Dr. Morgan referred to Mr. Clint Castleberry.

Mr. Castleberry responded indicating it is hosted out of OU Health Science Center.

Mr. Haueter inquired on if the system was a joint system.

Mr. Castleberry responded indicating it is not a joint system.

Mr. Haueter inquired about the average length of assessment.

Dr. Morgan responded indicating it is individually based. The initial assessment is quick. More in depth assessments are anywhere from 30 minutes to one hour.

Dr. LaFortune inquired about who completes the initial assessment.

Dr. Morgan responded mental health has one psychologist at each assessment and reception center. Therefore, the bulk of assessments are completed by the master level clinicians.

Vice-Chairman Thornton inquired if the master level clinicians are qualified to conduct assessment.

Dr. Morgan responded indicating they are qualified but the doctoral level staff have better skills to provide more in-depth screenings.

Vice-Chairman Thornton inquired about how many inmates are assessed in a day at the assessment and reception centers.

Dr. Morgan responded indicating on average 20 to 25 inmates per day are assessed.

Vice-Chairman Thornton inquired on how mental health staff were able to screen that many a day based on the timeframe it took for each assessment to be conducted.

Dr. Morgan responded indicating the initial assessment was brief and if the initial assessment indicated additional assessments, screenings, or testing was necessary a follow up assessment would be scheduled over a period of days.

Interim Director Crow inquired about why the number of staffing is low.

Dr. Morgan responded indicating pay is not competitive with other agencies.

Vice-Chairman Thornton inquired about mental health pay scale.

Dr. Morgan responded indicating ODOC offers approximately \$76,000 annually. Other agencies are offering \$10,000 to \$15,000 more annually.

Dr. LaFortune confirmed the positions in discussion were doctoral level.

Dr. Morgan affirmed.

Chairman Harped and Mr. Woodard inquired about the other agencies.

Dr. Morgan responded indicating mental health has lost staff to the V.A., Social Security Disability and Termination Division and some to Department of Mental Health but the majority to the V.A.

Dr. LaFortune inquired about how ODOC's mental health work week hours compared to other agencies.

Dr. Morgan responded indicated she could not speak fully for other agencies but she does believe their staffing levels have reduced their work hours and night calls.

Dr. LaFortune inquired about the benefits a Dementia Unit could provide ODOC.

Dr. Morgan responded indicating ODOC could benefit from such unit for treatment and safety purposes.

Vice-Chairman Thornton inquired about how you treat dementia.

Dr. Morgan responded indicating much of the treatment for dementia is medically driven. Mental health staff assist on testing, assessing and diagnosing.

Mr. Haueter inquired about the levels included in the 64% of inmates receiving treatment.

Dr. Morgan responded indicating that was levels A through D.

Mr. Haueter inquired about if ODOC is considered the mental health hospital for the state, is there state funding.

Dr. Morgan responded indicating ODOC assists in getting inmates approved for assistance for when they are released.

Mr. Haueter inquired about their eligibility while incarcerated.

Dr. LaFortune stated they are not eligible while incarcerated.

Dr. Morgan affirmed Dr. LaFortune's statement.

Mr. Haueter inquired about why inmates are not eligible.

Dr. Morgan responded indicating laws do not allow eligibility while under ODOC care.

Vice-Chair Thornton inquired about if the law was ODOC policy or state statute. General Counsel Mr. David Cincotta responded indicating it is Federal Law. Interim Director Crow requested Mr. Cincotta provide such law and regulations. Mr. Cincotta acknowledged request. Vice-Chairman Thornton and Mr. Haueter inquired about eligibility upon discharge from incarceration. Dr. Morgan responded indicating once they are released they qualify.

Dr. LaFortune inquired about which level of mental health staff are required to see inmate patients that are in restrictive housing. Dr. Morgan responded indicating it can be any mental health staff (master level – doctoral level).

Vice-Chairman Thornton inquired about how many inmates are seen by mental health staff in a month. Dr. Morgan responded indicating approximately 30% of the population. Vice-Chairman Thornton followed up indicating about 5,000 inmates a month. Dr. Morgan affirmed Vice-Chairman Thornton’s statement.

Vice-Chairman Thornton inquired how long it takes to visit each of the 5,000 inmates. Dr. Morgan responded indicating it is individually based. If an inmate is doing well it could take as little as 15 to 20 minutes. Vice-Chairman Thornton inquired about the length of time to document meetings. Dr. Morgan responded indicating it does not take terribly long to chart notes.

Chairman Harped and Vice-Chairman Thornton inquired about ODOC policy, specifically any policy that could be revised. Dr. Morgan responded indicating at this time, policy did not appear to be an issue.

Mr. Haueter inquired about how many psychologists ODOC has employed. Dr. Morgan responded indicating there were 10 soon to be 9 statewide and that included supervisors that supervised and had caseloads. Mr. Haueter inquired about psychologist’s ability to prescribe. Dr. Morgan responded indicating psychologists do not have the ability to prescribe. Mr. Haueter inquired about the benefit of a psychologists over the master level clinician. Dr. Morgan responded indicating psychologists have extensive training in the assessment, testing, and evaluations. They also have a deeper knowledge of some of the mental illnesses and an overall higher skill base which is crucial for the population ODOC serves.

Mr. Haueter inquired about how many psychiatrists ODOC has employed. Dr. Morgan responded indicating ODOC has 8 psychiatrists to include the contracted tele-med psychiatrists. Vice-Chairman Thornton inquired about the percentage of tele-meds. Dr. Morgan responded indicating about 60% are tele-med.

Dr. LaFortune inquired about the cost of contracting versus the cost of hiring psychiatrists.

Dr. Morgan responded indicating to contract out ODOC pays up to \$240 an hour. ODOC pays \$165,000 to \$172,000 annually. If ODOC were able to hire more psychiatrists it would save the agency.

Mr. Harpe inquired about the services ODOC provided and if they were standard in comparable to other mental health services.

Dr. Morgan responded yes.

Mr. Haueter inquired about how many nurse practitioners ODOC employed.

Dr. Morgan responded indicating mental health did not have any.

Chairman Harpe inquired about if there was a need for nurse practitioners.

Dr. Morgan responded indicating they could use them but it is difficult to find a practitioner that has a specialty where mental health could utilize them.

Dr. LaFortune inquired about pre-doctorial interns and could they be helpful.

Dr. Morgan responded indicating they could be and stated mental health's best recruitment tool has been through their interns.

Dr. LaFortune inquired about where the majority of interns are studying.

Dr. Morgan responded indicating OU and OSU.

Mr. Haueter inquired about any from NSU.

Dr. Morgan responded indicating mental health had not had any from NSU.

Chairman Harpe inquired about how ODOC scores the reentry program.

Dr. Morgan responded indicating the Department of Mental Health tracks the data. The data indicates great success.

Chairman Harpe indicated the data would be good to present to Governor Stitt and Secretary Keating and indicated ODOC should obtain data.

Dr. LaFortune inquired about the success of the program pertaining to the level of degree the staff had performing the assessments.

Dr. Morgan responded indicating that when the doctoral level staff members obtained the assessments the success rate increased. When assessments were being received from the master level staff approval rate dropped from 90% to 60-65% range. Dr. Morgan indicated the mental health department went back to requiring doctoral level staff provide assessments.

Chairman Harpe inquired about where mental health is on their staffing.

Dr. Morgan responded indicating the biggest area in mental health that is understaffed is psychologists and psychiatrists.

Chairman Harpe inquired about what percent is mental health understaffed.

Dr. Morgan responded indicating psychologists are down 64%.

Dr. LaFortune stated mental health had 17 vacant psychologist positions vacant with one more to become vacant in the near future.

Dr. Morgan affirmed Dr. LaFortune's statement.

Dr. LaFortune inquired about testing needs.

Dr. Morgan responded indicating they do have testing needs but have not been able to get to a point to determine which tests would best suit the population.

Mr. Haueter inquired about providing automated assessments.

Dr. Morgan responded indicating it would depend, several could be helpful but do not really provide specific assessments.

Chairman Harpe inquired about how long mental health has been at 64% understaffed. Dr. Morgan responded indicating it has been steadily reducing each year and this has been the worst year.

Chairman Harpe inquired about at what point is the staffing levels considered critical.

Dr. Morgan responded indicating it is critical now.

Chairman Harpe stated at the end of the day and at some point we want to ensure you are empowered and your team is empowered to communicate your needs. At this point, it sounds like a new strategies need to be discussed to provide assistance. It is time to have deeper discussions to find a solution.

Mr. Woodard inquired about hiring less staff for more money.

Chairman Harpe and Dr. LaFortune agreed with his inquiry.

Dr. LaFortune stated mental health does not have a line item in the budget.

Chairman Harpe inquired about breaking it out in 2020.

Interim Director Crow responded yes.

No further discussion.

7. New Business

A. Presentation from Dr. Pitman

Vice-Chairman Thornton voiced concerns pertaining to the discrepancy in the number of teachers Dr. Pitman's presentation and Ms. Ashlee Clemmons report cited. Vice-Chairman Thornton Stressed the need for accurate reporting.

Interim Director Crow inquired if Ms. Clemmons had any insight.

Ms. Clemmons did not have any insight.

Chairman Harpe stated all reporting must be consistent across the agency.

Chairman Harpe and Vice-Chair Thornton agree that a process should be implemented and an employee should assigned to ensure all data circulated is consistent.

Interim Director Crow agreed and ensured a vetting protocol would be enacted.

Mr. Haueter inquired about if there happened to be data analysis employee.

Interim Director Crow responded and indicated there was not a particular employee who held such a position.

Chairman Harpe stated it is causing problems with ODOC's credibility, Chairman Harpe indicated he will work with interim Director Crow to get everyone on the same page.

8. Approval to Enter Into Executive Session

Pursuant to 25 O.S. § 307(B)(9), discussing matters involving safety and security at state penal institutions or correctional facilities used to house state inmates.

- A. Discussion of security strategies being used and considered by the agency in combatting the introduction of contraband at penal institutions**
- B. Discussion of the agency’s use of long-term administrative segregation and strategies to improve utilization of segregated housing units.**

Mr. Cincotta advised the items listed on the agenda would require adjournment to Executive Session for engaging in confidential communications and recommended Chairman Harpe entertain a motion to enter into Executive Session.

Motion:

Chairman Harpe made motion to enter in to Executive Session; Dr. LaFortune seconded the motion.

Results:

Betty Gesell	Absent	Michael W. Roach	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Steven Harpe	Approve	Rodney Thornton	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

By majority vote, the BOC entered into Executive Session at 2:26 PM.

Mr. Griffin arrived at 3:48 p.m.

Mr. Woodard left the room at 3:35 p.m. and returned at 3:39 p.m.

9. Approval to Return from Executive Session

Motion: Mr. Woodard made a motion to return from Executive Session; Dr. LaFortune seconded the motion.

Results:

Betty Gesell	Absent	Michael W. Roach	Approve
Joseph Griffin	Approve	T. Hastings Siegfried	Approve
Steven Harpe	Approve	Rodney Thornton	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

The return from Executive Session was approved by majority vote and the regular meeting resumed at 3:52 p.m.

10. Adjournment

There being no further business to discuss, the meeting was adjourned at 3:55 p.m.

Submitted to the Board of Corrections by:

Tasha Parker, Minutes Clerk

Date

I hereby certify that these minutes were duly approved by the Board of Corrections on October 16, 2019, in which a quorum was present and voting.

Michael W. Roach, Secretary
Board of Corrections

Item #8
Approval of BOC Policy P-010200

Section-01 Organization	Page: 1	P-010200	Effective Date: <u>draft05/09/2018</u>
Board Operating Procedures	ACA Standards: 2-CO-1A-10, 4-4001, 4-APPFS-3D-01		
<u>Frank X. Henke, IV, Chair</u> Oklahoma Board of Corrections			

Operating Procedures and Policies for the Oklahoma Board of Corrections

The Oklahoma Board of Corrections (BOC) will establish and maintain written policies yfor the operation of the Oklahoma Department of Corrections (ODOC) pursuant to Section 504 of Title 57 of the Oklahoma Statutes, ~~which govern decision-making, monitoring of operations, and meetings conducted within the Oklahoma Department of Corrections (ODOC).~~ (4-4001, 4-APPFS-3D-01)

I. Operating Procedures

A. Duties and Responsibilities

Upon selection by the Governor, the Oklahoma State Senate, or the Oklahoma House of Representatives –to the BOC, the prospective new BOC member(s) shall promptly receive a copy of these Operating Procedures and Policies and its attachments, including the “Performance Expectations for Members of the Oklahoma Board of Corrections” which is incorporated by reference ([Attachment A](#), attached).

The Governor will appoint five members to the BOC, with the President Pro Tempore of the Senate and the Speaker of the House of Representatives each appointing two members.

The duties and responsibilities outlined in these Operating Procedures and Policies will be reviewed annually by the BOC and the ODOC director. The BOC will have the following powers and duties:

1. Establishment of Policies

The BOC will establish policies for the operation of the ODOC. ~~The BOC also must approve cancellation of, and amendments to, established policy statements.~~

2. Approval of Personnel Matters (2-CO-1A-10)

a. The BOC may require the agency director and any other ODOC personnel, when deemed necessary by the BOC, to give bond for the faithful performance of their duties (57 O.S. 504(5)).

a.b.

~~b. The BOC will appoint and fix the salary of the director.~~

~~(1) The maximum salary of the director is established by law.~~

~~The term of office of the director is continuous and may only be terminated for good cause and after a formal and open hearing on specific charges, if requested by the agency director or by the BOC.~~

The BOC will consider for confirmation and vote on the appointments of facility headswardens, deputy directors, district supervisors, positions to be determined by the BOC, and other staff members required by law to be confirmed as submitted to the BOC by the agency director.

3. Approval of Contracts and Budgets

- a. The BOC will be involved in the selection of architectural firms for projects when the architect's fee is over \$200,000. The BOC will also approve requisitions for construction contracts for projects where estimated construction costs are greater than \$500,000. Approval of construction documents must occur before acceptance of a bid.
- b. The BOC will be involved in the selection of sites for new institutions and community corrections centers, and select and approve relocation of existing correctional facilities.
- c. The BOC will review and approve the proposed ODOC budget request before it is submitted to the Office of Management and Enterprise Services (OMES) in October of each year for review by the Governor.
- d. The BOC will review and approve the ODOC budget work program before it is submitted to OMES on June 1 or as soon thereafter as possible.
- e. The BOC will review and approve all emergency expenditures of money that exceed the agency director's authority as allowed by law.

4. Private Prison Construction or Operation

- a. If ODOC proposes to enter into a contract for the construction or the operation, or both, of a private prison, ODOC shall compare both the capital costs and the operating costs for the facility to the imputed capital costs and the projected operating costs of a comparable facility constructed and operated by ODOC (57 O.S. 561, 561.1D-4 &G).

- b. ODOC shall then deliver to the BOC the top three (3) qualified prospective private prison contractors identified pursuant to law together with the information reviewed and analyzed by ODOC during analysis of the proposals. The BOC shall evaluate the information provided and shall make a final decision selecting the contractor within 15 days of receipt of the information (57 O.S.561.1.H).
- c. Should ODOC choose to negotiate with current private prison contractors for a new contract for the operation, lease, or lease/purchase of a private prison, ODOC shall compare both the capital costs and the operating costs for the facility to the imputed capital costs and the projected operating costs of a comparable facility constructed and operated by ODOC. The BOC shall evaluate the information provided and shall make a final decision selecting the contractor within 15 days of receipt of the information. Additional time may be provided, when necessary (57 O.S. 561, 561.1).

B. Orientation

Within three (3) months of their appointment, all newly appointed BOC members shall attend an orientation to become familiar with ODOC operations.

C. Officers, Terms of Office, and Qualifications

1. The BOC, composed of ~~seven~~nine members, will have the following offices: a chair, vice chair, and secretary. These offices will be filled by BOC election at the regular meeting held annually in June.
2. ~~Members who have demonstrated leadership, while adhering to these operating procedures and policies, and shown commitment to the missions of both the BOC and ODOC are eligible for election by a majority vote of the BOC. Whenever possible, a member shall not serve as chair until serving a term as vice chair.~~
32. An incumbent officer may be re-elected as often as such officer receives the necessary votes. Newly elected officers will assume their offices at the conclusion of the BOC meeting in which they were elected.

D. BOC Vacancies and Succession

1. If a vacancy occurs in the office of the chair, the vice chair will automatically succeed to the office of the chair and complete the remaining term of office.

2. Upon assuming the office of chair, the office of vice chair will become vacant through succession, and the chair may appoint a vice chair to complete the remaining term of office.
3. Any vacancy occurring in the office of vice chair or secretary may be filled by the chair by appointment for the remaining term of office.
4. A newly appointed officer will assume office at the conclusion of the BOC meeting in which they were elected.

~~A newly appointed BOC member nominated, but not confirmed by the Senate, shall not vote during a BOC meeting unless the new member has been designated by the Governor as an interim member to fill a vacancy that occurred during a term of office. An incumbent member scheduled to leave office may continue to act as a member of the BOC until a successor is duly appointed and confirmed according to law. A reappointed member may continue to vote unless denied confirmation by the Senate.~~

E. Facility/Office Tours

Besides the tours or inspections, which may be taken during the regular BOC meetings, each BOC member is encouraged to conduct at least one visit of an ODOC institution, community corrections center, and ~~community work center or~~ probation and parole office per year.

F. Inquiries

Any inquiries regarding ODOC's operations, actions, or policies received by BOC members from the public, employees, or inmates/offenders will be referred to the agency director or designee for response. If those inquiries are of such a nature that referral to the agency director may be inappropriate, then referral should be made to the chair of the BOC for appropriate disposition.

II. Administration of BOC Functions

A. Rules of Order

1. The *Modern Rules of Order* shall act as a guide to the BOC in the transaction of business during meetings, unless otherwise provided by law or these BOC operating ~~procedures and~~ policies.
2. A quorum of the BOC consists of ~~four~~five (45) BOC members.
3. A roll-call vote of the BOC is taken on the following:

- a. All actions requiring BOC approval or confirmation as identified in this policy;
- b. Convening an executive session of the BOC; and/or
- c. On any other action at the request of any BOC member or upon the advice of legal counsel.

B. BOC Meetings

The BOC will normally meet with the agency director at least monthly to review the administration and activities of the ODOC to include reports on the operation and performance of facilities and units, review BOC policies as needed, and other appropriate matters.(4-ACRS-7D-34)

1. The chair will preside over BOC meetings. The vice chair will preside in the absence of the chair.
2. The monthly meetings will be conducted at a time and place designated by the chair (or vice chair in the chair's absence), and published by ODOC.
 - a. Members who know that they will be unable to attend will notify the ODOC of their intended absence at least one week before the scheduled meeting.
 - b. A majority of affirmative votes of a quorum will be required to conduct and transact the business of the BOC.
3. ODOC support staff will be responsible for the following:
 - a. Recording the minutes of every BOC meeting;
 - b. The certification of the approval of the minutes;
 - c. Ensuring whenever possible, all documents and information relevant to the BOC meeting is provided to the BOC in electronic form, no less than five (5) days prior to the scheduled BOC meeting; and
 - d. Maintaining the official records of the BOC as required by law.
4. Upon approval of the minutes, the BOC Secretary will execute the following:

Certificate of Approval

I hereby certify that these minutes were duly approved by the Oklahoma Board of Corrections on _____, 20____, in which a quorum was present and voting.

Date: _____ Secretary of the
Oklahoma Board of Corrections

5. All meetings of the BOC will be conducted according to the Oklahoma Open Meeting Act (25 O.S. § 301-314).
 - a. The agency director will ensure that notice is given in writing to the Secretary of State, by December 15 of each calendar year, of the regularly scheduled meetings of the BOC for the next calendar year.
 - b. The agency director will ensure that the proposed agenda is posted at least 24 hours before each meeting. The agenda will be posted in prominent public view at ODOC Administration, 3400 N Martin Luther King Avenue in Oklahoma City.
 - c. If any change is to be made in the date, time, or place of the regularly scheduled meeting, then notice in writing will be given to the Secretary of State not less than ten days before the implementation of the change.
 - d. The agency director shall certify, prior to the beginning of each meeting, that all requirements under the open meetings act were completed.
6. BOC executive sessions are authorized only under the circumstances provided by Oklahoma law.
7. Any vote or action must be taken in public meeting with the vote of each member publicly cast and recorded. At the end of each executive session, a public announcement will be made memorializing the executive session discussion and announcing whether a vote is necessary.
8. Special meetings may be called by the chair or by a majority of the BOC as necessary and according to the Oklahoma Open Meeting Act.
9. In the event any meeting is to be continued or reconvened, public notice of the action, including date, time, and place of continued meeting, will be given by announcement at the original meeting. Only matters appearing on the agenda of the meeting that is continued will be discussed at the continued or reconvened meeting.
10. An emergency meeting of the BOC as permitted by the Oklahoma Open Meeting Act may be held without public notice. The person

calling an emergency meeting will give as much advance public notice as is reasonable and possible under the existing circumstances.

11. Matters of business that require further investigation or detailed study may be delegated to an ad hoc BOC committee appointed by the chair with the advice and consent of the Executive Committee.
12. At each meeting, the chair may provide an opportunity for any relevant business to be introduced by any BOC member, the agency director or any citizen attending the meeting, however, business may not be transacted unless such business constitutes “new business” within the meaning of the Open Meeting Act.
13. Every meeting of the BOC will be electronically taped (except executive session) from which minutes will be transcribed in summary form. A copy of the minutes will be forwarded to the BOC before the next meeting for their review. After formal approval of the minutes, as submitted or as amended, the taped recordings shall be destroyed, unless the BOC or the Executive Committee requests that the tape recording not be destroyed. A certified copy of the approved minutes will constitute the official record of the BOC.
14. Members of the BOC will be reimbursed for travel expenses, as provided by law for other state officers and employees, while attending meetings of the BOC or performing other official duties.

C. BOC Committees

The chair of the BOC shall appoint or reappoint up to three (3) members of the BOC to a standing committee at the beginning of a fiscal year. Any BOC member may offer a motion to create a standing or ad hoc committee, which shall include the proposed committee’s specific tasks and/or goals. If approved, the chair shall appoint up to three (3) members to the committee and name a member to act as chair of the newly created committee.

Each committee may meet as required by the respective chair of the committee and report their findings and recommendations to the full BOC for formal approval and action. After each meeting of any committee, a report will be made during the next regular or special BOC meeting as required. Committee meetings will be coordinated with the agency director and staff schedules.

The following committees are standing committees:

1. Executive Committee

a. The Executive Committee shall consist of the following BOC members:

- (1) Chair of the BOC;
- (2) Vice chair of the BOC; and
- (3) The immediate past chair of the BOC. In the event the past chair is no longer serving as a BOC member, the secretary of the BOC shall succeed to the Executive Committee.

b. Duties of the Executive Committee shall include:

- ~~(1) Ensuring that the agency director's annual written performance evaluation is conducted by the BOC;~~
- (21) Developing, reviewing, and approving the monthly BOC agenda;
- (32) Performing BOC self-assessments by developing performance targets and assessing annually their achievement using a survey, interviews, or by other methods the BOC deems appropriate;
- (34) Reviewing BOC policies and recommending changes to be presented to the BOC; and
- (54) Any matter referred to it by the BOC chair or agency director.

2. Audit/Finance Committee

a. The Audit/Finance Committee will meet with the agency director and designated staff to conduct business, including but not limited to:

- (1) Reviewing and analyzing the ODOC's annual budget request and budget work program;
- (2) Recommending to the BOC the type and scope of the audits to be performed for the agency, the Oklahoma Correctional Industries and Agri-Services;
- (3) Recommending to the BOC the entity, firm or person to perform audits;

- (4) Determining the type, content and frequency of financial reports to fulfil proper financial oversight and compliance with Oklahoma Statutes; and
 - (5) Ensuring controls are in place to safeguard the assets of the agency as well as controls for proper financial reporting.
- b. The Audit/Finance Committee will meet as needed to review the budget request due in October of each fiscal year.
 - c. The Audit/Finance Committee will meet as needed to review the budget work program due June 1 or as soon thereafter as possible of each fiscal year.
 - d. The Audit/Finance Committee chair or a designee will report to the BOC and request formal approval of the budget request and budget work program.

3. Population/Private Prison Committee

- a. The Population/Private Prison Committee will meet as needed with the agency director and designated staff to conduct business, including but not limited to:
 - (1) Reviewing the ODOC's population status, operating procedures, and the review and approval of facilities' authorized capacity.
 - (2) Reviewing and approving requests for proposals, determining contract performance standards, proposing rules and regulations, reviewing and approving proposed per diem costs for the ensuing fiscal year, and reviewing the cost benefit analysis required by law.
 - (3) Reviewing ~~and approving~~ ODOC policies and procedures which may affect female inmates/offenders to ensure a level of parity that avoids and/or minimizes any discrimination.

The Population/Private Prison Committee chair or a designee will report to the full BOC their recommendations and request formal approval thereof.

4. Public Policy/Affairs Committee

- a. The Public Policy/Affairs Committee will meet with the agency director and designated and appropriate staff to

conduct business, including but not limited to the review and approval of the specific language of the legislative initiatives of the ODOC.

- b. The Public Policy/Affairs Committee will meet prior to each legislative session, and from time to time during the legislative session, to review and discuss any necessary changes.
- c. The Public Policy/Affairs Committee, the agency director and designated staff will interface, as necessary, with members of other state boards, associations, organizations, agencies and designated appropriate staff to coordinate activities relating to the above named entities.
- d. The Public Policy/Affairs Committee chair or a designee will report to the BOC their recommendations and request formal approval thereof.

5. Criminal Justice Reform Committee

- a. The Criminal Justice Reform Committee will meet as necessary with the agency director and designated staff to conduct business, including but not limited to:
 - (1) Reviewing, developing and updating current ODOC policies and procedures to support criminal justice reform.
 - (2) Exploring opportunities for cooperative efforts and to promote awareness of ODOC policies and procedures as it relates to criminal justice reform.
 - (3) Providing direction and guidance to facilitate long-term objectives of the agency.
- b. The Criminal Justice Reform Committee, the agency director and designated staff will interface, as necessary, with members of other state boards, associations, organizations, agencies and designated appropriate staff to coordinate activities relating to the above named entities.
- c. The Criminal Justice Reform Committee chair or a designee will report to the BOC their recommendations and request formal approval thereof.

6. Technology Committee

- a. The Technology Committee will meet as necessary with the agency director and designated staff to conduct business, including but not limited to:
 - (1) Developing a budget request due in October of each year.
 - (2) Development of a strategic modernization plan that encompasses the needs of the agency and its functioning divisions, departments, and groups.
 - (3) Maintaining the strategic plan as a living document that encompasses changes in needs, budget availability, growth, and maintains technological currency.
 - (4) Provide insight and direction in strategic partnerships with legacy stakeholders and the development of new opportunities in information sharing.
- b. The Technology Committee, the agency director and the CIO will communicate as necessary with Oklahoma Management and Enterprise Services (OMES), Information Services Division, to propagate working relationships.
- c. The Technology Committee will hear reports of new initiatives modernizing the agency or selected portions and carry this information forward to the general board for discussion and/or approval as necessary.

D. Committee Sunset Provision

All committees not designated as a standing committee shall expire after one calendar year from the date of the committee's inception, unless the BOC approves the committee's continued existence.

E. BOC Agenda

The chair and/or the Executive Committee shall be contacted in order for any item to be placed on the BOC agenda for a regular or special BOC meeting. Proposed agendas will be prepared and posted approximately seven days prior to any BOC meeting. A final agenda will be posted at least 24 hours in advance of any BOC meeting. After final posting, no additions to the agenda will be considered unless it falls under the item of new business in compliance with the Oklahoma Open Meeting Act. The decision of the chair will be final for placing items on the agenda for the next meeting unless requested by three members of the BOC in a timely manner.

F. Requests for Information by BOC Members

Any BOC member or committee may request information from ODOC that is within the BOC's statutory authority, provided such request is presented to the agency director who may refer the request to the appropriate member of the ODOC staff. Copies of such information shall be provided to all members of the BOC, as deemed appropriate by the agency director and/or the BOC Executive Committee. Any requests that cause significant increases in workload for the agency director or ODOC staff should be referred to the BOC Executive Committee for approval or placed on the next BOC meeting's agenda for consideration by the BOC. The agency director will determine whether the request presents a significant increase in workload and the time required responding to the request. If required, the agency director will request that the BOC member contact the BOC chair to place the item on the agenda for the next BOC meeting.

III. Public Access

The ODOC and its BOC share the responsibility to provide information concerning ODOC to Oklahoma citizens. The BOC will allow public and press inquiry of each BOC member after each BOC meeting, as each individual BOC member's schedule permits. All requests for information from BOC members shall be referred to the agency director for appropriate response.

A. Requests for Information

Requests for information from the public regarding an individual inmate must meet the following requirements:

1. The request must comply with [OP-060212](#) entitled "Maintenance and Access of Offender Records" and "Authorization to Release Department of Corrections Record Information" form ([DOC 060212F](#)).
2. If the request is regarding questionable policy practices or possible criminal behavior by staff or an inmate, specific facts must be provided by the requesting party prior to any response.

For any request that does not involve possible criminal behavior by the inmate or that places the requesting party in jeopardy, the information gathered for the response shall be provided to the inmate by the unit staff. The inmate shall then have the opportunity to forward the information to the requesting party. The inmate shall be encouraged to utilize the grievance procedure, when appropriate.

This section will not apply to open records requests or requests by an inmate's attorney of record or elected public officials.

Unless otherwise provided by the Oklahoma Open Meeting Act, all BOC meetings will be open and accessible by the public. All members of the public attending BOC meetings shall be subject to any security procedures deemed necessary by the ODOC. Any person who has been denied access to any ODOC facility or institution may be allowed to attend a BOC meeting, provided the person meets all security concerns, and shall be limited to the specific room where the meeting is held, and shall be required to arrive within a reasonable time before the meeting and leave within a reasonable time after the adjournment of the meeting.

IV. Members Representing the BOC

Only members or committees authorized by the chair and/or the Executive Committee or pursuant to a duly adopted BOC resolution may represent the BOC before the executive or legislative branch or before any other branch or agency of the state or federal government or before any private entity, including the press. Except as noted above, media comments may be made stating only the personal views or positions of the member on matters that may come before the BOC. Members may express their personal views on any proposed legislation affecting the ODOC.

V. References

OP-060212 entitled "Maintenance and Access of Inmate/Offender Records"

25 O.S. 301-314

57 O.S. 503, 504, 506, 510, 561, 561.1

74 O.S. 2.2

577 P. 2nd 1310 (Okla. 1978)

VI. Action

The agency director is responsible for compliance with this policy.

The agency director and the Board of Corrections are responsible for the annual review and revisions.

Any exceptions to this policy statement will require prior written approval of the Board of Corrections.

This policy is effective as indicated.

Replaced: Policy Statement No. P-010200 entitled "Operating Procedures and Policies for the Oklahoma Board of Corrections" dated May 9, 2018
September 21, 2016

Distribution: Policy and Operations Manuals
Agency Website (Public)
Board Website (Private)
[AR 1/29/19 CR](#)
[SR 2/25/19 CR](#)
[Ready for proofing 3/13/19 CR](#)

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
DOC 060212F	"Authorization to Release Department of Corrections Record Information"	OP-060212

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	"Performance Expectations for Members of the Oklahoma Board of Corrections"	Attached

PERFORMANCE EXPECTATIONS FOR MEMBERS OF THE OKLAHOMA BOARD OF CORRECTIONS

Board members recognize that being selected ~~by the Governor of the State of Oklahoma~~ to serve as a member is a significant honor ~~and a statement of the Governor's trust in the appointee in terms of his or her dedication to excellence~~. Because Oklahoma's incarceration rates are so high, our Oklahoma Department of Corrections (ODOC) system includes a 77-county, 24-hour, 7-day a week, comprehensive network of institutions, community corrections centers, ~~community work centers~~, statewide probation and parole services, correctional industries, agriculture operations, treatment programs, work release, halfway house and private prison contracting and oversight, medical, programs, community sentencing acts, and a variety of other mandates, expectations, and operations. Couple these with death penalty requirements, life and death decisions with hostage and riot situations, and the need to constantly educate all stakeholders, and ODOC has one of the most complex and comprehensive correctional systems in the nation.

This complexity is enhanced by a system that has antiquated facilities in dire need of refurbishment, funding, and staffing shortages, ~~yearly net increases in inmate populations~~, and other increasing demands on the system. ODOC has a budget of ~~approximately over~~ a half billion ~~dollars~~ and ~~approximately 4,000 over 4,200~~ employees. Thus, the Board member position is comparable to that of a large corporate director position, as the demands, expectations, qualifications, and external interactions, resemble those of many of our country's major corporations.

The Board sets challenging goals that focus on educating, directing and holding accountable the ODOC to relentlessly seek improvement, while advocating correctional excellence. Because the Board seeks to lead and set an example for all of ODOC's stakeholders, the Board of the State of Oklahoma has adopted certain performance expectations for its members. The following are legal and moral responsibilities, operational responsibilities, professional development requirements, and essential Board duties:

A. Legal and Moral Responsibilities

Board members are expected to conduct themselves above reproach in all of their public and private affairs, and wherever possible, avoid even the appearance of impropriety. They are expected to be models of integrity in their working relationships that demonstrates trust, honesty, and ethical behavior. They realize their high calling and place great importance on their roles as members, and possess a strong belief in the mission and goals of the Board and ODOC.

B. Operational Responsibilities

Board members provide effective oversight to ODOC in the enabling legislative Board guidelines. Board members are expected to:

1. Be completely knowledgeable of the Standard Operating Procedures for the Board and understands the history and purpose of the ODOC.
2. Attend all meetings, Board retreats, advancements, training, and strategic planning events, unless unavoidable personal, family, or business issues preclude them from doing so.

3. Arrive prepared for meetings, having read the agenda, minutes of previous meetings, and any reports and information sent out earlier.
4. Sit as Chair and/or members of the various Board standing and/or ad hoc committees.
5. Treat other Board members with respect and appropriate decorum. Sidebar conversations during meetings should be avoided as being potentially disruptive and discourteous.
6. Be open to members with diverse views, opinions, and expectations.
7. Create an environment that encourages learning, growth, and development of its members.
8. Have relationships with other Board members that demonstrate openness, trust, and mutual respect.
9. Foster an atmosphere open to the exchange of ideas and dialogue before, during, and after Board meetings.
10. Participate fully in Board business during meetings.
11. Use skills and talent to positively influence and impact areas within the Board and the ODOC.
12. Put aside personal positions when compromise is necessary.
13. Continuously challenge themselves to improve.
14. Assure themselves that they know what was decided in meeting and any responsibilities that were assigned to them.
15. Be comfortable with changing established ways of doing business.
16. Understand the ODOC, both financially, and operationally to enable knowledgeable discussion of existing or prospective ODOC policies, including, but not limited to the financial impact of such policies.

C. Professional Development Requirements

Like ODOC employees, Board members are expected to engage in continuous professional development. This includes Board members who:

1. Attend, as a newly appointed Board member, an ODOC orientation to become familiar with ODOC operations.
2. Are knowledgeable of the Modern Rules of Order.
3. Participate in training opportunities.

4. Actively and critically read recommended professional development materials and actively incorporate the lessons learned into action.
5. Develop new skills to contribute to the Board and ODOC.

D. Essential Board Duties

Board members are required by law to:

1. ~~Appoint the agency director of the ODOC and fix his or her salary (The maximum salary of the agency director is established by law).~~
2. Consider appointments of facility headswardens, district supervisors and other staff members as ~~required by law that are submitted to the Board by the agency director~~desired by the Board.
3. Select architectural firms for projects when the architect's fee is over \$200,000.
4. Approve requisitions for construction contracts where estimated construction costs are greater than \$500,000.
5. Be involved in the selection of sites for new institutions and community corrections centers, and select and approve relocation of existing correctional facilities.
6. Review and approve the proposed ODOC budget before it is submitted to the Office of Management and Enterprise Services in the fall of each year for review by the Governor.
7. Review and approve all emergency expenditures of money that exceed the agency director's authority as allowed by law.
8. Make the final decision in selecting a contractor for the construction, operation or both from a list of the top three qualified prospective private prison contractors identified by ODOC.
9. Evaluate material furnished by ODOC regarding proposed new contracts for the operation, lease, or lease/purchase of a private prison and make a final decision selecting the contractor.
10. Authorize the agency director of ODOC to issue a letter or memorandum of support for any project involving construction or operation of a correctional facility other than the State of Oklahoma according to established procedures.

Board members are required by Board operating procedures to:

11. Establish policies for the operation of ODOC. ~~The Board also must approve cancellation of, and amendments to, established policy statements.~~
12. Refer to the agency director or designee for response any inquiries regarding ODOC's operations, actions, or policies received by Board members from the public, employees, or inmates. If those inquiries are of such a nature that referral

to the agency director may be inappropriate, then referral should be made to the chairperson of the Board for appropriate disposition.

13. Encouraged to annually conduct at least one visit to an ODOC institution, community corrections center, ~~community work center,~~ ~~or~~ and probation and parole regional district office.
14. ~~Conduct in person, informed, and rigorous Performance Evaluation of the ODOC agency director, at least once per fiscal year.~~
15. Serve on or chair one or more of the Board's standing or ad hoc committees.

(R 5/198)

Section-01 Organization	Page: 1	P-010200	Effective Date: 12/04/2019
Board Operating Procedures	ACA Standards: 2-CO-1A-10, 4-4001, 4-APPFS-3D-01		
<p>????????????????, Chair Oklahoma Board of Corrections</p>			

Operating Procedures and Policies for the Oklahoma Board of Corrections

The Oklahoma Board of Corrections (BOC) will establish and maintain written policies for the operation of the Oklahoma Department of Corrections (ODOC) pursuant to Section 504 of Title 57 of the Oklahoma Statutes. (4-4001, 4-APPFS-3D-01)

I. Operating Procedures

A. Duties and Responsibilities

Upon selection by the Governor, the Oklahoma State Senate, or the Oklahoma House of Representatives to the BOC, the prospective new BOC member(s) shall promptly receive a copy of these Operating Procedures and Policies and its attachments, including the “Performance Expectations for Members of the Oklahoma Board of Corrections” which is incorporated by reference ([Attachment A](#), attached).

The Governor will appoint five members to the BOC, with the President Pro Tempore of the Senate and the Speaker of the House of Representatives each appointing two members.

The duties and responsibilities outlined in these Operating Procedures and Policies will be reviewed annually by the BOC and the ODOC director. The BOC will have the following powers and duties:

1. Establishment of Policies

The BOC will establish policies for the operation of the ODOC.

2. Approval of Personnel Matters (2-CO-1A-10)

a. The BOC may require the agency director and any other ODOC personnel, when deemed necessary by the BOC, to give bond for the faithful performance of their duties (57 O.S. 504(5)).

b. The BOC will consider for confirmation and vote on the appointments of positions to be determined by the BOC.

3. Approval of Contracts and Budgets

a. The BOC will be involved in the selection of architectural firms for projects when the architect's fee is over \$200,000. The BOC will also approve requisitions for construction

contracts for projects where estimated construction costs are greater than \$500,000. Approval of construction documents must occur before acceptance of a bid.

- b. The BOC will be involved in the selection of sites for new institutions and community corrections centers, and select and approve relocation of existing correctional facilities.
- c. The BOC will review and approve the proposed ODOC budget request before it is submitted to the Office of Management and Enterprise Services (OMES) in October of each year for review by the Governor.
- d. The BOC will review and approve the ODOC budget work program before it is submitted to OMES on June 1 or as soon thereafter as possible.
- e. The BOC will review and approve all emergency expenditures of money that exceed the agency director's authority as allowed by law.

4. Private Prison Construction or Operation

- a. If ODOC proposes to enter into a contract for the construction or the operation, or both, of a private prison, ODOC shall compare both the capital costs and the operating costs for the facility to the imputed capital costs and the projected operating costs of a comparable facility constructed and operated by ODOC (57 O.S. 561, 561.1D-4 &G).
- b. ODOC shall then deliver to the BOC the top three qualified prospective private prison contractors identified pursuant to law together with the information reviewed and analyzed by ODOC during analysis of the proposals. The BOC shall evaluate the information provided and shall make a final decision selecting the contractor within 15 days of receipt of the information (57 O.S.561.1.H).
- c. Should ODOC choose to negotiate with current private prison contractors for a new contract for the operation, lease, or lease/purchase of a private prison, ODOC shall compare both the capital costs and the operating costs for the facility to the imputed capital costs and the projected operating costs of a comparable facility constructed and operated by ODOC. The BOC shall evaluate the information provided and shall make a final decision selecting the contractor within 15 days of receipt of the information. Additional time may be provided, when necessary (57 O.S. 561, 561.1).

B. Orientation

Within three months of their appointment, all newly appointed BOC members shall attend an orientation to become familiar with ODOC operations.

C. Officers, Terms of Office, and Qualifications

1. The BOC, composed of nine members, will have the following offices: a chair, vice chair, and secretary. These offices will be filled by BOC election at the regular meeting held annually in June.
2. An incumbent officer may be re-elected as often as such officer receives the necessary votes. Newly elected officers will assume their offices at the conclusion of the BOC meeting in which they were elected.

D. BOC Vacancies and Succession

1. If a vacancy occurs in the office of the chair, the vice chair will automatically succeed to the office of the chair and complete the remaining term of office.
2. Upon assuming the office of chair, the office of vice chair will become vacant through succession, and the chair may appoint a vice chair to complete the remaining term of office.
3. Any vacancy occurring in the office of vice chair or secretary may be filled by the chair by appointment for the remaining term of office.
4. A newly appointed officer will assume office at the conclusion of the BOC meeting in which they were elected.

E. Facility/Office Tours

Besides the tours or inspections, which may be taken during the regular BOC meetings, each BOC member is encouraged to conduct at least one visit of an ODOC institution, community corrections center and probation and parole office per year.

F. Inquiries

Any inquiries regarding ODOC's operations, actions, or policies received by BOC members from the public, employees, or inmates/offenders will be referred to the agency director or designee for response. If those inquiries are of such a nature that referral to the agency director may be inappropriate, then referral should be made to the chair of the BOC for appropriate disposition.

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1. The *Modern Rules of Order* shall act as a guide to the BOC in the transaction of business during meetings, unless otherwise provided by law or these BOC operating policies.
2. A quorum of the BOC consists of five BOC members.
3. A roll-call vote of the BOC is taken on the following:
 - a. All actions requiring BOC approval or confirmation as identified in this policy;
 - b. Convening an executive session of the BOC; and/or
 - c. On any other action at the request of any BOC member or upon the advice of legal counsel.

B. BOC Meetings

The BOC will normally meet with the agency director at least monthly to review the administration and activities of the ODOC to include reports on the operation and performance of facilities and units, review BOC policies as needed, and other appropriate matters.(4-ACRS-7D-34)

1. The chair will preside over BOC meetings. The vice chair will preside in the absence of the chair.
2. The monthly meetings will be conducted at a time and place designated by the chair (or vice chair in the chair's absence), and published by ODOC.
 - a. Members who know that they will be unable to attend will notify the ODOC of their intended absence at least one week before the scheduled meeting.
 - b. A majority of affirmative votes of a quorum will be required to conduct and transact the business of the BOC.
3. ODOC support staff will be responsible for the following:
 - a. Recording the minutes of every BOC meeting;
 - b. The certification of the approval of the minutes;
 - c. Ensuring whenever possible, all documents and information relevant to the BOC meeting is provided to the BOC in

electronic form, no less than five days prior to the scheduled BOC meeting; and

- d. Maintaining the official records of the BOC as required by law.
4. Upon approval of the minutes, the BOC Secretary will execute the following:

Certificate of Approval

I hereby certify that these minutes were duly approved by the Oklahoma Board of Corrections on _____, 20____, in which a quorum was present and voting.

Date: _____ Secretary of the Oklahoma Board of Corrections

5. All meetings of the BOC will be conducted according to the Oklahoma Open Meeting Act (25 O.S. § 301-314).
- a. The agency director will ensure that notice is given in writing to the Secretary of State, by December 15 of each calendar year, of the regularly scheduled meetings of the BOC for the next calendar year.
 - b. The agency director will ensure that the proposed agenda is posted at least 24 hours before each meeting. The agenda will be posted in prominent public view at ODOC Administration, 3400 North Martin Luther King Avenue in Oklahoma City.
 - c. If any change is to be made in the date, time, or place of the regularly scheduled meeting, then notice in writing will be given to the Secretary of State not less than ten days before the implementation of the change.
 - d. The agency director shall certify, prior to the beginning of each meeting, that all requirements under the open meetings act were completed.
6. BOC executive sessions are authorized only under the circumstances provided by Oklahoma law.
7. Any vote or action must be taken in public meeting with the vote of each member publicly cast and recorded. At the end of each executive session, a public announcement will be made memorializing the executive session discussion and announcing whether a vote is necessary.

8. Special meetings may be called by the chair or by a majority of the BOC as necessary and according to the Oklahoma Open Meeting Act.
9. In the event any meeting is to be continued or reconvened, public notice of the action, including date, time, and place of continued meeting, will be given by announcement at the original meeting. Only matters appearing on the agenda of the meeting that is continued will be discussed at the continued or reconvened meeting.
10. An emergency meeting of the BOC as permitted by the Oklahoma Open Meeting Act may be held without public notice. The person calling an emergency meeting will give as much advance public notice as is reasonable and possible under the existing circumstances.
11. Matters of business that require further investigation or detailed study may be delegated to an ad hoc BOC committee appointed by the chair with the advice and consent of the Executive Committee.
12. At each meeting, the chair may provide an opportunity for any relevant business to be introduced by any BOC member, the agency director or any citizen attending the meeting, however, business may not be transacted unless such business constitutes "new business" within the meaning of the Open Meeting Act.
13. Every meeting of the BOC will be electronically taped (except executive session) from which minutes will be transcribed in summary form. A copy of the minutes will be forwarded to the BOC before the next meeting for their review. After formal approval of the minutes, as submitted or as amended, the taped recordings shall be destroyed, unless the BOC or the Executive Committee requests that the tape recording not be destroyed. A certified copy of the approved minutes will constitute the official record of the BOC.
14. Members of the BOC will be reimbursed for travel expenses, as provided by law for other state officers and employees, while attending meetings of the BOC or performing other official duties.

C. BOC Committees

The chair of the BOC shall appoint or reappoint up to three members of the BOC to a standing committee at the beginning of a fiscal year. Any BOC member may offer a motion to create a standing or ad hoc committee, which shall include the proposed committee's specific tasks and/or goals. If approved, the chair shall appoint up to three members to

the committee and name a member to act as chair of the newly created committee.

Each committee may meet as required by the respective chair of the committee and report their findings and recommendations to the full BOC for formal approval and action. After each meeting of any committee, a report will be made during the next regular or special BOC meeting as required. Committee meetings will be coordinated with the agency director and staff schedules.

The following committees are standing committees:

1. Executive Committee

a. The Executive Committee shall consist of the following BOC members:

- (1) Chair of the BOC;
- (2) Vice chair of the BOC; and
- (3) The immediate past chair of the BOC. In the event the past chair is no longer serving as a BOC member, the secretary of the BOC shall succeed to the Executive Committee.

b. Duties of the Executive Committee shall include:

- (1) Developing, reviewing, and approving the monthly BOC agenda;
- (2) Performing BOC self-assessments by developing performance targets and assessing annually their achievement using a survey, interviews, or by other methods the BOC deems appropriate;
- (3) Reviewing BOC policies and recommending changes to be presented to the BOC; and
- (4) Any matter referred to it by the BOC chair or agency director.

2. Audit/Finance Committee

a. The Audit/Finance Committee will meet with the agency director and designated staff to conduct business, including but not limited to:

- (1) Reviewing and analyzing the ODOC's annual budget request and budget work program;
 - (2) Recommending to the BOC the type and scope of the audits to be performed for the agency, the Oklahoma Correctional Industries and Agri-Services;
 - (3) Recommending to the BOC the entity, firm or person to perform audits;
 - (4) Determining the type, content and frequency of financial reports to fulfil proper financial oversight and compliance with Oklahoma Statutes; and
 - (5) Ensuring controls are in place to safeguard the assets of the agency as well as controls for proper financial reporting.
- b. The Audit/Finance Committee will meet as needed to review the budget request due in October of each fiscal year.
 - c. The Audit/Finance Committee will meet as needed to review the budget work program due June 1 or as soon thereafter as possible of each fiscal year.
 - d. The Audit/Finance Committee chair or a designee will report to the BOC and request formal approval of the budget request and budget work program.
3. Population/Private Prison Committee
- a. The Population/Private Prison Committee will meet as needed with the agency director and designated staff to conduct business, including but not limited to:
 - (1) Reviewing the ODOC's population status, operating procedures, and the review and approval of facilities' authorized capacity.
 - (2) Reviewing and approving requests for proposals, determining contract performance standards, proposing rules and regulations, reviewing and approving proposed per diem costs for the ensuing fiscal year, and reviewing the cost benefit analysis required by law.
 - (3) Reviewing ODOC policies and procedures which may affect female inmates/offenders to ensure a level of parity that avoids and/or minimizes any discrimination.

The Population/Private Prison Committee chair or a designee will report to the full BOC their recommendations and request formal approval thereof.

4. Public Policy/Affairs Committee

- a. The Public Policy/Affairs Committee will meet with the agency director and designated and appropriate staff to conduct business, including but not limited to the review and approval of the specific language of the legislative initiatives of the ODOC.
- b. The Public Policy/Affairs Committee will meet prior to each legislative session, and from time to time during the legislative session, to review and discuss any necessary changes.
- c. The Public Policy/Affairs Committee, the agency director and designated staff will interface, as necessary, with members of other state boards, associations, organizations, agencies and designated appropriate staff to coordinate activities relating to the above named entities.
- d. The Public Policy/Affairs Committee chair or a designee will report to the BOC their recommendations and request formal approval thereof.

5. Criminal Justice Reform Committee

- a. The Criminal Justice Reform Committee will meet as necessary with the agency director and designated staff to conduct business, including but not limited to:
 - (1) Reviewing, developing and updating current ODOC policies and procedures to support criminal justice reform.
 - (2) Exploring opportunities for cooperative efforts and to promote awareness of ODOC policies and procedures as it relates to criminal justice reform.
 - (3) Providing direction and guidance to facilitate long-term objectives of the agency.
- b. The Criminal Justice Reform Committee, the agency director and designated staff will interface, as necessary, with members of other state boards, associations, organizations, agencies and designated appropriate staff to coordinate activities relating to the above named entities.

- c. The Criminal Justice Reform Committee chair or a designee will report to the BOC their recommendations and request formal approval thereof.

6. Technology Committee

- a. The Technology Committee will meet as necessary with the agency director and designated staff to conduct business, including but not limited to:
 - (1) Developing a budget request due in October of each year.
 - (2) Development of a strategic modernization plan that encompasses the needs of the agency and its functioning divisions, departments, and groups.
 - (3) Maintaining the strategic plan as a living document that encompasses changes in needs, budget availability, growth, and maintains technological currency.
 - (4) Provide insight and direction in strategic partnerships with legacy stakeholders and the development of new opportunities in information sharing.
- b. The Technology Committee, the agency director and the CIO will communicate as necessary with Oklahoma Management and Enterprise Services (OMES), Information Services Division, to propagate working relationships.
- c. The Technology Committee will hear reports of new initiatives modernizing the agency or selected portions and carry this information forward to the general board for discussion and/or approval as necessary.

D. Committee Sunset Provision

All committees not designated as a standing committee shall expire after one calendar year from the date of the committee's inception, unless the BOC approves the committee's continued existence.

E. BOC Agenda

The chair and/or the Executive Committee shall be contacted in order for any item to be placed on the BOC agenda for a regular or special BOC meeting. Proposed agendas will be prepared and posted approximately seven days prior to any BOC meeting. A final agenda will be posted at least 24 hours in advance of any BOC meeting. After final posting, no

additions to the agenda will be considered unless it falls under the item of new business in compliance with the Oklahoma Open Meeting Act. The decision of the chair will be final for placing items on the agenda for the next meeting unless requested by three members of the BOC in a timely manner.

F. Requests for Information by BOC Members

Any BOC member or committee may request information from ODOC that is within the BOC's statutory authority, provided such request is presented to the agency director who may refer the request to the appropriate member of the ODOC staff. Copies of such information shall be provided to all members of the BOC, as deemed appropriate by the agency director and/or the BOC Executive Committee. Any requests that cause significant increases in workload for the agency director or ODOC staff should be referred to the BOC Executive Committee for approval or placed on the next BOC meeting's agenda for consideration by the BOC. The agency director will determine whether the request presents a significant increase in workload and the time required responding to the request. If required, the agency director will request that the BOC member contact the BOC chair to place the item on the agenda for the next BOC meeting.

III. Public Access

The ODOC and its BOC share the responsibility to provide information concerning ODOC to Oklahoma citizens. The BOC will allow public and press inquiry of each BOC member after each BOC meeting, as each individual BOC member's schedule permits. All requests for information from BOC members shall be referred to the agency director for appropriate response.

A. Requests for Information

Requests for information from the public regarding an individual inmate must meet the following requirements:

1. The request must comply with [OP-060212](#) entitled "Maintenance and Access of Inmate/Offender Records" and "Authorization to Release Department of Corrections Record Information" form ([DOC 060212F](#)).
2. If the request is regarding questionable policy practices or possible criminal behavior by staff or an inmate, specific facts must be provided by the requesting party prior to any response.

For any request that does not involve possible criminal behavior by the inmate or that places the requesting party in jeopardy, the information gathered for the response shall be provided to the inmate by the unit staff. The inmate shall then have the opportunity to forward the information to the requesting party. The inmate shall be encouraged to utilize the

grievance procedure, when appropriate.

This section will not apply to open records requests or requests by an inmate's attorney of record or elected public officials.

Unless otherwise provided by the Oklahoma Open Meeting Act, all BOC meetings will be open and accessible by the public. All members of the public attending BOC meetings shall be subject to any security procedures deemed necessary by the ODOC. Any person who has been denied access to any ODOC facility or institution may be allowed to attend a BOC meeting, provided the person meets all security concerns, and shall be limited to the specific room where the meeting is held, and shall be required to arrive within a reasonable time before the meeting and leave within a reasonable time after the adjournment of the meeting.

IV. Members Representing the BOC

Only members or committees authorized by the chair and/or the Executive Committee or pursuant to a duly adopted BOC resolution may represent the BOC before the executive or legislative branch or before any other branch or agency of the state or federal government or before any private entity, including the press. Except as noted above, media comments may be made stating only the personal views or positions of the member on matters that may come before the BOC. Members may express their personal views on any proposed legislation affecting the ODOC.

V. References

OP-060212 entitled "Maintenance and Access of Inmate/Offender Records"

25 O.S. 301-314

57 O.S. 503, 504, 506, 510, 561, 561.1

74 O.S. 2.2

577 P. 2nd 1310 (Okla. 1978)

VI. Action

The agency director is responsible for compliance with this policy.

The agency director and the Board of Corrections are responsible for the annual review and revisions.

Any exceptions to this policy statement will require prior written approval of the Board of Corrections.

This policy is effective as indicated.

Replaced: Policy Statement No. P-010200 entitled "Operating Procedures and Policies for the Oklahoma Board of Corrections" dated May 9, 2018

Distribution: Policy and Operations Manuals
Agency Website (Public)
Board Website (Private)

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
DOC 060212F	“Authorization to Release Department of Corrections Record Information”	OP-060212

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment A	“Performance Expectations for Members of the Oklahoma Board of Corrections”	Attached

PERFORMANCE EXPECTATIONS FOR MEMBERS OF THE OKLAHOMA BOARD OF CORRECTIONS

Board members recognize that being selected to serve as a member is a significant honor. Because Oklahoma's incarceration rates are so high, our Oklahoma Department of Corrections (ODOC) system includes a 77-county, 24-hour, 7-day a week, comprehensive network of institutions, community corrections centers, statewide probation and parole services, correctional industries, agriculture operations, treatment programs, work release, halfway house and private prison contracting and oversight, medical, programs, community sentencing acts, and a variety of other mandates, expectations, and operations. Couple these with death penalty requirements, life and death decisions with hostage and riot situations, and the need to constantly educate all stakeholders, and ODOC has one of the most complex and comprehensive correctional systems in the nation.

This complexity is enhanced by a system that has antiquated facilities in dire need of refurbishment, funding, and staffing shortages, and other increasing demands on the system. ODOC has a budget of over a half billion dollars and over 4,200 employees. Thus, the Board member position is comparable to that of a large corporate director position, as the demands, expectations, qualifications, and external interactions, resemble those of many of our country's major corporations.

The Board sets challenging goals that focus on educating, directing and holding accountable the ODOC to relentlessly seek improvement, while advocating correctional excellence. Because the Board seeks to lead and set an example for all of ODOC's stakeholders, the Board of the State of Oklahoma has adopted certain performance expectations for its members. The following are legal and moral responsibilities, operational responsibilities, professional development requirements, and essential Board duties:

A. Legal and Moral Responsibilities

Board members are expected to conduct themselves above reproach in all of their public and private affairs, and wherever possible, avoid even the appearance of impropriety. They are expected to be models of integrity in their working relationships that demonstrates trust, honesty, and ethical behavior. They realize their high calling and place great importance on their roles as members, and possess a strong belief in the mission and goals of the Board and ODOC.

B. Operational Responsibilities

Board members provide effective oversight to ODOC in the enabling legislative Board guidelines. Board members are expected to:

1. Be completely knowledgeable of the Standard Operating Procedures for the Board and understands the history and purpose of the ODOC.
2. Attend all meetings, Board retreats, advancements, training, and strategic planning events, unless unavoidable personal, family, or business issues preclude them from doing so.
3. Arrive prepared for meetings, having read the agenda, minutes of previous meetings, and any reports and information sent out earlier.

4. Sit as Chair and/or members of the various Board standing and/or ad hoc committees.
5. Treat other Board members with respect and appropriate decorum. Sidebar conversations during meetings should be avoided as being potentially disruptive and discourteous.
6. Be open to members with diverse views, opinions, and expectations.
7. Create an environment that encourages learning, growth, and development of its members.
8. Have relationships with other Board members that demonstrate openness, trust, and mutual respect.
9. Foster an atmosphere open to the exchange of ideas and dialogue before, during, and after Board meetings.
10. Participate fully in Board business during meetings.
11. Use skills and talent to positively influence and impact areas within the Board and the ODOC.
12. Put aside personal positions when compromise is necessary.
13. Continuously challenge themselves to improve.
14. Assure themselves that they know what was decided in meeting and any responsibilities that were assigned to them.
15. Be comfortable with changing established ways of doing business.
16. Understand the ODOC, both financially, and operationally to enable knowledgeable discussion of existing or prospective ODOC policies, including, but not limited to the financial impact of such policies.

C. Professional Development Requirements

Like ODOC employees, Board members are expected to engage in continuous professional development. This includes Board members who:

1. Attend, as a newly appointed Board member, an ODOC orientation to become familiar with ODOC operations.
2. Are knowledgeable of the Modern Rules of Order.
3. Participate in training opportunities.
4. Actively and critically read recommended professional development materials and actively incorporate the lessons learned into action.
5. Develop new skills to contribute to the Board and ODOC.

D. Essential Board Duties

Board members are required by law to:

1. Consider appointments of facility heads and other staff members as desired by the Board.
2. Select architectural firms for projects when the architect's fee is over \$200,000.
3. Approve requisitions for construction contracts where estimated construction costs are greater than \$500,000.
4. Be involved in the selection of sites for new institutions and community corrections centers, and select and approve relocation of existing correctional facilities.
5. Review and approve the proposed ODOC budget before it is submitted to the Office of Management and Enterprise Services in the fall of each year for review by the Governor.
6. Review and approve all emergency expenditures of money that exceed the agency director's authority as allowed by law.
7. Make the final decision in selecting a contractor for the construction, operation or both from a list of the top three qualified prospective private prison contractors identified by ODOC.
8. Evaluate material furnished by ODOC regarding proposed new contracts for the operation, lease, or lease/purchase of a private prison and make a final decision selecting the contractor.
9. Authorize the agency director of ODOC to issue a letter or memorandum of support for any project involving construction or operation of a correctional facility other than the State of Oklahoma according to established procedures.

Board members are required by Board operating procedures to:

10. Establish policies for the operation of ODOC.
11. Refer to the agency director or designee for response any inquiries regarding ODOC's operations, actions, or policies received by Board members from the public, employees, or inmates. If those inquiries are of such a nature that referral to the agency director may be inappropriate, then referral should be made to the chairperson of the Board for appropriate disposition.
12. Encouraged to annually conduct at least one visit to an ODOC institution, community corrections center, and probation and parole office.
13. Serve on or chair one or more of the Board's standing or ad hoc committees.

(R 12/19)

Item #9
FY 2019 Internal Financial Quarterly
Audit Reports

**Oklahoma Department of Corrections
Internal Audit Summary Report
Fourth Quarter FY19**

Reporting Period: 4th Quarter of FY19

The Fiscal Management compliance and Internal Controls over the following financial activities were examined, to include Accounts Payables, Accounts Receivables (Prisoners Public Works Project, and OCI Partnership Contractors and Factory Sales), Purchasing, Receiving, Purchase Cards, Express Checks, Debit Cards, Canteen (OBS and Inventory), Trust Fund, Warehouse Inventory, Oklahoma Correctional Industries Factory Inventory (Raw Materials, Work in Process and Finished Goods) and Fixed Assets Management System.

In this reporting period, the financial internal audit unit closed and submitted 18 compliance audit reports to the State Auditor and Director of Auditing and Compliance.

Audited Facilities/Units	Date of Audit
1. <i>Probation & Parole Region I</i>	4/10/2019
2. Mabel Bassett Correctional Center	4/10/2019
3. <i>Kate Barnard Correctional Center</i>	4/18/2019
4. Enid Community Corrections Center	4/22/2019
5. Region III (Private Prison, Halfway House, Jail Contracts)	4/25/2019
6. OCI at Mack Alford Correctional Center	5/01/2019
7. OCI at John Lilley Correctional Center	5/07/2019
8. OCI at Dick Conner Correctional Center	6/06/2019
9. <i>Lexington Assessment and Reception Center</i>	6/06/2019
10. OCI at Joseph Harp Correctional Center	
Computer Operations and Records Conversion	6/06/2019
11. OCI at Joseph Harp Correctional Center	6/17/2019
12. <i>Joseph Harp Correctional Center</i>	6/17/2019
13. OCI at Lexington Assessment and Reception Center	6/17/2019
14. OCI at Oklahoma State Reformatory (Manufacturing)	6/20/2019
15. Davis Correctional Facility (Private prison)	6/26/2019
16. OCI at Lawton Correctional Facility	6/26/2019
17. Cimarron Correctional Facility (Private Prison)	6/26/2019
18. Lawton Correctional Facility (Private Prison)	6/26/2019

Of the 18 facilities/units audited in the 4th quarter of FY19, four had reportable noncompliance or internal control findings, which are indicated above (bold and italicized).

Summary of Noncompliance Findings in accordance with Fiscal Management Policy

Prisoner Public Works Programs

- **Probation and Parole Region I**

Summary of Findings:

- The facility had no valid contract in place;
- Late billing; and
- Deposit not located.

Summary of Action Taken:

- New contracts are in place.
- Billings are up to date and a system is in place for timely billings.
- All billings will be sent to central location for processing. The missing deposit was located and the deposit was made.

Warehouse Inventory

- **Kate Barnard Correctional Center**
- **Lexington Assessment and Reception Center**

Summary of Findings:

- The sampled inventory was not in agreement with closing inventory balance.

Summary of Action Taken:

- A 100% inventory will be conducted, as well as unannounced spot checks, to insure accuracy of inventory.
- A sample spread sheet has been provided to facilitate inventory control.
- With new warehouse supervisor in place, a 100% count will be needed to give provide accurate records upon assuming duties and the level of expected practice for future counts.

Canteen Purchasing

- **Joseph Harp Correctional Center**
- **Lexington Assessment and Reception Center**

Summary of Findings:

- Purchase orders of goods for resale were requested on the same day the facility canteen received the goods. Purchase orders are required prior to the order being received.
- Inventory adjustments are not documented after the monthly inventory as defined by ODOC policy.
- The sampled inventory was not in agreement with closing inventory balance.

Summary of Action Taken:

- The canteen supervisor has ceased this practice and the Internal Audit Unit will continue to monitor to insure compliance.
- Effective at the exit briefing, all adjustments will be documented before end of closing.
- A 100% inventory will be conducted, as well as unannounced spot checks, to insure accuracy.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Probation and Parole Region I

April 10, 2019

FOR THE PERIODS

FY 19 July 1, 2018 to January 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Probation and Parole Region I

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Probation and Parole Region I

April 10, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Probation and Parole Region I a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, July 31, 2018 to January 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Probation and Parole Receipts and Fixed Asset Inventory System.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Probation and Parole Region I is materially in compliance with state law and department directives. OS Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to Probation and Parole Region I is the responsibility of the Probation and Parole Region I management. As part of obtaining reasonable assurance about whether Probation and Parole Region I is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests as listed in Schedule A – Compliance disclosed certain conditions that are required to be reported. The Plan of Corrective Action is included.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Probation and Parole Region I

April 10, 2019

PPWP

Criteria: Oklahoma Department of Corrections OP's 090106 entitled "Contract Agreements" Section III A. Public agencies desiring to participate in Prisoners Public Works Programs (PPWP) will be required to submit an application before entering into a written service agreement with ODOC. Contracts being renewed with any changes will require a new application to be submitted before the contract is renewed. **Service agreements will specify the standards of performance required for both parties.**

- a. Any modification to the basic contract or any questions concerning the contracting entity must be reviewed and addressed by the general counsel.
- b. Any amendment/addendum to an existing contract will be approved by the general counsel.

Finding 1

The Oklahoma Department of Corrections does not have a contract with Turley Transitional Center or Tulsa Transitional Center to provide trustees to perform services.

Effect: The Public Agencies and Probation and Parole Region I may be in violation of the above mentioned policy.

PLAN OF CORRECTIVE ACTION

Trustees located at the halfway houses are paid through the Offender Banking System, by the Department of Corrections, upon the notification by the halfway house of inmates on trustee status. The Business Offices then bill the halfway houses for this pay. This practice has always been included in the Fixed Rate Contract with each halfway house. However, when the new contracts were put into place, the Attachment B that included this information regarding the billing was excluded from the contract. Business Services Coordinator Jennifer McAlister has been advised by Region III Director Greg Williams that

Attachment B will be added back into the contract when the new contracts are issued for the coming fiscal year.

Criteria: Attachment “B” of the Fixed Rate Service Contract with Turley Transitional Center, LLC and Tulsa Transitional Center, LLC trustees, states “The Contractor may request offenders for trustee status not to exceed fourteen (14) offenders. Trustees may only be offenders who are PPWP eligible and not work release eligible. Trustees who request treatment shall be provided access to all programs and benefits as other offenders. Trustees shall not be utilized for new construction, major renovations or additions to Contractor property. They shall not be used on non-contract property. Contractor shall pay trustees \$27.09 per month for their services. The host district shall invoice the Contractor for the monthly trustee pay. Prior to assigning offenders on trustee status to the Contractor, the host district must approve the assignment.”

Finding 2

Probation and Parole Region I does not have a contract with Turley Transitional Center, LLC or Tulsa Transitional Center, LLC; however, the above stated attachment “B” from a previous years contract is being used to determine amount owed, and does not have any terms of agreement stated.

Turley Transitional Center, LLC and Tulsa Transitional Center, LLC Trustee invoices were not billed monthly by electronic mail, according to the attachment “B”.

PPWP CREW	Service Periods	Month Should Have Billed	Date Billed	Date Payment Received	Invoice Amount
TTC	Jan 2018	Feb 2018	07/18/18	08/27/18	\$ 327.79
TTC	Feb 2018	Mar 2018	07/18/18	08/27/18	\$ 297.99
TTC	Mar 2018	Apr 2018	07/18/18	08/27/18	\$ 327.79
TTC	Apr 2018	May 2018	07/18/18	08/27/18	\$ 327.79
TTC	May 2018	Jun 2018	07/18/18	08/27/18	<u>\$ 89.40</u>
Total					\$1,370.76
Turley	Feb 2018	Mar 2018	07/18/18	08/27/18	\$ 59.60
Turley	Mar 2018	Apr 2018	07/18/18	08/27/18	\$327.79
Turley	Apr 2018	May 2018	07/18/18	08/27/18	\$327.79
Turley	May 2018	Jun 2018	07/18/18	08/27/18	<u>\$268.19</u>
Total					\$983.37

Effect: The unit did not have a contract other than attachment B; however, they still were not billing in a timely manner for services rendered.

Risk: Revenues generated from services rendered that are not invoiced and collected in a timely manner may affect cash flow, and cause the facility to draw funds from other sources to pay offenders.

PLAN OF CORRECTIVE ACTION

The billing for the months listed happened between the time the previous business manager for the Tulsa County District office left and the time when the new business manager began. During this time period, the operations of the region were being managed by the Business Services Coordinator for Community. The billings for January through May 2018 were billed in July 2018 by the new business manager. The billings have now been caught up and are billed monthly, on time. The new business manager is keeping up with the billing process.

Criteria: Title 62 Public Finance OS 34.57, entitled **Agency Clearing Accounts-Deposits-Transfers-Exemptions** states:

“A. There is hereby created in the official depository in the State Treasury an agency clearing account for each state officer, department, board, commission, institution or agency of the state, hereinafter referred to collectively as state agencies. An agency special account established under Section 7.2 of this title may be used for the purposes of an agency clearing account.

B. It shall be the duty of each state agency, officer or employee, to deposit in the agency clearing account, or agency special account, established under Section 7.2 of this title.”

Finding 3

As of April 2, 2019 documentation for the following deposit could not be located:

PPWP Crew	Service Periods	Date Billed	Amount Billed
TTC	Nov 2018	11/28/18	\$119.20
Turley	Oct 2018	10/26/18	\$208.59
Turley	Dec 2018	12/20/18	<u>\$149.00</u>
Total			\$357.59

Effect: The Public Agencies may be in violation of state statute mentioned above.

PLAN OF CORRECTIVE ACTION

Until the January 2019 billings, CoreCivic was sending all of the trustee payments for TTC and Turley to Clara Waters Community Corrections Center for deposit. It was determined that the vendor code CoreCivic was using was incorrect and causing all of the checks to be sent to CWCCC. This has been discussed with CoreCivic and they are working on adding the Tulsa Business Office in their system as a vendor. Some checks were deposited by the business office at Kate Barnard Correctional Center while others were sent to DOC admin for deposit. Copies of all transactions were sent to the Business Manager. He has been advised on how to properly invoice, deposit, and track the trustee invoices and payments. The Business Services Coordinator has sent an example of how to track items and how deposits are made.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Mabel Bassett Correctional Center

April 10, 2019

FOR THE PERIODS

FY 18 April 1, 2018 to June 30, 2018
FY 19 July 1, 2018 to March 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Mabel Bassett Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Mabel Bassett Correctional Center

April 10, 2019

Chairman, Board of Corrections

We have conducted a compliance audit of Mabel Bassett Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, April 1, 2018 to June 30, 2018, and FY 19, July 1, 2018 to March 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Canteen, Trust Fund, Food Service, Warehouse and Fixed Asset Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Mabel Bassett Correctional Center is materially in compliance with state law and department directives. OS Title §74-228, §74-229, and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to Mabel Bassett Correctional Center is the responsibility of the Mabel Bassett Correctional Center management. As part of obtaining reasonable assurance about whether at Mabel Bassett Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Patrick Donnelly

Patrick Donnelly

Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Kate Barnard Correctional Center

April 18, 2019

FOR THE PERIODS

FY 18 February 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to February 28, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Kate Barnard Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Kate Barnard Correctional Center

April 18, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Kate Barnard Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, July 1, 2017 to June 30, 2018 and FY 19, July 1, 2018 to March 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, PPWP, Food Services, Warehouse Inventory, and Fixed Assets Inventory System.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Kate Barnard Correctional Center is materially in compliance with state law and department directives, (OS Title §74-228, §74-229 and OP 120101 entitled "Fiscal Management Responsibilities").

Compliance with laws, regulations, and contracts applicable to Kate Barnard Correctional Center is the responsibility of the Kate Barnard Correctional Center management. As part of obtaining reasonable assurance about whether Kate Barnard Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests as listed in Schedule A – Compliance disclosed certain conditions that are required to be reported. The Plan of Corrective Action is included.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Kate Barnard Correctional Center

April 18, 2019

Warehouse

Criteria: Generally Accepted Accounting Principles dictates that inventory must be accurately recorded on a timely basis in order to ensure that all movements (receipts, adjustments and issues) are accounted for and properly disclosed on the Financial Statements to comply with reporting and accountability standards, per FASB 330 - entitled Inventory.

Finding:

Thirty three percent (33.33%) of the items sampled (4 of 12) on the day of the audit (04/10/19) were not in agreement with the reported closing inventory balance.

Effect: Inaccurate inventory records may result in over or understated inventory valuations. Errors in inventory records may result in shortages or spoilage.

Failure to maintain inventory control procedures may give cause for misappropriation of inventory items.

- RISKS**
- (1) Theft of Inventory may go undetected.
 - (2) Loss of revenue.
 - (3) Inadequate supplies to meet demand.
 - (4) Inaccurate disclosed Balance Sheet valuation.

Recommendations:

- 1. Upon delivery all warehouse goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits or returns.
- 2. Conduct unannounced spot checks of the warehouse inventory report against the shelf count at least once every other week or more frequently as determined by the Warden.
- 3. Restrict access to the warehouse.

PLAN OF CORRECTIVE ACTION

- 1. Hire a full-time warehouse employee.
- 2. Get a complete and accurate inventory.

3. Ensure a perpetual inventory process is initiated to maintain an accurate inventory.
4. Spot checks will be completed at least bi-weekly by facility administrative staff as tours are conducted.
5. Restrict access to the warehouse. (This item has already been completed).

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Enid Community Corrections Center

April 22, 2019

FOR THE PERIODS

FY 18 May 1, 2018 to June 30, 2018
FY 19 July 1, 2018 to March 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Enid Community Corrections Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Enid Community Corrections Center

April 22, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Enid Community Corrections Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, May 1, 2018 to June 30, 2018 and FY 19, July 1, 2018 to March 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, Prison Public Works Program and Fixed Assets Inventory System.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Enid Community Corrections Center is materially in compliance with state law and department directives. OS Title §57-510 A.14, Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to Enid Community Corrections Center is the responsibility of the Enid Community Corrections Center management. As part of obtaining reasonable assurance about whether Enid Community Corrections Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Region III
Halfway Houses, County Jails, and Private Prison Administration

April 25, 2019

FOR THE PERIODS

FY 18 April 1, 2018 to June 30, 2018
FY 19 July 1, 2018 to March 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Region III
Halfway Houses, County Jails, and Private Prison Administration

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Region III - Halfway Houses, County Jails, and Private Prisons

April 25, 2019

Chairman, Oklahoma Board of Corrections

We have conducted a compliance audit of Region III; Halfway Houses, County Jails, and Private Prison Administration a part of the primary government, state of Oklahoma, Department of Corrections, for the period FY 18, April 1, 2018 to June 30, 2018, and FY 19, July 1, 2018 to March 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Private Prisons, Halfway Houses and County Jail Back up contracts.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Halfway Houses, County Jails, and Private Prison Administration is materially in compliance with state law and department directives. OS Title §74-228, §74-229, and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to Halfway Houses, County Jails, and Private Prisons is the responsibility of the Region III management. As part of obtaining reasonable assurance about whether at Region III is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instance of noncompliance that is required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Patrick Donnelly
Patrick Donnelly
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

**OCI Manufacturing
At
Mack Alford Correctional Center**

May 1, 2019

FOR THE PERIODS

FY 18 June 1, 2018 to June 30, 2018
FY 19 July 1, 2018 to March 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing at Mack Alford Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Manufacturing at Mack Alford Correctional Center

May 1, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of OCI Manufacturing at Mack Alford Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, June 1, 2018 to June 30, 2018 and FY 19, July 31, 2018 to March 31, 2019. The areas covered in this audit were Purchase Cards, Finished Goods, Raw Material and FAIS Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at Mack Alford Correctional Center is materially in compliance with state law and department directives. OS Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at Mack Alford Correctional Center is the responsibility of the OCI Manufacturing at Mack Alford Correctional Center management. As part of obtaining reasonable assurance about whether OCI Manufacturing at Mack Alford Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

**OCI Manufacturing
At
John Lilley Correctional Center**

May 7, 2019

FOR THE PERIODS

FY 18 March 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to April 30, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing at John Lilley Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Manufacturing at John Lilley Correctional Center

May 7, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of OCI Manufacturing at John Lilley Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, March 1, 2018 to June 30, 2018 and FY 19, July 31, 2018 to April 30, 2019. The areas covered in this audit were Purchase Cards, Finished Goods, Raw Material and FAIS Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at John Lilley Correctional Center is materially in compliance with state law and department directives. OS Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at John Lilley Correctional Center is the responsibility of the OCI Manufacturing at John Lilley Correctional Center management. As part of obtaining reasonable assurance about whether OCI Manufacturing at John Lilley Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing

AT

Dick Conner Correctional Center

June 6, 2019

FOR THE PERIODS

FY 18 April 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing

AT

Dick Conner Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Manufacturing at Dick Conner Correctional Center

June 6, 2019

Chairman, Oklahoma Board of Corrections

We have conducted a compliance audit of OCI Manufacturing at Dick Conner Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, April 1, 2018 to June 30, 2018, and FY 19, July 1, 2018 to May 31, 2019. The areas covered in this audit were Purchase Cards, Raw Material, Work in Progress, Finished Goods, and Fixed Asset Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at Dick Conner Correctional Center is materially in compliance with state law and department directives. OS Title §74-228, §74-229, and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at Dick Conner Correctional Center is the responsibility of the OCI Manufacturing at Dick Conner Correctional Center management. As part of obtaining reasonable assurance about whether at OCI Manufacturing at Dick Conner Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Patrick Donnelly

Patrick Donnelly

Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Lexington Assessment and Reception Center

June 6, 2019

FOR THE PERIODS

FY 18 May 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to April 30, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Lexington Assessment and Reception Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Lexington Assessment and Reception Centers

June 6, 2019

Chairman, Oklahoma Board of Corrections
Department of Corrections

We have conducted a compliance audit of Lexington Assessment and Reception Centers a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, May 1, 2018 to June 30, 2018, and FY 19, July 1, 2018 to April 30, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, Canteen, Security Items, Warehouse, and Fixed Asset Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Lexington Assessment and Reception Centers is materially in compliance with state law and department directives. OS Title §74-228, §74-229, and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to Lexington Assessment and Reception Centers is the responsibility of the Lexington Assessment and Reception Centers management. As part of obtaining reasonable assurance about whether at Lexington Assessment and Reception Centers is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests as listed on Schedule A – Compliance and Schedule B – Internal Control disclosed certain conditions that are required to be reported herein under department policy or Government Auditing Standards.

The Plan of Corrective Action is included on Schedule A & B – Compliance/Control

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely
Patrick Donnelly
Patrick Donnelly
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

SCHEDULE A – COMPLIANCE

May 21, 2019

CANTEEN

Criteria: OP 120230 entitled “Offender Banking System” Section II ‘Canteen’ sub section C.5 “Standard for Canteen Services” “Canteen Inventory states:

a. Canteens will conduct a 100% inventory of all items once a month.

(1) The inventory will be conducted at a consistent time each month, e.g., the second Tuesday of each month or the last day of the month is acceptable.

b. When entering and classifying a canteen inventory adjustment, the following standards will be used.

(1) Inventory Correction

An inventory correction will be used when the problem is known but uncorrectable due to system restrictions.

(a) This will not be used when product is discovered missing and the reason for the product loss are known. Losses discovered during an inventory normally would not qualify for this correction type.

(b) This will be used if a vendor gives credit for salable items that will be added to the inventory.

(2) Shrinkage

This is used when the reason for an inventory adjustment is not known.

(a) If it is discovered that the items on the shelf are a different quantity than the quantity shown on the system inventory, unless a clerical error is confirmed, use this adjustment type.

(b) The adjustments from the monthly inventory and any other inventories and spot checks will normally be entered here.

(3) Spoilage

Spoilage adjustments occur when inventory becomes unsalable due to damage, breakage or item exceeds “sale by date” or “expiration date”.

(4) Disposable Items

This is used for inventory consumed as a point of sale (POS) supply. These are items purchased by the canteen with a purchase order (PO) but given to the customer at no charge to execute a sale (example: sacks, spoons for ice cream, etc.).

(5) Vendor Return

“Vendor Return” is used as an inventory adjustment when inventory is received out of date damaged or actual count is short from the vendor and the vendor has given an “on-invoice credit.” When a vendor return is recorded as an inventory adjustment, there should be an offsetting account payable “discount/credit” adjustment on an inventory receiving document.

Finding 1

Inventory adjustments are not documented after the monthly inventory count, as defined by policy.

Effect: Inaccurate inventory records may result in over or understated inventory valuations as disclosed on the Departments Balance Sheet. Additionally, errors in inventory records may result in shortages or spoilage and may impede the detection of the unauthorized issuance or theft of inventory items.

Plan of Corrective Action:

Starting May 22nd, 2019 all vendor returns, shrinkage, spoilage, disposable items, and inventory error corrections will have documentation as to why.

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule B: INTERNAL CONTROL

LEXINGTON ASSESSMENT AND RECEPTION CENTER

May 21, 2019

CANTEEN

Criteria: Generally Accepted Accounting Principles dictates that inventory must be accurately recorded on a timely basis in order to ensure that all movements (receipts, adjustments and issues) are accounted for and properly disclosed on the Financial Statements to comply with reporting and accountability standards, per FASB 330 - entitled Inventory.

Finding 1:

Thirty two percent (31.81%) of the items sampled (17 of 44) on the day of the audit (05/21/19) were not in agreement with the reported closing inventory balance.

Effect: Inaccurate inventory records may result in over or understated inventory valuations as disclosed on the Departments Balance Sheet. Additionally, errors in inventory records may result in obsolescence, shortages or spoilage and may impede the detection of the unauthorized issuance or theft of inventory items.

Recommendation:

1. Upon delivery all canteen goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits.
2. Conduct unannounced spot checks of the inventory at least once every other week or more frequently as determined by the warden.
3. Adjustments should be accurately detailed on the inventory adjustment screen.

4. Adjustments should be made immediately after the monthly inventory count.
5. All vendor returns should be well documented referencing the purchase order number, receiving number and invoice number. Records should be kept in the vendor's file.
6. Offenders working in the canteen should be subject to regular shakedowns at the end of the day before leaving the canteen.
7. Bagged orders should be double counted by staff and the bag stapled shut.
8. The canteen should be monitored with cameras.
9. The canteen should be adequately staffed to monitor offender activity.

WAREHOUSE

Criteria: Generally Accepted Accounting Principles dictates that inventory must be accurately recorded on a timely basis in order to ensure that all movements (receipts, adjustments and issues) are accounted for and properly disclosed on the Financial Statements to comply with reporting and accountability standards, per FASB 330 - entitled Inventory.

Finding 2

Thirty six percent (35.29%) of the items sampled (6 of 17) on the day of the audit (05/21/19) were not in agreement with the reported closing inventory balance.

Effect: Inaccurate inventory records may result in over or understated inventory valuations as disclosed on the Departments Balance Sheet. Additionally, errors in inventory records may result in obsolescence, shortages or spoilage and may impede the detection of the unauthorized issuance or theft of inventory items.

Failure to maintain inventory control procedures may give cause for misappropriation of inventory items.

- RISKS**
- (1) Theft of Inventory may go undetected.
 - (2) Loss of revenue.
 - (3) Inadequate supplies to meet demand.
 - (4) Inaccurate disclosed Balance Sheet valuation.

Recommendations:

1. A 100% inventory count be complete for as a recently new warehouse manager has been appointed to give him a "fresh start"

2. Insure kitchen personnel that obtain goods from the warehouse on weekends maintain an accurate record of what they are transferring to the kitchen.
3. Upon delivery all warehouse goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits or returns.
4. Conduct unannounced spot checks of the warehouse inventory report against the shelf count at least once every other week or more frequently as determined by the Warden.
5. Offenders working in the warehouse should be subject to regular shakedowns at the end of the day before leaving the canteen.
6. Restrict access to the warehouse.

Plan of Corrective Action:

1. There will be a 100% inventory count completed.
2. All personnel obtaining goods from the warehouse after hours will be instructed on which forms to fill out to ensure all transfers are recorded accurately.
3. All deliveries will be counted by the warehouse supervisor and quantities compared against the invoice and purchase orders.
4. Unannounced spot checks will be performed at least once every other week.
5. Offenders working in the warehouse will be subject to daily strip searches at the end of each work day upon return to their housing unit.
6. After hours access to the warehouse will be restricted to Cpt. and above, and kitchen officers.
7. On the first week of every month a full inventory of the warehouse will be completed with a report sent to the deputy. For this week unit orders will be restricted to essentials i.e., inmate toilet paper and caustic supplies.

DEPARTMENT OF CORRECTIONS

Internal Audit Report
OCI Computer Operations & Records Conversion

AT

Joseph Harp Correctional Center

June 12, 2019

FOR THE PERIODS

FY 18 June 1 2018 to June 30, 2018
FY 19 July 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Computer Operations & Records Conversion

AT

Joseph Harp Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Computer Operations and Records Conversion

June 12, 2019

Chairman, Oklahoma Board of Corrections

We have conducted a compliance audit of OCI Computer Operations and Records Conversion a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, June 1, 2018 to June 30, 2018, and FY 19, July 1, 2018 to May 31, 2019. The areas covered in this audit were Purchase Cards, and Fixed Asset Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Computer Operations and Records Conversion is materially in compliance with state law and department directives. OS Title §74-228, §74-229, and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Computer Operations and Records Conversion is the responsibility of the OCI Computer Operations and Records Conversion management. As part of obtaining reasonable assurance about whether at OCI Computer Operations and Records Conversion is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Patrick Donnelly

Patrick Donnelly

Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

**OCI Manufacturing
At
Joseph Harp Correctional Center**

June 17, 2019

FOR THE PERIODS

FY 18 June 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing at Joseph Harp Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Manufacturing at Joseph Harp Correctional Center

June 17, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of OCI Manufacturing at Joseph Harp Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, June 1, 2018 to June 30, 2018 and FY 19, July 31, 2018 to May 31, 2019. The areas covered in this audit were Purchase Cards, Finished Goods, Raw Material and FAIS Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at Joseph Harp Correctional Center is materially in compliance with state law and department directives. OS Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at Joseph Harp Correctional Center is the responsibility of the OCI Manufacturing at Joseph Harp Correctional Center management. As part of obtaining reasonable assurance about whether OCI Manufacturing at Joseph Harp Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Joseph Harp Correctional Center

June 17, 2019

FOR THE PERIODS

FY 18 May 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to April 30, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Joseph Harp Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Joseph Harp Correctional Center

June 17, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Joseph Harp Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, May 1, 2018 to June 30, 2018 and FY 19, July 1, 2018 to April 30, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, Warehouse, Inventory, and Fixed Assets Inventory System.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether Joseph Harp Correctional Center is materially in compliance with state law and department directives, (OS Title §57-510 A.14, Title §74-228, §74-229 and OP 120101 entitled "Fiscal Management Responsibilities").

Compliance with laws, regulations, and contracts applicable to Joseph Harp Correctional Center is the responsibility of the Joseph Harp Correctional Center management. As part of obtaining reasonable assurance about whether Joseph Harp Correctional Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests as listed in Schedule A – Compliance disclosed certain conditions that are required to be reported. The Plan of Corrective Action is included.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Joseph Harp Correctional Center

June 17, 2019

Canteen Purchasing

Criteria: OS 62 Section 41.16A...Whenever departments, institutions, boards, commissions or agencies of this State enter into a contract for, or on behalf of the State for purchase of goods, wares, or merchandise, or for construction of buildings, roads, bridges, or any other thing for which labor and materials must be furnished by outside vendors, such agreement shall be evidenced by written contracts or purchase orders and must be transmitted to the Director of State Finance within a reasonable time.

Condition: The canteen supervisor is creating a purchase order at the same time as the canteen purchases are delivered. The vendor's invoice is dated before the actual purchase order.

Purchase Order #	Purchase Order date		receiving date
Invoice date			
CJHC190005	07/06/2018	07/06/2018	07/05/2018
CJHC190074	11/01/2018	11/01/2018	10/31/2018
CJHC190119	01/31/2019	01/31/2019	01/30/2019
CJHC190141	03/07/2019	03/07/2019	03/06/3019
CJHC190152	03/21/2019	03/22/2019	03/20/2019
CJHC190158	04/04/2019	04/04/2019	04/01/2019
CJHC190173	05/02/2019	05/02/2019	05/01/2019

Effect: Ordering goods prior to valid purchase order is in place is in violation of the state statute.

Recommendation: The canteen supervisor uses the system in place to order canteen items, and complete a purchase order before receiving the goods.

PLAN OF CORRECTIVE ACTION

Once there was a deficiency noted in the procurement process (procedural error) for purchasing provisions from a provider in the canteen. Canteen staff

were immediately instructed to make recommended changes as to ensure compliance with state statute.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

**OCI Manufacturing
At
Lexington Assessment and Reception Center**

June 17, 2019

FOR THE PERIODS

FY 18 June 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing at Lexington Assessment and Reception Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Manufacturing at Lexington Assessment and Reception Center

June 17, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of OCI Manufacturing at Lexington Assessment and Reception Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, June 1, 2018 to June 30, 2018 and FY 19, July 31, 2018 to May 31, 2019. The areas covered in this audit were Purchase Cards, Finished Goods, Raw Material and FAIS Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at Lexington Assessment and Reception Center is materially in compliance with state law and department directives. OS Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at Lexington Assessment and Reception Center is the responsibility of the OCI Manufacturing at Lexington Assessment and Reception Center management. As part of obtaining reasonable assurance about whether OCI Manufacturing at Lexington Assessment and Reception Center is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teresa Davenport

Teresa Davenport
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

**OCI Manufacturing
At
Oklahoma State Reformatory**

June 20, 2019

FOR THE PERIODS

FY 18 June 1, 2018 to June 30, 2018

FY 19 July 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing at Oklahoma State Reformatory

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

OCI Manufacturing at Oklahoma State Reformatory

June 20, 2019

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of OCI Manufacturing at Oklahoma State Reformatory a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, June 1, 2018 to June 30, 2018 and FY 19, July 31, 2018 to May 31, 2019. The areas covered in this audit were Purchase Cards, Finished Goods, Raw Material and FAIS Inventory.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at Oklahoma State Reformatory is materially in compliance with state law and department directives. OS Title §74-228, §74-229 and OP 120101 entitled Fiscal Management Responsibilities.

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at Oklahoma State Reformatory is the responsibility of the OCI Manufacturing at Oklahoma State Reformatory management. As part of obtaining reasonable assurance about whether OCI Manufacturing at Oklahoma State Reformatory is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance that are required to be reported herein under department policy or Government Auditing Standards.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

AT

DAVIS CORRECTIONAL FACILITY

June 26, 2019

FOR THE PERIODS

FY 18, June 1, 2018 to June 30, 2018

FY 19, June 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

DAVIS CORRECTIONAL FACILITY

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Report on Applying Agreed Upon Procedures

Page 1

Internal Auditor's Report on Applying Agreed-Upon Procedures

DAVIS CORRECTIONAL FACILITY

June 26, 2019

Chairman
Oklahoma Board of Corrections

We applied the procedures enumerated below to the Commissary and Inmate Trust Fund Accounts of Davis Correctional Facility on June 20, 2019. These procedures, which were requested by the Director, Region III, were performed solely to assist you in evaluating the contractual compliance of the management of Davis Correctional Facility from June 1, 2018 to May 31, 2019. This engagement of agreed upon procedures was performed in accordance with standards for the Government Auditing Standards. The sufficiency of the procedures is solely the responsibility of the specified users of the report.

The procedures that we performed were as follows:

1. Spot checked the retail prices in the commissary of Davis Correctional Facility to ensure that these prices are not excessive when compared to State of Oklahoma operated facilities.
2. Reviewed both the savings and draw trust fund accounts for timeliness of posting, accuracy and remittance and the internal controls over these accounts.

We noted no areas that should be brought to your attention.

We were not engaged to, and did not perform an audit of Davis Correctional Facility or its parent corporation, the objective of which would be the expression of an opinion on the specific management controls. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported.

This report is intended solely for the use of management of Oklahoma Department of Corrections and its governing board.

Sincerely,



Patrick Donnelly
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI Manufacturing

AT

LAWTON CORRECTIONAL FACILITY

June 26, 2019

FOR THE PERIODS

FY 18, June 1, 2018 to June 30 2018

FY 19, June 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

OCI AT

LAWTON CORRECTIONAL CENTER

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OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

OCI Manufacturing at Lawton Correctional Facility

June 26, 2019

Chairman
Board of Corrections

We have conducted a compliance audit of OCI Manufacturing at Lawton Correctional Facility a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 18, June 1, 2018 to June 30, 2018 and FY 19, July 1, 2018 to May 31, 2019. The areas covered in this audit were Purchase Cards, Raw Materials, Finished goods and fixed Assets Inventory System.

The audit was conducted following department policy and state laws. Those standards and laws require that we plan and perform the audit to obtain reasonable assurance about whether OCI Manufacturing at Lawton Correctional Facility is materially in compliance with state law and department directives. (OS Title §74-228, §74-229 and OP 120101 entitled "Fiscal Management Responsibilities").

Compliance with laws, regulations, and contracts applicable to OCI Manufacturing at Lawton Correctional Facility is the responsibility of the OCI Manufacturing at Lawton Correctional Facility management. As part of obtaining reasonable assurance about whether at OCI Manufacturing at Lawton Correctional Facility is in material compliance, we performed tests of compliance with certain provisions of laws, regulations, contracts and policy.

The results of our tests disclosed no instances of noncompliance.

This report is intended for the information of the management of the Oklahoma Department of Corrections and its governing Board.

Sincerely



Patrick Donnelly
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

AT

CIMARRON CORRECTIONAL FACILITY

June 26, 2019

FOR THE PERIODS

FY 18, June 1, 2018 to June 30, 2018

FY 19, June 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

CIMARRON CORRECTIONAL FACILITY

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Report on Applying Agreed Upon Procedures

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Internal Auditor's Report on Applying Agreed-Upon Procedures

CIMARRON CORRECTIONAL FACILITY

June 26, 2019

Chairman
Oklahoma Board of Corrections

We applied the procedures enumerated below to the Commissary and Inmate Trust Fund Accounts of Cimarron Correctional Facility on June 20, 2019. These procedures, which were requested by the Director, Region III, were performed solely to assist you in evaluating the contractual compliance of the management of Cimarron Correctional Facility from June 1, 2018 to May 31, 2019. This engagement of agreed upon procedures was performed in accordance with standards for the Government Auditing Standards. The sufficiency of the procedures is solely the responsibility of the specified users of the report.

The procedures that we performed were as follows:

1. Spot checked the retail prices in the commissary of Cimarron Correctional Facility to ensure that these prices are not excessive when compared to State of Oklahoma operated facilities.
2. Reviewed both the savings and draw trust fund accounts for timeliness of posting, accuracy and remittance and the internal controls over these accounts.

We noted no areas that should be brought to your attention.

We were not engaged to, and did not perform an audit of Cimarron Correctional Facility or its parent corporation, the objective of which would be the expression of an opinion on the specific management controls. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported.

This report is intended solely for the use of management of Oklahoma Department of Corrections and its governing board.

Sincerely,



Patrick Donnelly
Internal Audit

DEPARTMENT OF CORRECTIONS

Internal Audit Report

AT

LAWTON CORRECTIONAL FACILITY

June 26, 2019

FOR THE PERIODS

FY 18, June 1, 2018 to June 30, 2018

FY 19, June 1, 2018 to May 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

LAWTON CORRECTIONAL FACILITY

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Report on Applying Agreed Upon Procedures

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Internal Auditor's Report on Applying Agreed-Upon Procedures

LAWTON CORRECTIONAL FACILITY

June 26, 2019

Chairman
Oklahoma Board of Corrections

We applied the procedures enumerated below to the Commissary and Inmate Trust Fund Accounts of Lawton Correctional Facility on June 20, 2019. These procedures, which were requested by the Director, Region III, were performed solely to assist you in evaluating the contractual compliance of the management of Lawton Correctional Facility from June 1, 2018 to May 31, 2019. This engagement of agreed upon procedures was performed in accordance with standards for the Government Auditing Standards. The sufficiency of the procedures is solely the responsibility of the specified users of the report.

The procedures that we performed were as follows:

1. Spot checked the retail prices in the commissary of Lawton Correctional Facility to ensure that these prices are not excessive when compared to State of Oklahoma operated facilities.
2. Reviewed both the savings and draw trust fund accounts for timeliness of posting, accuracy and remittance and the internal controls over these accounts.

We noted no areas that should be brought to your attention.

We were not engaged to, and did not perform an audit of Lawton Correctional Facility or its parent corporation, the objective of which would be the expression of an opinion on the specific management controls. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported.

This report is intended solely for the use of management of Oklahoma Department of Corrections and its governing board.

Sincerely,

Patrick Donnelly

Patrick Donnelly
Internal Audit

Item #10
GEO Contract Changes for PC Beds

AMENDMENT #2
CORRECTIONAL SERVICES CONTRACT

THIS AMENDMENT # 2 CORRECTIONAL SERVICES CONTRACT (Amendment #2), effective the 1st day of December, 2019, by and between the GEO GROUP, Inc. (“Contractor”) and the OKLAHOMA DEPARTMENT OF CORRECTIONS (“STATE”) hereby amends the FY 2019 Correctional Services Contract (“Contract”) that took effect July 1, 2018, and including Amendment #1, for services at the Lawton Correctional Facility.

NOW, THEREFORE, in consideration of the joint and mutual exercise of their powers, and in consideration of the mutual covenants herein contained, the parties hereto recite and agree to amend the Contract as follows:

Section 3.1 Offender Housing, is hereby deleted in its entirety and replaced with the following:

The Contractor agrees to provide appropriate housing in accordance with the Operating Standards for 2266 medium security offenders and 360 protective custody offenders, which number may increase or decrease, in which case the payment will be adjusted accordingly. The number of beds in this contract may be expanded by mutual consent of the parties with the per diem cost for additional beds to be negotiated. The 360 bed protective custody unit will comply with the provisions of the Department’s policies found in OP-040204 entitled “Segregation Measures” and OP-060106 entitled “Non-Associations and Protective Measures”.

Subsection A only of Section 7.1 Management Payment is hereby deleted in its entirety and replaced with the following (subsections B and C of Section 7.1 are not being deleted or amended):

A. As services are rendered and amounts become billable, the Department will pay a per diem of \$43.30 for medium security beds and \$50.00 for protective custody beds at the Lawton Correctional Facility.

All other terms and conditions of the Contract, as amended, shall remain the same and continue in effect through the term and renewals of the Contract.

All other terms and conditions of the Contract, as amended, shall remain the same and continue in effect through the term and renewals of the Contract.

IN WITNESS WHEREOF, the parties hereto have executed this Amendment #2 on the date indicated below.

Scott Crow, Interim Director
Oklahoma Department of Corrections

Amber Martin, Vice President
The GEO Group, Inc.


Date: _____

Date: November 4, 2019 _____

Approved by a vote of the Board of Corrections on this 13th day of November 2019.

Approved as to Form:

Gary Elliott, Interim General Counsel
Oklahoma Department of Corrections



Item #11
Legislative Initiatives Update



#	Subject	Submitted By	Page #
20-01	Medicaid Reimbursement Fee Schedule Rep. Roe	Clint Castleberry Health Services Dir.	3-5
20-02	Cleanup on HIPPA Notifications Rep. Roe	Clint Castleberry Health Services Dir	6, 7
20-03	Repeal or amend Title 22, 991a-21 – changing Post Imprisonment supervision to give P&P more latitude Rep. Humphrey	Probation & Parole	8, 9
20-04	Community Sentence cleanup to clarifying the entity to file statement w/ court - the supervising agency (DOC) or contracted provider.	Probation & Parole	10
20-05	Lessen statutory requirements for P&P Officers to only a bachelor's degree – deleting 24 hours of specialized courses. Add language to supplement experience for education to broaden pool of applicants.	Probation & Parole	11, 12
20-06	Expanding age for which an offender can qualify for the Delayed Sentencing Program from 18-21 to 18-25. Rep. Newton	Becky Guffy, Warden BJCC	13
20-07	CO age limit reduced from 20 to 18 years old. This will broaden the pool of applicants. Rep. Conley	Greg Williams	14
20-08	COs who are Commissioned Peace Officers able to keep commission if moved to non-commissioned position. Rep. Conley	Robert Hert Auditing/Compliance	15
20-09	Conflicting statutes regarding who appoints and affixes the salary of the director. Sen. Thompson	Gary Elliott General Counsel	16
20-10 *****	Standardize Sentencing Paperwork Amended Sec. 37 of Title 57 to eliminate the Notice of J&S since courts no longer have a deadline.	CRO Jesse Davis, JLCC	17
20-11	Identify positions that encompass those assigned to work inside prisons who were not included in last session's bill to increase pay by \$2/hr		18-20

2020 DOC Legislative Proposal Survey

NAME: Clint Castleberry	TITLE/DIVISION: Director, Health Services
LOCATION: OKC	
PHONE: 405-962-6105	EMAIL: clint.castleberry@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Contains language referring to Medicaid reimbursement fee schedule specifying that reimbursement will be no less than the fee structure in effect Jan 1, 2007. The Employee Group Insurance Division says that they don't keep the old fee schedules, making the current fee schedule the only fee schedule relevant. This change would then mirror what is in O.S. 57 Section 627.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	O.S. 57. Chapter 1. Section 38.3. http://www.oscn.net/applications/oscn/DeliverDocument.asp?CiteID=453351
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	See attached.
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	Clean up language. Possible that a network medical provider could contest network fees, if EGID establish reimbursement fees lower than they were Jan. 1, 2007. However, EGID reports they do not keep rate records back that far.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	No cost savings, should be cost negligible unless an instance were to occur as described under #4.
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	No
7. What are the consequences if this is not addressed during the 2020 legislative session?	Unknown
8. Is there anything else we should know when we consider this proposal?	Language has been submitted to EGID to determine if they will support

Oklahoma Statutes Citationized Title 57. Prisons and Reformatories Chapter 1 - General Provisions

Section 38.3 - Medical, Dental, and Mental Health Care for Inmates Cite as: O.S. §, ___ __

A. As used in this section:

1. "Emergency care" means the medical or surgical care necessary to treat the sudden onset of a potentially life- or limb-threatening condition or symptom;
2. "Dental emergency" means acute problems in the mouth exhibiting symptoms of pain, swelling, bleeding or elevation of temperature; and
3. "Mental health emergency" means a person exhibiting behavior due to mental illness that may be an immediate threat to others or himself or herself that renders the person incapable of caring for himself or herself.

B. The Department of Corrections shall reimburse health care providers for medical care and treatment for inmates retained in county jails after a certified copy of a judgment and sentence has been entered pursuant to the provisions of Section 980 of Title 22 of the Oklahoma Statutes or pursuant to the provisions of Section 988.12 or 991a-2 of Title 22 of the Oklahoma Statutes. Health care providers that are in the network established by the Department of Corrections in conjunction with the State and Education Employees Group Insurance Board shall be reimbursed according to the **current** fee schedule established for that network; ~~provided, that reimbursement will be no less than the fee structure that was in effect January 1, 2007, or the current fee schedule, whichever is greater.~~ Health care providers that are out of network shall be reimbursed according to the **current** Oklahoma Medicaid Fee Schedule; ~~provided, that reimbursement shall be no less than the fee structure that was in effect January 1, 2007, or the current fee schedule, whichever is greater.~~ Prior to obtaining nonemergency care outside the county jail facility, authorization must be received from the Department of Corrections. For any emergency care, dental emergency or mental health emergency care obtained outside the county jail facility, the Department of Corrections must be notified within twenty-four (24) hours. The Department of Corrections is hereby authorized to reject claims if proper notification has not been provided.

C. The sheriff shall be responsible for providing and paying for medical, dental and mental health care screening when an inmate is admitted, routine sick calls within the county jail and access to on-site physician services as is routinely provided for all inmates in the custody of the sheriff and as provided by Section 52 of Title 57 of the Oklahoma Statutes.

D. The Department of Corrections shall pay the pharmacy provider for medications provided to inmates retained in county jails after a certified copy of a judgment and sentence has been entered pursuant to the provisions of Section 980 of Title 22 of the Oklahoma Statutes or pursuant to the provisions of Section 988.12 or 991a-2 of Title 22 of the Oklahoma Statutes. If the pharmacy provider is a Medicaid provider, the pharmacy provider must bill the Department at Medicaid rates. The county jail shall be responsible for paying for any medications that are not listed on the Department of Corrections formulary, unless the county jail receives a written exception from the Department.

E. Dental and mental health care ~~shall~~ **may** be provided through the designated host facility of the Department of Corrections for inmates retained in county jails after a certified copy of a judgment and sentence has been entered pursuant to the provisions of Section 980 of Title 22 of the Oklahoma Statutes or pursuant to the provisions of Section 988.12 or 991a-2 of Title 22 of the Oklahoma Statutes. Each county jail is encouraged to work with local community mental health centers to provide necessary medications and emergency services that would be reimbursed pursuant to the provisions of this subsection.

F. The sheriff shall be responsible for transportation and security of inmates to all outside health care appointments including host facilities of the Department of Corrections.

G. Neither the Department of Corrections nor the sheriff shall be responsible for the cost of health care while an inmate is on escape status or for any injury incurred while on escape status.

H. The Department of Corrections shall not be responsible for payment of health care of inmates housed in the county jail under the following circumstances:

1. Prior to entry of a certified judgment and sentence pursuant to the provisions of Section 980 of Title 22 of the Oklahoma Statutes;
2. When an inmate is detained in the county jail pursuant to a writ of habeas corpus;
3. When an inmate is detained in the county jail for additional cases pending after a certified copy of the judgment and sentence has been entered;
4. When an inmate is detained in the county jail and his or her status is on hold for another jurisdiction; or
5. When an inmate is detained in the county jail and the inmate is sentenced to county jail time only.

Historical Data

Laws 2008, HB 3336, c. 366, § 8, emerg. eff. June 3, 2008.

Citationizer® Summary of

Name

Level

Documents Citing This Document

Cite

Oklahoma Attorney General's Opinions

Cite

Name

Level

[2011 OK AG 19,](#)

[Question Submitted by: The Honorable Jeff Hickman, Speaker Pro Tempore, State Representative, District 58](#)

[Discussed at Length](#)

2020 DOC Legislative Proposal Survey

NAME: Clint Castleberry	TITLE/DIVISION: Health Services
LOCATION: 2901 N. Classen, Suite 200	
PHONE: 405-962-6084	EMAIL: clint.castleberry@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Removes outdated language from statute regarding sharing of HIPAA protected information related to HIV/AIDS infected patients.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	O.S. 63. Section 1-523
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	See attached
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	Clean up language
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	Cost neutral
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	No
7. What are the consequences if this is not addressed during the 2019 legislative session?	Unknown
8. Is there anything else we should know when we consider this proposal?	Unsure if county jails will or won't support

Oklahoma Statutes Citationized Title 63. Public Health and Safety Chapter 1 - Oklahoma Public Health Code Venereal Disease Article Article 5 - Prevention and Control of Disease Section 1-523 - Institutions - Treatment of Infected Inmates Cite as: O.S. §, __ __

- A. 1. Any and all institutions in this state, whether penal or eleemosynary, public or private, and free or for pay, shall make, and preserve for a period of at least one (1) year, a record showing the name, age, sex, race, nationality and place of residence of any infected inmate of such institution who may come to their knowledge.
2. The institution shall make available such record at all reasonable hours for inspection by the State Commissioner of Health or the local health officer.
3. Such institutions shall further furnish a physician and all proper medicines, instruments and apparatus for the proper treatment of such infected inmate.

~~B. Each institution and each Department of Corrections district office, and each county or municipal jail shall notify their correctional officers, probation and parole officers, and any jailor, or other employee or any employee of the Pardon and Parole Board, who has or will have direct contact with an inmate, when such inmate is infected with the human immunodeficiency virus (HIV) or has the Acquired Immune Deficiency Syndrome (AIDS) disease.~~

- C. 1. If an officer or employee of the State of Oklahoma, or any other person comes into contact with the bodily fluids of an inmate in a state correctional facility, the Director of the Department of Corrections or designee, under such rules as the Director shall promulgate to carry out the provisions of this section, shall cause such inmate to be tested for such disease, if no prior record of the existence of such disease exists. If an officer or employee of a county jail, or any other person, comes into contact with the bodily fluids of an inmate in a county jail, the sheriff or designee, under policies the sheriff shall promulgate to carry out the provisions of this section, shall cause the inmate to be tested for such disease, if no prior record of the existence of such disease exists.
2. The Director or designee shall promptly communicate in writing the results of the test to the person so exposed and refer the employee to the Department of Correction's Employee Assistance Program for appropriate referrals for counseling, health care, and support services for the person so exposed. If the exposure occurs within a county jail, the sheriff or designee shall promptly communicate in writing the results of the test to the person so exposed and refer the employee to the employee assistance program of the county for appropriate referrals for counseling, health care, and support services for the person so exposed.
3. As used in this section, the term "serious transmissible disease" means the Human Immunodeficiency Virus (HIV) and hepatitis.

Historical Data

Laws 1963, SB 26, c. 325, art. 5, § 523, emerg. eff. July 1, 1963; Amended by Laws 1992, SB 845, c. 45, § 1, emerg. eff. April 3, 1992; Amended by Laws 1994, HB 2111, c. 58, § 1, emerg. eff. April 15, 1994; Amended by Laws 1998, SB 886, c. 148, § 1, emerg. eff. April 22, 1998 ([superseded document available](#)); Amended by Laws 2008, SB 3336, c. 366, § 9, emerg. eff. June 3, 2008 ([superseded document available](#)).

Citationizer® Summary of Documents Citing Name Level

This Document Cite

None Found.

2020 DOC Legislative Proposal Survey

NAME: Probation and Parole Services	TITLE/DIVISION: Probation and Parole Services
LOCATION: Probation and Parole Services	
PHONE: 405-425-2658	EMAIL:

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Repeal or major revision of the Post-Imprisonment statute.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	22 O.S. 991a-21
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	Repeal. If choosing to revise, the language in paragraph (A) needs to be changed allowing rules and conditions as set forth by the court (not DOC) be signed in open court at sentencing. This is why many DAs and courts will not intervene with violations of rules and conditions.
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	A great deal of resources is being devoted to Post-Imprisonment supervision in the Division of Probation and Parole Services, with little recourse for officers when offenders refuse supervision; or experience problems during supervision.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	There is no expected cost to implement the recommendation.
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	P&P services attempted to make this change last year. The proposal or change failed.
7. What are the consequences if this is not addressed during the 2020 legislative session?	Staff will continue to be frustrated with supervision that is not backed up by the courts. It does and will continue to take supervision resources away from lawfully sentenced probationers, parolees, and OPS offenders. We are unable to secure a warrant for offenders on PIS that leave the state. This places the public at risk and the state of Oklahoma responsible for the offender's behavior. The Interstate Commission for Adult Offender Supervision can fine Oklahoma for failing to retake offenders in other states.

8. Is there anything else we should know when we consider this proposal?

Offenders released to Post-imprisonment Supervision fail to report after release and are not held accountable for supervision because the controlling jurisdiction refuses to issue warrants or applications. District attorneys and judges do not think they have the authority under the current law to act.

Title 22. Criminal Procedure

§22-991a-21. Post-imprisonment supervision.

Universal Citation: [22 OK Stat § 22-991a-21 \(2014\)](#)

A. For persons convicted and sentenced on or after November 1, 2012, the court shall include in the sentence of any person who is convicted of a felony and sentenced to a term of confinement with the Department of Corrections, as provided in Section 991a of Title 22 of the Oklahoma Statutes or any other provision of the Oklahoma Statutes, a term of post-imprisonment supervision. The post-imprisonment supervision shall be for a period of not less than nine (9) months nor more than one (1) year following confinement of the person and shall be served under conditions prescribed by the ~~Department of Corrections~~ court. In no event shall the post-imprisonment supervision be a reason to reduce the term of confinement for a person.

B. The court shall not include a term of post-imprisonment supervision for any person who has been sentenced to life without parole.

C. Should the offender fail to comply with the terms of post-imprisonment supervision, the offender may be sanctioned to serve a term of confinement of six (6) months in an intermediate revocation facility.

D. Nothing in this section shall prevent the state from revoking, in whole or in part, the post-imprisonment supervision, ~~probation or parole~~ of a person for committing any misdemeanor or felony ~~or absconding~~ while under such supervision, ~~probation or parole~~.

Added by Laws 2012, c. 228, § 4, eff. Nov. 1, 2012.

2020 DOC Legislative Proposal Survey

NAME: Probation and Parole Services	TITLE/DIVISION: Probation and Parole Services
LOCATION: Probation and Parole Services	
PHONE: 405-425-2658	EMAIL:

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Clean-up – clarification
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	Title 22-988.22 (B)
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	B. Upon completion of any court-ordered provision, pursuant to the Oklahoma Community Sentencing Act, the administrator of the local system shall <u>supervising agency or contracted provider</u> shall file a statement with the court defining the provision which has been successfully completed. When all court-ordered provisions have been successfully completed, the defendant shall be deemed to have completed the community punishment.
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	Provides clarification
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	There are no costs associated with implementation.
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	No
7. What are the consequences if this is not addressed during the 2020 legislative session?	
8. Is there anything else we should know when we consider this proposal?	No

2020 DOC Legislative Proposal Survey

NAME: Probation and Parole Services	TITLE/DIVISION: Probation and Parole Services
LOCATION: Probation and Parole Services	
PHONE: 405-425-2658	EMAIL:

QUESTION	RESPONSE
<p>1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.</p>	<p>Broadening applicant opportunities and retention efforts.</p>
<p>2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx</p>	<p>Title 57, Section 515</p>
<p>3. Include the recommended language if you have it.</p> <p>If you need to attach it on a separate piece of paper or provide a link to a website, please do so.</p>	<p>Currently, statute requires P&P Officers to have a bachelor degree with 24 hours of specialized courses. Removing the 24 hours of specialized course would open the job market to anyone with a bachelor’s degree. Additionally, add language making individuals eligible with applicable experience; substituting 1 year of experience for every year of education. Applicable experience would include correctional experience which involved the security, classification, assessment or field supervision of probationers, parolees, and/or inmates.</p>
<p>4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?</p>	<p>Our agency applicant pool has declined in certain areas. There are many qualified applicants externally and within our agency who were unable to attend college. This would provide additional job opportunities for external applicants and more promotional options for internal employees. This could also have a positive impact on retention. As a state agency, we cannot compete with other factions of law enforcement and private businesses regarding salary. Many other agencies and businesses require less education and pay more. Although this will not affect internal pay scales at current positions, by loosening the education requirement and allowing substitution of experience; it will broaden initial appointment lists and assist with career progression within the agency.</p>
<p>5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.</p>	<p>Should not accrue costs to implement. Has potential to provide cost saving measures. Less time/man hours utilized with hiring process if additional internal applicants qualify with experience.</p>

6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	Unknown
7. What are the consequences if this is not addressed during the 2020 legislative session?	Potential negative effects with retention and available applicants continuing.
8. Is there anything else we should know when we consider this proposal?	Not at this time.

2020 DOC Legislative Proposal Survey

NAME: Becky Guffy	TITLE/DIVISION: Warden/Division II
LOCATION: Bill Johnson CC	
PHONE: 580-327-8000	EMAIL: becky.guffy@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Over the last year we have noticed a decline in the number of offenders being ordered to the Delayed Sentencing Program for young adults. We believe this is due to SQ780 changing what will qualify an offender for the program.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	It is hoped that the judicial system will choose delayed sentencing as opposed to lengthy straight-time sentences.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	No cost to implement. Savings is unknown at this time as it depends on if the judiciary system uses it.
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	To my knowledge this kind of change has not been previously proposed.
7. What are the consequences if this is not addressed during the 2020 legislative session?	The judiciary system will impose longer sentences due to certain crime categories disqualifying offenders from the program.
8. Is there anything else we should know when we consider this proposal?	None at this time.

2020 DOC Legislative Proposal Survey

NAME: Greg Williams	TITLE/DIVISION:
LOCATION: Admin.	
PHONE:	EMAIL: gary.elliott@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Shortage of correctional officers.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	57 O.S. 510(A)(2)(a)
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	A. The Director of the Department of Corrections shall have the following specific powers and duties relating to the penal institutions: 1. To appoint, subject to the approval of the State Board of Corrections, a warden for each penal institution; 2. To fix the duties of the wardens and to appoint and fix the duties and compensation of such other personnel for each penal institution as may be necessary for the proper operation thereof. However, correctional officers hired after November 1, 1995, shall be subject to the following qualifications: a. the minimum age for service shall be <u>eighteen (18) years of age</u> . The Director shall have the authority to establish the maximum age for correctional officers entering service,
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	We need more correctional officers.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	None expected.
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	No.
7. What are the consequences if this is not addressed during the 2020 legislative session?	The potential to attract a new age group of correctional officers will be lost.
8. Is there anything else we should know when we consider this proposal?	No.

2020 DOC Legislative Proposal Survey

NAME: Robert Hert	TITLE/DIVISION: Auditing and Compliance
LOCATION: Tulsa, OK	
PHONE: 918/295-3202	EMAIL: robert.hert@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Grant Director of OK DOC authority to allow employees who are commissioned as Peace Officers or have been commissioned as Peace Officers within the past year by the agency to maintain their commission as a Peace Officer if the employee voluntarily moves to a position within the agency that does not require a commission.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatuesTitle.aspx	Title 57 O.S. 510
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	See attached
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	In case of an emergency, the agency may have more commissioned Peace Officers to call upon for assistance. Implications: Possibly more personnel throughout the state with a higher level of training. May also aid in retaining personnel.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	Unknown
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	Unknown
7. What are the consequences if this is not addressed during the 2020 legislative session?	Unknown
8. Is there anything else we should know when we consider this proposal?	No

Proposed language to add to 57 O.S. 510:

When an employee who is commissioned as a Peace Officer by the department voluntarily moves into a position which does not require Peace Officer status, the Director may allow the employee to maintain their Peace Officer status.

2020 DOC Legislative Proposal Survey

NAME: Gary Elliott	TITLE/DIVISION: Acting General Counsel
LOCATION: Legal	
PHONE: 425-2517	EMAIL: gary.elliott@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Currently there are conflicting statutes regarding who appoints and affixes the salary of the director.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatuesTitle.aspx	57 O.S. 504 BOC Powers and Duties
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	The following language would simply be deleted from the statute: (6) To appoint and fix the salary of the Director;
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	Conflicting statutes are confusing. There are no implications other than reducing confusion. It will have no effect on any department.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	None.
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	No.
7. What are the consequences if this is not addressed during the 2020 legislative session?	The confusion will remain.
8. Is there anything else we should know when we consider this proposal?	No

2020 DOC Legislative Proposal Survey

NAME: Jesse Davis	TITLE/DIVISION: CRO I
LOCATION: JLCC	
PHONE: 918-667-4268	EMAIL: jesse.davis@doc.ok.gov

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Inmates arrive at LARC with paperwork from the sentencing county that is often incomplete to one degree or another. Often inmates have pending cases in another Oklahoma county that have not been tried when delivered to LARC. Sentencing paperwork is not standardized uniformly across all counties in Oklahoma. Jail time statements are not standardized uniformly across all counties in Oklahoma, and statements such as those prepared in Okmulgee County are nearly impossible to understand because they tell when the inmate was out, not when he/she was incarcerated. The Notice of J&S (only intended for scheduling purposes) often does not agree with the J&S that is prepared later, if the county prepares a J&S at all. Some counties only want to prepare the notice. Sometimes the language listed by the county does not match the state statute for the crime listed.
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	Delete the Notice of J&S since there is now no time limitation in statute requiring them be sent to DOC for scheduling purposes.
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	Reduces any confusion caused by the J&S and Notice of J&S.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	None
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	I do not know.
7. What are the consequences if this is not addressed during the 2019 legislative session?	
8. Is there anything else we should know when we consider this proposal?	

2020 DOC Legislative Proposal Survey

NAME:	TITLE/DIVISION:
LOCATION:	
PHONE:	EMAIL:

QUESTION	RESPONSE
1. Briefly describe the issue/problem that you want to address. Remember, this must be something that can be addressed in the Oklahoma statutes.	Identify positions that encompass those assigned to work inside prisons who were not included in last session's bill to increase pay by \$2/hour
2. List the statutory reference. Current statutes can be viewed online at http://www.oklegislature.gov/osStatutesTitle.aspx	Title 57, 528.7
3. Include the recommended language if you have it. If you need to attach it on a separate piece of paper or provide a link to a website, please do so.	
4. Why is this issue important to the Oklahoma Department of Corrections? What are the agency wide implications of the recommendation? How does it affect all departments?	432 DOC staff who work inside prisons were inadvertently left off a bill last year to provide a \$2/hour pay raise.
5. Expected cost to implement this recommendation, OR expected savings if this recommendation is implemented.	\$1,584,076
6. To the best of your knowledge, has this legislative change been attempted previously? If so, when and what was the outcome?	No
7. What are the consequences if this is not addressed during the 2020 legislative session?	
8. Is there anything else we should know when we consider this proposal?	

Effective July 1, 2020, all personnel of the Department of Corrections in the below specified job classifications who were employed by the state on the last working day of June 2020 shall be awarded an increase of up to Two Dollars (\$2.00) per hour over their current hourly wage, or an equivalent amount if not receiving an hourly wage. The Two Dollars (\$2.00) per hour raise will be reduced by a per hour amount proportional to the raise any Department of Corrections employee received in accordance with HB 2771, (2019). In order to qualify for the raise, the employee's assigned work location on the last working day of June 2020, must be either North Fork Correctional Center, Oklahoma City Community Correctional Center or a facility listed in Section 509, Title 57, Oklahoma Statutes.

1. Accountant;
2. Accounting Technician;
3. Administrative Assistant;
4. Administrative Programs Officer;
5. Administrative Specialist;
6. Administrative Technician;
7. Alcohol and Drug Counselor;
8. Business Manager;
9. Business Process Analyst;
10. Chaplain;
11. Chief Dental Officer;
12. Community Corrections Center Director;
13. Correctional Activities Officer;
14. Correctional Training Officer;
15. Deputy Warden;
16. Director of Classification/Population;
17. Electrician;
18. Executive Secretary;
19. Facility Classification Manager;
20. Fleet Specialist;
21. Human Resources Management Specialist;
22. Maintenance Technician;

- 23. Mechanical Systems Technician;
- 24. Offender Program Coordinator;
- 25. Physical Plant Operator;
- 26. Population Coordinator;
- 27. Program Facilitator;
- 28. Program Manager;
- 29. Secretary;
- 30. Substance Abuse Program Coordinator;
- 31. Temporary;
- 32. Transition Coordinator;
- 33. Warden;
- 34. Wastewater Treatment Operator.

Item #12
Inmate/Offender Population Update

Incarcerated Inmate Grand Total	Females	Males	Total
Current Population	2,764	22,991	25,755
Population Last Year	3,179	24,066	27,245
Change from last year	(415)	(1075)	(1490)

State Facilities	Females	Males	Total
Current Population	2,721	16,146	18,867
Population Last Year	2,906	16,922	19,828
Change	(185)	(776)	(961)

Private Prisons	Females	Males	Total
Current Population	0	5,819	5819
Population Last Year	0	5,914	5914
Change	0	(95)	(95)

County Jail Contracts	Females	Males	Total
Current Population	0	9	9
Population Last Year	0	12	12
Change	0	(3)	(3)

Halfway Houses	Females	Males	Total
Current Population	0	694	694
Population Last Year	236	907	1,143
Change	(236)	(213)	(449)

Out Count	Females	Males	Total
Current Population	43	323	366
Population Last Year	37	311	348
Change	6	12	18

Community Supervision Offender Grand Total	Females	Males	Total
Current Population	7,702	24,268	31,970
Population Last Year	8,191	25,237	33,428
Change from last year	(489)	(969)	(1,458)

Probation Supervision	Females	Males	Total
Current Population	6,007	19,014	25,021
Population Last Year	6,594	20,418	27,012
Change	(587)	(1404)	(1,991)

Parole Supervision	Females	Males	Total
Current Population	453	2,125	2,578
Population Last Year	409	1,991	2,400
Change	403	134	178

GPS	Females	Males	Total
Current Population	345	774	1119
Population Last Year	234	363	597
Change	111	411	522

Community Sentencing	Females	Males	Total
Current Population	897	2,342	3239
Population Last Year	952	2,450	3,402
Change	(55)	(108)	(163)

EMP	Females	Males	Total
Current Population	0	0	0
Population Last Year	0	2	2
Change	0	(2)	(2)

PPCS	Females	Males	Total
Current Population	0	1	1
Population Last Year	0	1	1
Change	0	0	0

CSP	Females	Males	Total
Current Population	0	0	0
Population Last Year	1	6	7
Change	(1)	(6)	(7)

Community Program Failures	Females	Males	Total
Current Population	0	12	12
Population Last Year	1	6	7
Change	(1)	6	5

County Jail Transfers Pending	Females	Males	Total
September 30, 2019	46	541	587
Population Last Year	50	902	952
Change	(4)	(361)	(365)

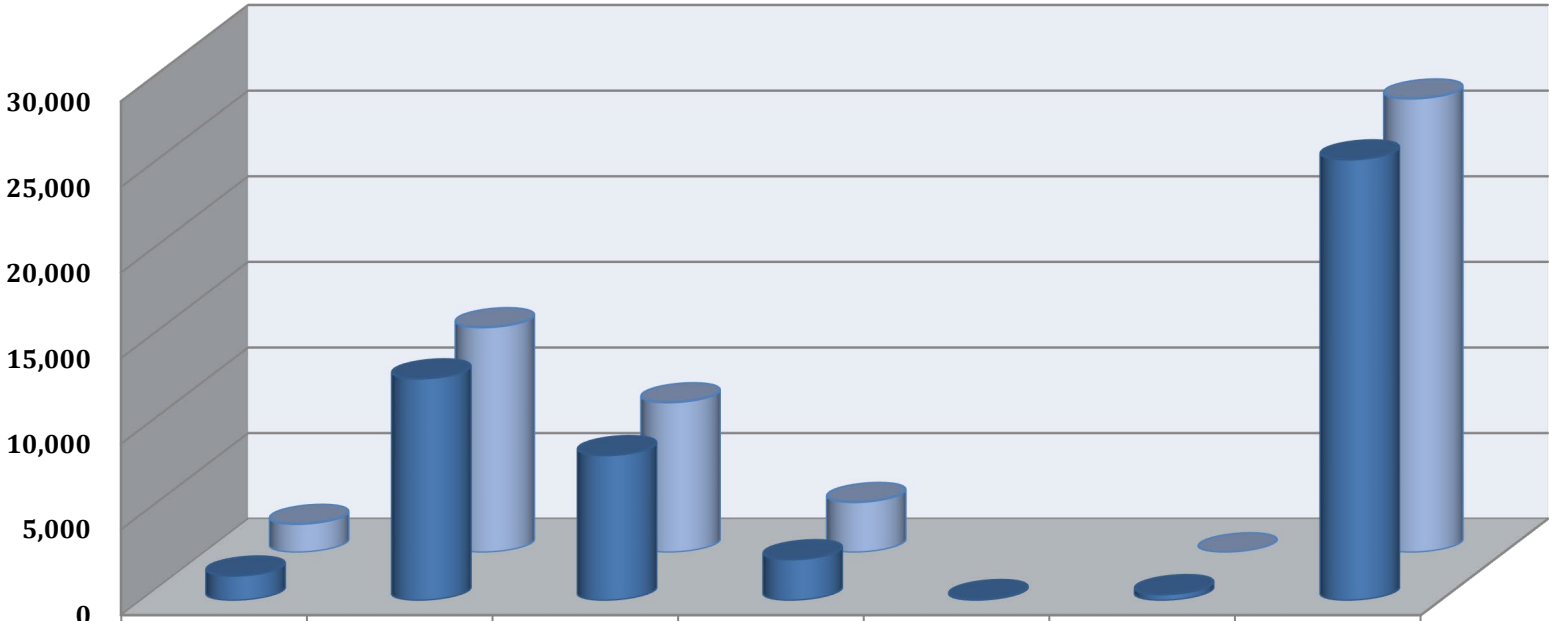
Total System Population	Females	Males	Total
Current System Population	10,512	47,800	58,312
Population Last Year	11,420	50,205	61,625
Change	(908)	(2,405)	(3,313)

Facility Type	Rated Operating Capacity	Inside Total Incarcerated Inmate Population	Inside Total as a Percent of Rated Operating Capacity
Assessment & Reception Centers	620	502	81%
In Transit	N/A	78	N/A
Institutions	14,967	16,577	111%
Community Corrections Centers	1,962	1,710	87%
Total State	17,549	18,867	108%
Private Prisons	5,950	5,819	98%
Contracted County Jails	18	9	50%
Halfway Houses	921	694	75%
Total Contract	6,889	6,522	95%
System Total	24,438	25,389	104%

Pardon & Parole Board Results	Females	Males	Total
Month: Oct 2019			
Considered	48	428	476
Denied	11	189	200
Recommended	37	239	276
Percentage Recommended	77.08%	55.84%	57.98%

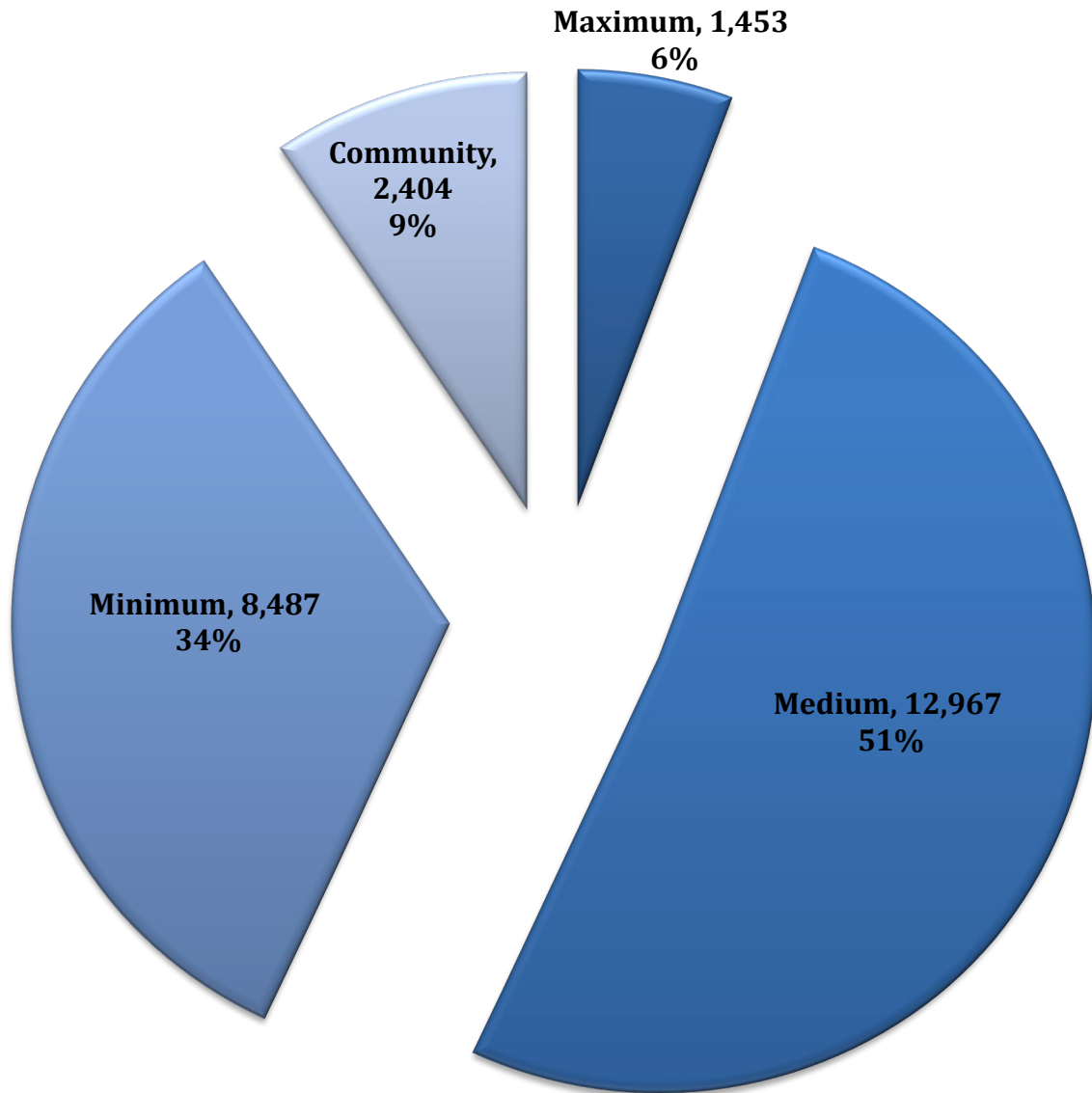
Governor's Actions	Females	Males	Total
Month: Oct 2019			
Reviewed	0	9	9
Approved	0	9	9
Denied	0	0	0
Percentage Approved			100.00%

Inmate and Bed Distribution October 31, 2019

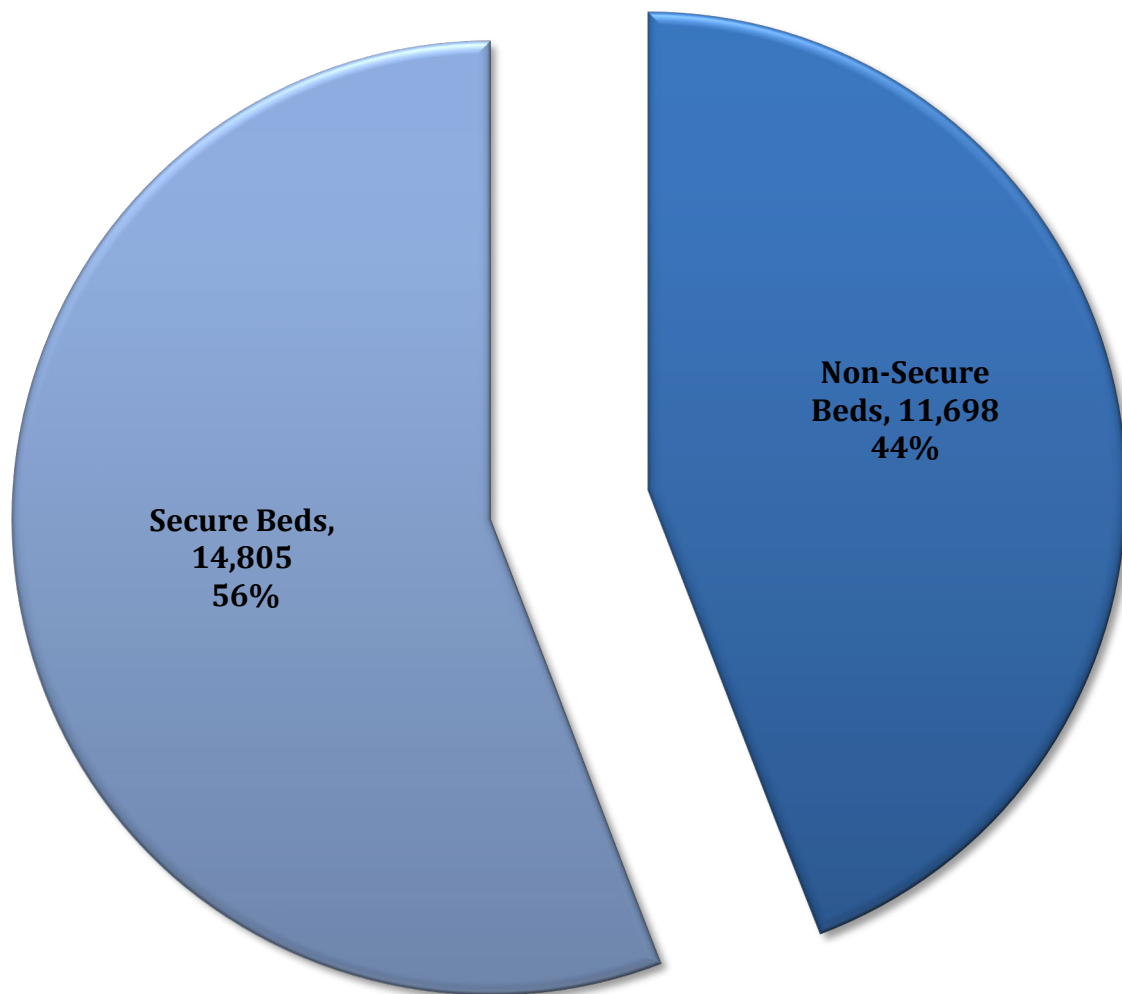


	Maximum	Medium	Minimum	Community	In-Transit	Outside Total	Total
Inmates	1,453	12,967	8,487	2,404	78	366	25,755
Rated + Temporary Beds	1,660	13,145	8,761	2,937		0	26,503

**Inmate Distribution by Security Level
October 31, 2019**



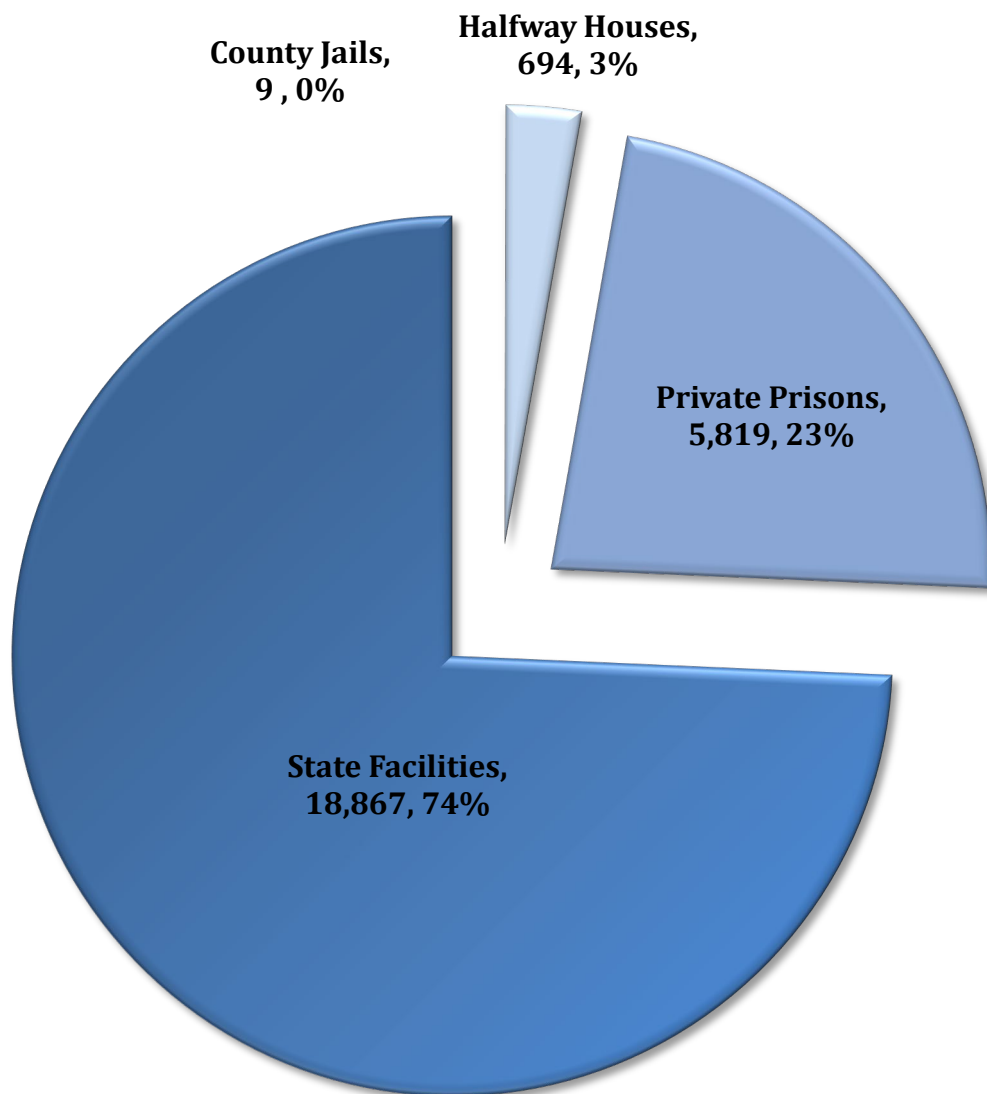
**Percentage of Inmates in Secure and Non-Secure Beds
October 31, 2019**




Secure beds include beds in maximum and medium state and contract facilities.

Non-Secure beds include beds in minimum state and contract facilities, community corrections centers and halfway houses.

**INMATES IN STATE FACILITIES VS. CONTRACT FACILITIES
OCTOBER 31, 2019**





Item #13
Budget Updates

Board of Corrections

Audit Finance Committee

Three Year Expenditure Comparison

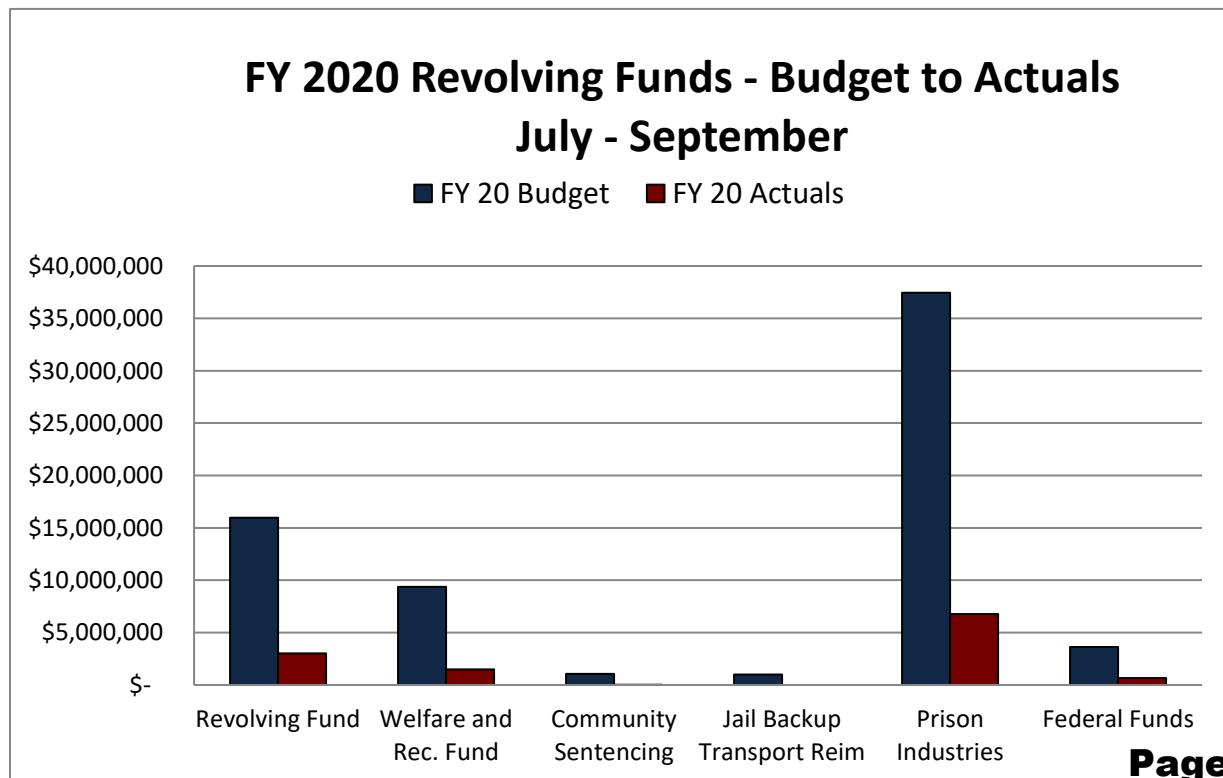
	FY 20 <u>July-September</u>	% Change from FY 19	FY 19 <u>July-September</u>	% Change from FY 18	FY 18 <u>July-September</u>
Salaries and Benefits					
Salaries	46,923,037	9.46%	42,868,469	4.53%	41,009,903
Overtime	3,705,206	14.69%	3,230,521	32.32%	2,441,512
Insurance	13,003,680	-0.87%	13,117,975	-0.90%	13,237,446
Retirement	11,466,263	9.16%	10,503,822	6.14%	9,896,049
Contract Beds	5,022	-34.20%	7,632	62.52%	4,696
Private Prisons	16,097,801	-0.55%	16,187,173	1.94%	15,879,102
Halfway Houses	1,631,929	-36.18%	2,557,109	-9.44%	2,823,572
Contracted County Jails	14,148	-18.89%	17,442	-18.06%	21,288
Jail Backup	627,615	-52.53%	1,322,136	-32.33%	1,953,693
Jail Backup Transportation Reim	58,355		-		-
Medical Services	8,605,238	28.88%	6,677,014	45.67%	4,583,520
Institutions	4,886,571	-15.01%	5,749,292	9.65%	5,243,486
Probation and Parole	332,166	-3.03%	342,543	2.29%	334,881
Community Corrections	500,182	-10.53%	559,058	4.94%	532,763
Inmate Programs	227,318	-72.44%	824,906	300.70%	205,866
Community Sentencing	272,195	-29.40%	385,529	-18.44%	472,689
General Operations	916,813	-19.35%	1,136,745	5.71%	1,075,364
NFCC Lease	2,750,000	10.00%	2,500,000	122.22%	1,125,000
Central Office Operations	239,026	-11.14%	268,983	24.79%	215,553
Divisional Operations	2,287,104	-12.78%	2,622,169	1.45%	2,584,796
IT	658,335	-44.40%	1,184,014	71.64%	689,819
Offender Management System					-
OCI and Agri-Services	2,830,658	5.34%	2,687,054	20.73%	2,225,686
	<u>\$ 118,038,661</u>	2.87%	<u>\$ 114,749,585</u>	7.69%	<u>\$ 106,556,684</u>
Average FTE July-September					
Correctional Officers	1,720		1,702		1,812
Probation Officers	268		255		268
Other	2,295		2,240		2,137
	<u>4,283</u>		<u>4,197</u>		<u>4,217</u>

September/August Expenditure Comparison

	FY 20		\$ Net Change
	September	August	
Salaries and Benefits	\$ 25,928,625	\$ 26,525,942	\$ (597,317)
Contract Beds	9,181,562	9,253,307	(71,745)
Medical Services	4,789,786	3,799,176	990,610
Institutions	2,274,285	2,204,097	70,188
Probation and Parole	182,485	105,393	77,092
Community Corrections	276,763	221,731	55,032
Inmate Programs	206,967	20,352	186,615
Community Sentencing	131,081	141,114	(10,032)
General Operations	1,247,479	1,336,434	(88,955)
Central Office Operations	150,147	86,570	63,576
Divisional Operations	1,114,677	1,044,994	69,683
IT	420,159	207,282	212,877
OCI and Agri-Services	1,360,691	1,451,193	(90,502)
	<u>\$ 47,264,707</u>	<u>\$ 46,397,584</u>	<u>\$ 867,123</u>
Correctional Officers	1,755	1,736	19
Probation Officers	265	268	(3)
Other	2,303	2,300	3
Total Staff	<u>4,323</u>	<u>4,304</u>	<u>19</u>

Three Year Revolving Fund Comparison

	FY 2020 Budget	FY 20 July-September	% Change from FY 19	FY 19 July-September	% Change from FY 18	FY 18 July-September
200 Revolving Fund	\$ 15,971,193	\$ 3,020,682	0.05%	\$ 3,019,173	-11.97%	\$ 3,429,600
205 Welfare and Rec. Fund	9,367,250	1,489,809	-23.56%	1,948,865	2.66%	1,898,301
210 Community Sentencing	1,045,591	33,825	-26.50%	46,018	47.46%	31,207
225 County Jail Transport Reim	1,000,000					
280 Prison Industries	37,434,185	6,773,225	-5.71%	7,183,777	23.36%	5,823,527
410 & 430 Federal Funds	3,619,987	674,580	-31.96%	991,381	96.80%	503,738
	<u>\$ 68,438,206</u>	<u>\$ 13,189,214</u>		<u>\$ 13,189,214</u>		<u>\$ 11,686,373</u>



FY 2020 Budget Work Program

	Current Budget	Expenditures	Trended	Balance
Salaries and Benefits	\$ 314,501,058	\$ 75,098,186	\$ 245,668,703	\$ (6,265,831.00)
Contract Beds	116,139,866	18,434,869	98,220,790	(515,793)
Medical Services	56,645,500	8,605,238	48,040,262	-
Institutions	29,579,789	4,886,571	24,028,519	664,699
Probation and Parole	1,586,940	332,166	1,190,205	64,569
Community Corrections	3,368,868	500,182	2,709,801	158,885
Inmate Programs	8,674,433	227,318	6,588,486	1,858,629
Community Sentencing	4,053,786	272,195	3,211,804	569,787
General Operations	25,451,675	3,666,813	20,422,143	1,362,719
Central Office Operations	1,966,033	239,026	1,563,769	163,238
Divisional Operations	18,653,925	2,287,104	14,822,436	1,544,385
IT	15,507,058	658,335	11,871,872	2,976,851
OCI and Agri-Services	26,869,099	2,830,658	21,275,091	2,763,350
Grand Total	<u>\$ 622,998,030</u>	<u>\$ 118,038,661</u>	<u>\$ 499,613,881</u>	<u>\$ 5,345,488</u>

FY 2020 Budget Work Programs includes all funding sources.

Oklahoma Department of Corrections
FY 2020 Appropriated Operating Budget through September 2019

Account Code	Budgeted	Expenditures	Encumbered	Pre-Encumbered	Committed	Total Balance
11,12,13 Payroll, Insurance, FICA and Retirement	\$ 305,364,539.00	\$ 72,968,958.62	\$ 3,079,050.00	\$ -	\$ 76,048,008.62	\$ 229,316,530.38
15 Professional Services	120,969,276.00	19,879,614.87	103,084,996.14	-	122,964,611.01	(1,995,335.01)
17 Moving Expenses	-	-	-	-	-	-
19 Flexible Benefits	270,000.00	26,408.60	283,591.40	-	310,000.00	(40,000.00)
21, 22 Travel	1,127,076.00	86,587.10	144,820.14	20,000.00	251,407.24	875,668.76
31 Miscellaneous Administrative Expenses	15,717,067.00	2,244,742.84	12,573,072.59	-	14,817,815.43	899,251.57
32 Rent Expense	14,910,561.00	3,430,898.49	10,193,167.89	70,100.01	13,694,166.39	1,216,394.61
33 Maintenance & Repair Expense	9,926,588.00	802,165.53	1,349,409.92	5,501.00	2,157,076.45	7,769,511.55
34 Specialized Supplies and Materials	40,921,825.00	7,689,490.83	31,469,978.49	20,000.00	39,179,469.32	1,742,355.68
35 Production, Safety and Security	1,737,724.00	55,813.92	1,158,987.15	-	1,214,801.07	522,922.93
36 General Operating Expenses	657,893.00	70,408.29	42,287.87	-	112,696.16	545,196.84
37 Shop Supplies	7,780,370.00	640,825.36	1,338,522.74	-	1,979,348.10	5,801,021.90
41 Property Furniture and Equipment	2,401,730.00	76,155.58	113,880.65	782.00	190,818.23	2,210,911.77
42 Library Equipment and Resources	2,650.00	1,269.73	-	-	1,269.73	1,380.27
43 Lease Purchase - OCIA bond payments	673,900.00	19,427.20	140,447.54	-	159,874.74	514,025.26
44 Live Stock – Poultry	-	-	-	-	-	-
45,46,47 Building Construction and Renovation	1,000.00	-	-	-	-	1,000.00
48 Bond Payment – ODFA Bonds	9,721,625.00	738,375.62	9,418,712.94	-	10,157,088.56	(435,463.56)
49 Inter-Agency Payments	-	-	-	-	-	-
51 Inmate Pay and Health Services	765,000.00	8,146.00	802,000.02	-	810,146.02	(45,146.02)
52 Scholarships, Tuition and other incentives	5,900.00	-	-	-	-	5,900.00
53 Refunds, Indemnities, and Restitution	300,000.00	-	-	-	-	300,000.00
54 Jail Back Up and others	8,405,000.00	627,815.00	7,776,685.00	-	8,404,500.00	500.00
55,59 Assistance Payments to Agencies	-	-	-	-	-	-
60 Authority Orders	-	-	7,814,453.17	-	7,814,453.17	(7,814,453.17)
61 Loans, Taxes, and other Disbursements	11,100.00	817.35	1,319.50	-	2,136.85	8,963.15
62 Transfers – Inmate Medical Payments	12,889,000.00	2,228,056.12	6,771,943.88	-	9,000,000.00	3,889,000.00
64 Merchandise for Resale	-	-	-	-	-	-
TOTAL	\$ 554,559,824.00	\$ 111,595,977.05	\$ 197,557,327.03	\$ 116,383.01	\$ 309,269,687.09	\$ 245,290,136.91

Funding	Budgeted	Expenditures	Encumbered	Pre-Encumbered	Committed	Total Balance
19001 GRF - Duties	553,418,360.00	110,454,513.05	197,557,327.03	116,383.01	308,128,223.09	245,290,136.91
19902 Duties	1,141,464.00	1,141,464.00	-	-	1,141,464.00	-
19911 FY 19 Carryover	-	-	-	-	-	-
TOTAL	\$ 554,559,824.00	\$ 111,595,977.05	\$ 197,557,327.03	\$ 116,383.01	\$ 309,269,687.09	\$ 245,290,136.91
Remaining Payroll						229,316,530.38
						\$ 15,973,606.53

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
July 1, 2019 through September 30, 2019

Revenue	Revenues	410 Fund	430 Fund	Funds
Code	Current:			
556	Federal Funds Rec'd from Non-Gov. Ag.	\$ 139,704.29	\$ -	\$ 139,704.29
561	Private Grants and Donations for Opns.	-	534,875.59	534,875.59
581	Reimbursements	-	-	-
	<i>Total Revenues</i>	<u>139,704.29</u>	<u>534,875.59</u>	<u>674,579.88</u>
Account	Expenditures			
Code	Current:			
11,12,13	Payroll	58,740.50	71,516.53	130,257.03
15	Professional Services	-	215,608.92	215,608.92
21, 22	Travel	20,720.22	-	20,720.22
31	Misc. Admin. Expenses	-	712.00	712.00
32	Rent	3,506.76	-	3,506.76
33	Maintenance and Repair	5,177.22	-	5,177.22
34	Specialized Supplies and Materials	-	-	-
35	Production, Safety and Security	-	4,521.97	4,521.97
36	General Operating Expenses	18,191.03	4,328.79	22,519.82
37	Shop Expense	-	-	-
41	Furniture and Equipment	252.25	17,575.14	17,827.39
42	Library Equipment and Resources	-	-	-
43	Lease Purchases	-	-	-
44	Livestock and Poultry	-	-	-
45	Land and Right-of-way	-	-	-
46	Building, Construction and Renovation	-	5,734.93	5,734.93
48	Debt Service	-	-	-
51	Inmate Pay and Health Services	-	-	-
52	Tuitions, Awards and Incentives	-	-	-
53	Refunds and Restitutions	-	-	-
54	Jail Backup, County Jails and Other	-	-	-
55	Payment to Gov. Sub-Division	-	-	-
59	Assistance Payments to Agencies	-	-	-
61	Loans, Taxes and Other Disbursements	-	-	-
62	Transfers - Out Sourced Health Care	-	-	-
64	Merchandise for Resale	-	-	-
	<i>Total Expenditures</i>	<u>106,587.98</u>	<u>319,998.28</u>	<u>426,586.26</u>
	<i>Excess of Revenues Over (Under) Expenditures</i>	<u>33,116.31</u>	<u>214,877.31</u>	<u>247,993.62</u>
	Special and Extraordinary Items			
	Carried Over Cash	-	-	-
	<i>Total Special and Extraordinary Items</i>	<u>-</u>	<u>-</u>	<u>-</u>
	<i>Net Change in Fund Balances</i>	<u>33,116.31</u>	<u>214,877.31</u>	<u>247,993.62</u>
	Cash			
	Beginning Cash Balance	199,628.99	167,725.31	367,354.30
	Revenue Received this Year	139,704.29	534,875.59	674,579.88
	Expenditures made this Year	(106,587.98)	(319,998.28)	(426,586.26)
	Beginning Change in Liabilities	-	-	-
	Transfers	-	-	-
	Adjustments	-	-	-
	<i>Ending Cash Balance</i>	<u>\$ 232,745.30</u>	<u>\$ 382,602.62</u>	<u>\$ 615,347.92</u>

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
For the Month of September 2019

		410 Fund	430 Fund	Funds
Revenue Revenues				
<u>Code</u>	<u>Current:</u>			
556	Federal Funds Rec'd from Non-Gov. Ag.	\$ -	\$ -	\$ -
561	Private Grants and Donations for Opns.	-	21,174.64	21,174.64
581	Reimbursements	-	-	-
	<i>Total Revenues</i>	<u>-</u>	<u>21,174.64</u>	<u>21,174.64</u>
Account Expenditures				
<u>Code</u>	<u>Current:</u>			
11,12,13	Payroll	19,165.65	23,882.27	43,047.92
15	Professional Services	-	51,550.00	51,550.00
21, 22	Travel	-	-	-
31	Misc. Admin. Expenses	-	-	-
32	Rent	-	-	-
33	Maintenance and Repair	68.52	-	68.52
34	Specialized Supplies and Materials	-	-	-
35	Production, Safety and Security	-	-	-
36	General Operating Expenses	685.00	-	685.00
37	Shop Expense	-	-	-
41	Furniture and Equipment	-	-	-
42	Library Equipment and Resources	-	-	-
43	Lease Purchases	-	-	-
44	Livestock and Poultry	-	-	-
45	Land and Right-of-way	-	-	-
46	Building, Construction and Renovation	-	-	-
48	Debt Service	-	-	-
51	Inmate Pay and Health Services	-	-	-
52	Tuitions, Awards and Incentives	-	-	-
53	Refunds and Restitutions	-	-	-
54	Jail Backup, County Jails and Other	-	-	-
55	Payment to Gov. Sub-Division	-	-	-
59	Assistance Payments to Agencies	-	-	-
61	Loans, Taxes and Other Disbursements	-	-	-
62	Transfers - Out Sourced Health Care	-	-	-
64	Merchandise for Resale	-	-	-
	<i>Total Expenditures</i>	<u>19,919.17</u>	<u>75,432.27</u>	<u>95,351.44</u>
	<i>Excess of Revenues Over (Under) Expenditures</i>	<u>(19,919.17)</u>	<u>(54,257.63)</u>	<u>(74,176.80)</u>
Special and Extraordinary Items				
	Carried Over Cash	-	-	-
	<i>Total Special and Extraordinary Items</i>	<u>-</u>	<u>-</u>	<u>-</u>
	<i>Net Change in Fund Balances</i>	<u>(19,919.17)</u>	<u>(54,257.63)</u>	<u>(74,176.80)</u>
Cash				
	Beginning Cash Balance	252,664.47	440,885.98	693,550.45
	Revenue Received this Month	-	21,174.64	21,174.64
	Expenditures made this Month	(19,919.17)	(75,432.27)	(95,351.44)
	Beginning Change in Liabilities	-	(4,025.73)	(4,025.73)
	Transfers	-	-	-
	Adjustments	-	-	-
	<i>Ending Cash Balance</i>	<u>\$ 232,745.30</u>	<u>\$ 382,602.62</u>	<u>\$ 615,347.92</u>

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
For the Month of August 2019

Revenue	410 Fund	430 Fund	Funds
Revenues			
Code Current:			
556 Federal Funds Rec'd from Non-Gov. Ag.	\$ 139,704.29	\$ -	\$ 139,704.29
561 Private Grants and Donations for Opns.	-	406,856.44	406,856.44
581 Reimbursements	-	-	-
<i>Total Revenues</i>	<u>139,704.29</u>	<u>406,856.44</u>	<u>546,560.73</u>
Account Expenditures			
Code Current:			
11,12,13 Payroll	19,039.53	25,236.49	44,276.02
15 Professional Services	-	17,069.23	17,069.23
21, 22 Travel	19,730.22	-	19,730.22
31 Misc. Admin. Expenses	-	-	-
32 Rent	3,506.76	-	3,506.76
33 Maintenance and Repair	5,108.70	-	5,108.70
34 Specialized Supplies and Materials	-	-	-
35 Production, Safety and Security	-	4,521.97	4,521.97
36 General Operating Expenses	9,562.47	207.19	9,769.66
37 Shop Expense	-	-	-
41 Furniture and Equipment	-	-	-
42 Library Equipment and Resources	-	-	-
43 Lease Purchases	-	-	-
44 Livestock and Poultry	-	-	-
45 Land and Right-of-way	-	-	-
46 Building, Construction and Renovation	-	-	-
48 Debt Service	-	-	-
51 Inmate Pay and Health Services	-	-	-
52 Tuitions, Awards and Incentives	-	-	-
53 Refunds and Restitutions	-	-	-
54 Jail Backup, County Jails and Other	-	-	-
55 Payment to Gov. Sub-Division	-	-	-
59 Assistance Payments to Agencies	-	-	-
61 Loans, Taxes and Other Disbursements	-	-	-
62 Transfers - Out Sourced Health Care	-	-	-
64 Merchandise for Resale	-	-	-
<i>Total Expenditures</i>	<u>56,947.68</u>	<u>47,034.88</u>	<u>103,982.56</u>
<i>Excess of Revenues Over (Under) Expenditures</i>	<u>82,756.61</u>	<u>359,821.56</u>	<u>442,578.17</u>
Special and Extraordinary Items			
Carried Over Cash	-	-	-
<i>Total Special and Extraordinary Items</i>	<u>-</u>	<u>-</u>	<u>-</u>
<i>Net Change in Fund Balances</i>	82,756.61	359,821.56	442,578.17
Cash			
Beginning Cash Balance	169,907.86	77,038.69	246,946.55
Revenue Received this Month	139,704.29	406,856.44	546,560.73
Expenditures made this Month	(56,947.68)	(47,034.88)	(103,982.56)
Beginning Change in Liabilities	-	-	-
Transfers	-	-	-
Adjustments	-	-	-
<i>Ending Cash Balance</i>	<u>\$ 252,664.47</u>	<u>\$ 436,860.25</u>	<u>\$ 689,524.72</u>

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
For the Month of July 2019

Revenue	410 Fund	430 Fund	Funds
Revenues			
<u>Code</u> Current:			
556 Federal Funds Rec'd from Non-Gov. Ag.	\$ -	\$ -	\$ -
561 Private Grants and Donations for Opns.	-	106,844.51	106,844.51
581 Reimbursements	-	-	-
<i>Total Revenues</i>	<u>-</u>	<u>106,844.51</u>	<u>106,844.51</u>
Account Expenditures			
<u>Code</u> Current:			
11,12,13 Payroll	20,535.32	22,397.77	42,933.09
15 Professional Services	-	146,989.69	146,989.69
21, 22 Travel	990.00	-	990.00
31 Misc. Admin. Expenses	-	712.00	712.00
32 Rent	-	-	-
33 Maintenance and Repair	-	-	-
34 Specialized Supplies and Materials	-	-	-
35 Production, Safety and Security	-	-	-
36 General Operating Expenses	7,943.56	4,121.60	12,065.16
37 Shop Expense	-	-	-
41 Furniture and Equipment	252.25	17,575.14	17,827.39
42 Library Equipment and Resources	-	-	-
43 Lease Purchases	-	-	-
44 Livestock and Poultry	-	-	-
45 Land and Right-of-way	-	-	-
46 Building, Construction and Renovation	-	5,734.93	5,734.93
48 Debt Service	-	-	-
51 Inmate Pay and Health Services	-	-	-
52 Tuitions, Awards and Incentives	-	-	-
53 Refunds and Restitutions	-	-	-
54 Jail Backup, County Jails and Other	-	-	-
55 Payment to Gov. Sub-Division	-	-	-
59 Assistance Payments to Agencies	-	-	-
61 Loans, Taxes and Other Disbursements	-	-	-
62 Transfers - Out Sourced Health Care	-	-	-
64 Merchandise for Resale	-	-	-
<i>Total Expenditures</i>	<u>29,721.13</u>	<u>197,531.13</u>	<u>227,252.26</u>
<i>Excess of Revenues Over (Under) Expenditures</i>	<u>(29,721.13)</u>	<u>(90,686.62)</u>	<u>(120,407.75)</u>
Special and Extraordinary Items			
Carried Over Cash	-	-	-
<i>Total Special and Extraordinary Items</i>	<u>-</u>	<u>-</u>	<u>-</u>
<i>Net Change in Fund Balances</i>	(29,721.13)	(90,686.62)	(120,407.75)
Cash			
Beginning Cash Balance	199,628.99	167,725.31	367,354.30
Revenue Received this Month	-	106,844.51	106,844.51
Expenditures made this Month	(29,721.13)	(197,531.13)	(227,252.26)
Beginning Change in Liabilities	-	-	-
Transfers	-	-	-
Adjustments	-	-	-
<i>Ending Cash Balance</i>	<u>\$ 169,907.86</u>	<u>\$ 77,038.69</u>	<u>\$ 246,946.55</u>

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Non- Appropriated Funds
July 1, 2019 through September 30, 2020

	200 Fund	205 Fund	210 Fund	225 Fund	280 Fund	Funds
Revenue Revenues						
Code Current:						
281 Other Licenses, Permits & Fees	\$ 3,367.83	\$ -	\$ 33,825.13	\$ -	\$ -	\$ 37,192.96
331 Other Fines, Forfeits, Penalties	58,871.44	-	-	-	-	58,871.44
431 Rent from Land	12,941.77	-	-	-	-	12,941.77
511 Insurance and Other Reimbursement for Damages	490.91	-	-	-	-	490.91
520 Reimbursement for Administrative Expense	148,508.87	-	-	-	-	148,508.87
521 Reimbursement for Data Processing Expense	-	-	-	-	-	-
522 Reimbursement for Telecommunication Exp.	-	-	-	-	-	-
530 Reimbursement for Travel Expense	-	-	-	-	-	-
541 Reimbursement of Funds Spent	-	-	-	-	-	-
552 Reimbursement of Federal Funds	-	-	-	-	-	-
556 Federal Funds from Other State Agency	-	-	-	-	-	-
581 Reimbursement for Funds Expended	1,019,556.56	-	-	-	-	1,019,556.56
591 Other Grants, Refunds and Reimbursements	-	-	-	-	-	-
711 Farm Products General	-	-	-	-	2,532,685.52	2,532,685.52
731 Laboratory and Medical Services	64,628.13	-	-	-	-	64,628.13
741 Canteen and Concession Income	3,508.15	1,489,809.14	-	-	4,194,415.40	5,687,732.69
791 Other Sales and Services	-	-	-	-	-	-
811 Inmate Medical Co-pays and Judgments	636,912.88	-	-	-	-	636,912.88
821 Deposits by Patients and Offenders	1,066,848.67	-	-	-	46,123.65	1,112,972.32
836 Sale of Salvage	5,046.79	-	-	-	-	5,046.79
881 Purchase Card Payments	-	-	-	-	-	-
Total Revenues	3,020,682.00	1,489,809.14	33,825.13	-	6,773,224.57	11,317,540.84
Account Expenditures						
Code Current:						
11,12,13 Payroll	17,363.44	-	-	-	2,007,073.48	2,024,436.92
15 Professional Services	3,238,077.29	359,070.21	3,879.15	-	174,163.77	3,775,190.42
21, 22 Travel	6,231.84	1,747.50	702.85	-	27,322.56	36,004.75
31 Misc. Admin. Expenses	2,280.11	85,360.38	426.98	-	227,137.34	315,204.81
32 Rent	32,939.26	26,000.84	-	-	17,386.98	76,327.08
33 Maintenance and Repair	216,832.01	133,440.99	-	-	312,893.23	663,166.23
34 Specialized Supplies and Materials	682,747.88	178,619.89	-	-	115,439.06	976,806.83
35 Production, Safety and Security	22,890.24	22,108.72	-	-	165,813.54	210,812.50
36 General Operating Expenses	3,226.37	55,162.33	-	-	27,720.37	86,109.07
37 Shop Expense	32,121.33	8,198.89	341.01	-	119,187.25	159,848.48
41 Furniture and Equipment	106,477.60	166,412.55	-	-	1,056,893.33	1,329,783.48
42 Library Equipment and Resources	-	63.35	-	-	70.09	133.44
43 Lease Purchases	-	-	-	-	-	-
44 Livestock and Poultry	-	-	-	-	-	-
45 Land and Right-of-way	-	-	-	-	-	-
46, 47 Building, Construction and Renovation	15,582.00	981.53	-	-	-	16,563.53
48 Debt Service	-	-	-	-	-	-
51 Inmate Pay and Health Services	12,202.13	711,858.46	-	-	592,185.57	1,316,246.16
52 Tuitions, Awards and Incentives	-	-	-	-	-	-
53 Refunds and Restitutions	2,124.00	-	-	-	628.00	2,752.00
54 Jail Backup, County Jails and Other	(30,011.52)	-	-	58,354.62	-	28,343.10
55 Payment to Gov. Sub-Division	-	-	-	-	-	-
59 Assistance Payments to Agencies	-	-	-	-	-	-
61 Loans, Taxes and other Disbursements	18,073.50	-	-	-	-	18,073.50
62 Transfers - Out Sourced Health Care	-	17,994.24	-	-	-	17,994.24
64 Merchandise for Resale	1,494.85	-	-	-	2,804,183.16	2,805,678.01
Total Expenditures	4,380,652.33	1,767,019.88	5,349.99	58,354.62	7,648,097.73	13,859,474.55
Excess of Revenues Over (Under) Expenditures	(1,359,970.33)	(277,210.74)	28,475.14	(58,354.62)	(874,873.16)	(2,541,933.71)
Special and Extraordinary Items						
Carried Over Cash	-	-	-	-	-	-
Total Special and Extraordinary Items	-	-	-	-	-	-
Net Change in Fund Balances	(1,359,970.33)	(277,210.74)	28,475.14	(58,354.62)	(874,873.16)	(2,541,933.71)
Cash						
Beginning Cash Balance	9,117,438.49	869,920.20	1,076,675.07	-	8,800,549.69	19,864,583.45
Revenue Received this Year	3,020,682.00	1,489,809.14	33,825.13	-	6,773,224.57	11,317,540.84
Expenditures made this Year	(4,380,652.33)	(1,767,019.88)	(5,349.99)	(58,354.62)	(7,648,097.73)	(13,859,474.55)
Beginning Change in Liabilities	(222,574.27)	(13,318.96)	-	-	(136,969.40)	(372,862.63)
Transfers	-	-	-	1,000,000.00	-	1,000,000.00
Adjustments	-	-	-	-	-	-
Ending Cash Balance	\$ 7,534,893.89	\$ 579,390.50	\$ 1,105,150.21	\$ 941,645.38	\$ 7,788,707.13	\$ 17,949,787.11

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Non-Appropriated Funds
For the Month of September 2019

	200 Fund	205 Fund	210 Fund	225 Fund	280 Fund	Funds
Revenue Revenues						
<u>Code</u> Current:						
281 Other Licenses,Permits & Fees	\$ 1,138.22	\$ -	\$ 10,764.00	\$ -	\$ -	\$ 11,902.22
331 Other Fines, Forfeits, Penalties	15,547.30	-	-	-	-	15,547.30
431 Rent from Land	4,170.08	-	-	-	-	4,170.08
511 Insurance and Other Reimbursement for Damages	106.00	-	-	-	-	106.00
520 Reimbursement for Administrative Expense	49,886.79	-	-	-	-	49,886.79
521 Reimbursement for Data Processing Expense	-	-	-	-	-	-
522 Reimbursement for Telecommunication Exp.	-	-	-	-	-	-
530 Reimbursement for Travel Expense	-	-	-	-	-	-
541 Reimbursement of Funds Spent	-	-	-	-	-	-
552 Reimbursement of Federal Funds	-	-	-	-	-	-
556 Federal Funds from Other State Agency	-	-	-	-	-	-
581 Reimbursement for Funds Expended	176,561.10	-	-	-	-	176,561.10
591 Other Grants, Refunds and Reimbursements	-	-	-	-	-	-
711 Farm Products General	-	-	-	-	861,773.99	861,773.99
731 Laboratory and Medical Services	17,569.66	-	-	-	-	17,569.66
741 Canteen and Concession Income	910.05	330,466.46	-	-	1,569,907.79	1,901,284.30
791 Other Sales and Services	-	-	-	-	-	-
811 Inmate Medical Co-pays and Judgments	288,937.28	-	-	-	-	288,937.28
821 Deposits by Patients and Offenders	479,937.26	-	-	-	33,274.42	513,211.68
836 Sale of Salvage	91.59	-	-	-	-	91.59
881 Purchase Card Payments	-	-	-	-	-	-
<i>Total Revenues</i>	<i>1,034,855.33</i>	<i>330,466.46</i>	<i>10,764.00</i>	<i>-</i>	<i>2,464,956.20</i>	<i>3,841,041.99</i>
Account Expenditures						
<u>Code</u> Current:						
11,12,13 Payroll	5,787.82	-	-	-	654,227.53	660,015.35
15 Professional Services	376,111.48	0.21	-	-	49,977.25	426,088.94
21, 22 Travel	2,459.31	279.00	188.85	-	7,955.30	10,882.46
31 Misc. Admin. Expenses	898.30	56,251.32	215.18	-	72,971.66	130,336.46
32 Rent	12,477.57	25,485.89	-	-	4,561.42	42,524.88
33 Maintenance and Repair	86,591.23	31,864.06	-	-	132,018.69	250,473.98
34 Specialized Supplies and Materials	24,984.00	71,707.96	-	-	77,730.83	174,422.79
35 Production, Safety and Security	3,892.62	408.63	-	-	74,237.40	78,538.65
36 General Operating Expenses	166.53	13,010.76	-	-	8,581.35	21,758.64
37 Shop Expense	10,236.63	2,411.07	-	-	(69,466.01)	(56,818.31)
41 Furniture and Equipment	17,014.11	18,389.21	-	-	35,283.43	70,686.75
42 Library Equipment and Resources	-	-	-	-	70.09	70.09
43 Lease Purchases	-	-	-	-	-	-
44 Livestock and Poultry	-	-	-	-	-	-
45 Land and Right-of-way	-	-	-	-	-	-
46, 47 Building, Construction and Renovation	15,582.00	-	-	-	-	15,582.00
48 Debt Service	-	-	-	-	-	-
51 Inmate Pay and Health Services	3,871.17	244,051.22	-	-	207,378.77	455,301.16
52 Tuitions, Awards and Incentives	-	-	-	-	-	-
53 Refunds and Restitutions	2,124.00	-	-	-	628.00	2,752.00
54 Jail Backup, County Jails and Other	(30,211.52)	-	-	33,940.11	-	3,728.59
55 Payment to Gov. Sub-Division	-	-	-	-	-	-
59 Assistance Payments to Agencies	-	-	-	-	-	-
61 Loans, Taxes and other Disbursements	-	-	-	-	-	-
62 Transfers - Out Sourced Health Care	-	2,865.83	-	-	-	2,865.83
64 Merchandise for Resale	-	-	-	-	922,277.17	922,277.17
<i>Total Expenditures</i>	<i>531,985.25</i>	<i>466,725.16</i>	<i>404.03</i>	<i>33,940.11</i>	<i>2,178,432.88</i>	<i>3,211,487.43</i>
<i>Excess of Revenues Over (Under) Expenditures</i>	<i>502,870.08</i>	<i>(136,258.70)</i>	<i>10,359.97</i>	<i>(33,940.11)</i>	<i>286,523.32</i>	<i>629,554.56</i>
Special and Extraordinary Items						
Carried Over Cash	-	-	-	-	-	-
<i>Total Special and Extraordinary Items</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>
<i>Net Change in Fund Balances</i>	<i>502,870.08</i>	<i>(136,258.70)</i>	<i>10,359.97</i>	<i>(33,940.11)</i>	<i>286,523.32</i>	<i>629,554.56</i>
Cash						
Beginning Cash Balance	7,070,507.97	728,005.29	1,094,790.24	978,140.36	7,602,700.43	17,474,144.29
Revenue Received this Year	1,034,855.33	330,466.46	10,764.00	-	2,464,956.20	3,841,041.99
Expenditures made this Year	(531,985.25)	(466,725.16)	(404.03)	(33,940.11)	(2,178,432.88)	(3,211,487.43)
Beginning Change in Liabilities	(38,484.16)	(12,356.09)	-	(2,554.87)	(100,516.62)	(153,911.74)
Transfers	-	-	-	-	-	-
Adjustments	-	-	-	-	-	-
<i>Ending Cash Balance</i>	<i>\$ 7,534,893.89</i>	<i>\$ 579,390.50</i>	<i>\$ 1,105,150.21</i>	<i>\$ 941,645.38</i>	<i>\$ 7,788,707.13</i>	<i>\$ 17,949,787.11</i>

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Non-Appropriated Funds
For the Month of August 2019


	200 Fund	205 Fund	210 Fund	225 Fund	280 Fund	Funds
Revenue Revenues						
<u>Code</u> Current:						
281 Other Licenses, Permits & Fees	\$ 1,386.29	\$ -	\$ -	\$ -	\$ -	\$ 1,386.29
331 Other Fines, Forfeits, Penalties	26,240.95	-	12,281.13	-	-	38,522.08
431 Rent from Land	4,573.03	-	-	-	-	4,573.03
511 Insurance and Other Reimbursement for Damages	332.00	-	-	-	-	332.00
520 Reimbursement for Administrative Expense	50,700.00	-	-	-	-	50,700.00
521 Reimbursement for Data Processing Expense	-	-	-	-	-	-
522 Reimbursement for Telecommunication Exp.	-	-	-	-	-	-
530 Reimbursement for Travel Expense	-	-	-	-	-	-
541 Reimbursement of Funds Spent	-	-	-	-	-	-
552 Reimbursement of Federal Funds	-	-	-	-	-	-
556 Federal Funds from Other State Agency	-	-	-	-	-	-
581 Reimbursement for Funds Expended	467,032.28	-	-	-	-	467,032.28
591 Other Grants, Refunds and Reimbursements	-	-	-	-	-	-
711 Farm Products General	-	-	-	-	835,785.43	835,785.43
731 Laboratory and Medical Services	28,323.41	-	-	-	-	28,323.41
741 Canteen and Concession Income	976.40	329,455.29	-	-	1,257,128.12	1,587,559.81
791 Other Sales and Services	-	-	-	-	-	-
811 Inmate Medical Co-pays and Judgments	338,411.12	-	-	-	-	338,411.12
821 Deposits by Patients and Offenders	552,701.82	-	-	-	-	552,701.82
836 Sale of Salvage	575.64	-	-	-	-	575.64
881 Purchase Card Payments	-	-	-	-	-	-
<i>Total Revenues</i>	1,471,252.94	329,455.29	12,281.13	-	2,092,913.55	3,905,902.91
Account Expenditures						
<u>Code</u> Current:						
11,12,13 Payroll	5,787.82	-	-	-	702,031.99	707,819.81
15 Professional Services	1,265,638.32	54,120.00	-	-	61,544.34	1,381,302.66
21, 22 Travel	1,614.78	-	-	-	15,275.26	16,890.04
31 Misc. Admin. Expenses	1,150.00	9,745.41	-	-	79,421.74	90,317.15
32 Rent	10,208.89	-	-	-	5,582.42	15,791.31
33 Maintenance and Repair	31,592.31	58,785.55	-	-	111,346.95	201,724.81
34 Specialized Supplies and Materials	42,883.93	30,950.16	-	-	33,983.75	107,817.84
35 Production, Safety and Security	5,229.48	20,514.21	-	-	41,359.96	67,103.65
36 General Operating Expenses	2,959.84	24,976.25	-	-	8,074.48	36,010.57
37 Shop Expense	1,432.30	488.70	-	-	128,613.35	130,534.35
41 Furniture and Equipment	8,096.23	48,727.65	-	-	410,363.60	467,187.48
42 Library Equipment and Resources	-	-	-	-	-	-
43 Lease Purchases	-	-	-	-	-	-
44 Livestock and Poultry	-	-	-	-	-	-
45 Land and Right-of-way	-	-	-	-	-	-
46, 47 Building, Construction and Renovation	-	981.53	-	-	-	981.53
48 Debt Service	-	-	-	-	-	-
51 Inmate Pay and Health Services	3,217.30	223,084.28	-	-	194,793.05	421,094.63
52 Tuitions, Awards and Incentives	-	-	-	-	-	-
53 Refunds and Restitutions	-	-	-	-	-	-
54 Jail Backup, County Jails and Other	-	-	-	21,859.64	-	21,859.64
55 Payment to Gov. Sub-Division	-	-	-	-	-	-
59 Assistance Payments to Agencies	-	-	-	-	-	-
61 Loans, Taxes and other Disbursements	-	-	-	-	-	-
62 Transfers - Out Sourced Health Care	-	15,128.41	-	-	-	15,128.41
64 Merchandise for Resale	-	-	-	-	1,076,460.58	1,076,460.58
<i>Total Expenditures</i>	1,379,811.20	487,502.15	-	21,859.64	2,868,851.47	4,758,024.46
<i>Excess of Revenues Over (Under) Expenditures</i>	91,441.74	(158,046.86)	12,281.13	(21,859.64)	(775,937.92)	(852,121.55)
Special and Extraordinary Items						
Carried Over Cash	-	-	-	-	-	-
<i>Total Special and Extraordinary Items</i>	-	-	-	-	-	-
<i>Net Change in Fund Balances</i>	91,441.74	(158,046.86)	12,281.13	(21,859.64)	(775,937.92)	(852,121.55)
Cash						
Beginning Cash Balance	6,995,700.99	879,015.11	1,082,509.11	1,000,000.00	8,292,718.94	18,417,399.50
Revenue Received this Year	1,471,252.94	329,455.29	12,281.13	-	2,092,913.55	3,905,902.91
Expenditures made this Year	(1,379,811.20)	(487,502.15)	-	(21,859.64)	(2,868,851.47)	(4,758,024.46)
Beginning Change in Liabilities	(31,521.74)	(5,319.05)	-	-	(9,969.28)	63,965.60
Transfers	-	-	-	-	-	-
Adjustments	-	-	-	-	-	-
<i>Ending Cash Balance</i>	\$ 7,055,620.99	\$ 715,649.20	\$ 1,094,790.24	\$ 978,140.36	\$ 7,506,811.74	\$ 17,629,243.55

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Non-Appropriated Funds
For the Month of July 2019

	200 Fund	205 Fund	210 Fund	225 Fund	280 Fund	Funds
Revenue Revenues						
Code Current:						
281 Other Licenses,Permits & Fees	\$ 843.32	\$ -	\$ -	\$ -	\$ -	\$ 843.32
331 Other Fines, Forfeits, Penalties	17,083.19	-	10,780.00	-	-	27,863.19
431 Rent from Land	4,198.66	-	-	-	-	4,198.66
511 Insurance and Other Reimbursement for Damages	52.91	-	-	-	-	52.91
520 Reimbursement for Administrative Expense	47,922.08	-	-	-	-	47,922.08
521 Reimbursement for Data Processing Expense	-	-	-	-	-	-
522 Reimbursement for Telecommunication Exp.	-	-	-	-	-	-
530 Reimbursement for Travel Expense	-	-	-	-	-	-
541 Reimbursement of Funds Spent	-	-	-	-	-	-
552 Reimbursement of Federal Funds	-	-	-	-	-	-
556 Federal Funds from Other State Agency	-	-	-	-	-	-
581 Reimbursement for Funds Expended	375,963.18	-	-	-	-	375,963.18
591 Other Grants, Refunds and Reimbursements	-	-	-	-	-	-
711 Farm Products General	-	-	-	-	835,126.10	835,126.10
731 Laboratory and Medical Services	18,735.06	-	-	-	-	18,735.06
741 Canteen and Concession Income	1,621.70	829,887.39	-	-	1,367,379.49	2,198,888.58
791 Other Sales and Services	-	-	-	-	-	-
811 Inmate Medical Co-pays and Judgments	9,564.48	-	-	-	-	9,564.48
821 Deposits by Patients and Offenders	34,209.59	-	-	-	12,849.23	47,058.82
836 Sale of Salvage	4,379.56	-	-	-	-	4,379.56
881 Purchase Card Payments	-	-	-	-	-	-
Total Revenues	514,573.73	829,887.39	10,780.00	-	2,215,354.82	3,570,595.94
Account Expenditures						
Code Current:						
11,12,13 Payroll	5,787.80	-	-	-	650,813.96	656,601.76
15 Professional Services	1,596,327.49	304,950.00	3,879.15	-	62,642.18	1,967,798.82
21, 22 Travel	2,157.75	1,468.50	514.00	-	4,092.00	8,232.25
31 Misc. Admin. Expenses	231.81	19,363.65	211.80	-	74,743.94	94,551.20
32 Rent	10,252.80	514.95	-	-	7,243.14	18,010.89
33 Maintenance and Repair	98,648.47	42,791.38	-	-	69,527.59	210,967.44
34 Specialized Supplies and Materials	614,879.95	75,961.77	-	-	3,724.48	694,566.20
35 Production, Safety and Security	13,768.14	1,185.88	-	-	50,216.18	65,170.20
36 General Operating Expenses	100.00	17,175.32	-	-	11,064.54	28,339.86
37 Shop Expense	20,452.40	5,299.12	341.01	-	60,039.91	86,132.44
41 Furniture and Equipment	81,367.26	99,295.69	-	-	611,246.30	791,909.25
42 Library Equipment and Resources	-	63.35	-	-	-	63.35
43 Lease Purchases	-	-	-	-	-	-
44 Livestock and Poultry	-	-	-	-	-	-
45 Land and Right-of-way	-	-	-	-	-	-
46, 47 Building, Construction and Renovation	-	-	-	-	-	-
48 Debt Service	-	-	-	-	-	-
51 Inmate Pay and Health Services	5,113.66	244,722.96	-	-	190,013.75	439,850.37
52 Tuitions, Awards and Incentives	-	-	-	-	-	-
53 Refunds and Restitutions	-	-	-	-	-	-
54 Jail Backup, County Jails and Other	200.00	-	-	-	-	200.00
55 Payment to Gov. Sub-Division	-	-	-	-	-	-
59 Assistance Payments to Agencies	-	-	-	-	-	-
61 Loans, Taxes and other Disbursements	18,073.50	-	-	-	-	18,073.50
62 Transfers - Out Sourced Health Care	-	-	-	-	-	-
64 Merchandise for Resale	1,494.85	-	-	-	805,445.41	806,940.26
Total Expenditures	2,468,855.88	812,792.57	4,945.96	-	2,600,813.38	5,887,407.79
Excess of Revenues Over (Under) Expenditures	(1,954,282.15)	17,094.82	5,834.04	-	(385,458.56)	(2,316,811.85)
Special and Extraordinary Items						
Carried Over Cash	-	-	-	-	-	-
Total Special and Extraordinary Items	-	-	-	-	-	-
Net Change in Fund Balances	(1,954,282.15)	17,094.82	5,834.04	-	(385,458.56)	(2,316,811.85)
Cash						
Beginning Cash Balance	9,117,438.49	869,920.20	1,076,675.07	-	8,800,549.69	19,864,583.45
Revenue Received this Year	514,573.73	829,887.39	10,780.00	-	2,215,354.82	3,570,595.94
Expenditures made this Year	(2,468,855.88)	(812,792.57)	(4,945.96)	-	(2,600,813.38)	(5,887,407.79)
Beginning Change in Liabilities	(197,154.84)	(8,614.96)	-	-	(124,393.97)	(330,163.77)
Transfers	-	-	-	1,000,000.00	-	1,000,000.00
Adjustments	-	-	-	-	-	-
Ending Cash Balance	\$ 6,966,001.50	\$ 878,400.06	\$ 1,082,509.11	\$ 1,000,000.00	\$ 8,290,697.16	\$ 18,217,607.83

Summary

Priority	Item	Page	Personnel Cost	Operating Costs	Total Budget Request
A	Debt Service and North Fork Lease	2		2,818,252	2,818,252
B	Information Technology and Physical Security	3	-	4,824,763	4,824,763
C	Contracted Services	4	-	1,941,391	1,941,391
D	Immediate Facility Needs	5	-	158,462	158,462
E	Contraband Interdiction Unit	6	1,368,328	-	1,368,328
Subtotal			1,368,328	9,742,868	
Total Requested Appropriation Increase					11,111,196
FY-2020 Appropriations					555,559,824
TOTAL REQUESTED APPROPRIATION FOR FY 2021					566,671,020



Item #14
FY 2021 Budget Request

Priority A

A. Item Description

Debt Service and North Fork Lease

B. Cost

Operations

Debt Service - Lease Revenue Bond, Series 2018D - SB1590 authorized OCIA to issue a bond for \$116,500,000 for the financing of maintenance, repairs, equipment and improvements of existing correctional facilities for the Oklahoma Department of Corrections.

FY 2021 Debt Service	\$	9,005,613
FY 2020 Debt Service	\$	7,187,361
Total Increase for Debt Service	\$	1,818,252

Lease of North Fork Correctional Facility - 5 year lease 2,520 inmate beds

FY 2021 Lease (year 5)	\$	12,000,000
FY 2020 Lease (year 4)	\$	11,000,000
Total Increase for North Fork Lease	\$	1,000,000

Total Debt Service and North Fork Lease \$ 2,818,252

C. Justification

SB1590 - It is the intent of the legislature to appropriate to the Oklahoma Department of Corrections sufficient monies to make debt service payments for the purpose of retiring the obligations created with debt retirement payments.

North Fork Correctional Facility lease contract increase for year five.

Priority B

A. Item Description

Information Technology and Physical Security

B. Cost

Operations

Information Services Parts Rate Change Impact	2,443,163
Total Informaiton Services Parts Rate	2,443,163
Information Services Labor Rate	
Application Developer (1 FTE @ 65.00/hour)	135,200
Work Station Specialist I (8 FTE @ 65.00/hour)	1,081,600
Work Station Specialist II (2 FTE @ 75.00/hour)	312,000
Server Specialist I (3 FTE @ 65.00/hour)	405,600
Network Specialist I (2 FTE @ 65.00/hour)	270,400
Data Specialist/Dev (1 FTE @ 85.00/hour)	176,800
Total Information Services Labor Rate	2,381,600
Total Information Technology and Physical Security	\$ 4,824,763

C. Justification

The agency's technology equipment and software is outdated and continues to fall further behind current industry standards. Updating equipment and software would increase security, efficiency and productivity.

Priority C

A. Item Description

Contracted Services

B. Cost

Operations

Core Civic

Per Diem Increase - 2,964 medium security beds from \$44.03 per day to \$50.00 per day	5.97	\$	6,458,704
Per Diem Increase - 360 maximum security beds from \$57.96 per day to \$ 63.00 per day	5.04	\$	662,256

GEO Group

Reduce medium security beds 2,548 to 2,266 - 282 beds	43.30	\$	(4,456,869)
Replace maximum security beds with protective custody beds from \$55.50 per day to \$50.00 per day	(5.50)	\$	(722,700)

Total Contracted Services

\$ 1,941,391

C. Justification

Contracted bed space for medium security and maximum security inmates is necessary as the state-owned facilities are over capacity.

Priority D

A. Item Description

Facility Maintenance/Repair/Critical Needs

B. Cost

Operations

Equipment
Building Improvements
Safety and Security Upgrades
Vehicles Replacement - Central Transportation

Total Facility Maintenance/Repair/Critical Needs **\$ 158,462**

C. Justification

Aging and deteriorating infrastructure and systems at all facilities continues to intensify and adversely impact security and operations.

Priority E

A. Item Description

Contraband Interdiction Unit

B. Cost

Operations

Staffing	Salary and Benefits
Deputy Inspector General (1 FTE)	141,128
Interdiction Resident Agent in Charge(1 FTE)	115,050
Interdiction Agent in Charge (3 FTE)	299,130
Agents (10 FTE)	813,020

Total Contraband Interdiction Unit **\$ 1,368,328**

C. Justification

This is a new department whose mission is to reduce the introduction of contraband into the facilities. Contraband, in particular cell phones, pose a substantial threat to staff and public safety.