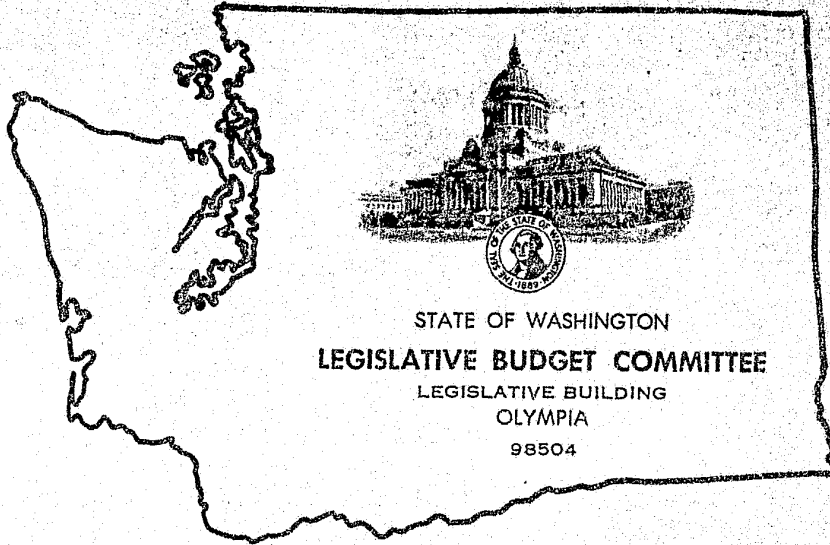


WA 42



PERFORMANCE AUDIT

✓ PRISON EDUCATION
AND TRAINING PROGRAMS:

AUGUST 19, 1977

Performance Audit REPORT NO. 77-1

46310

A Report to the
WASHINGTON STATE LEGISLATURE

WA42

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FOREWORD

This Performance Audit of the Prison Education and Training Program - Adult Corrections Division, Department of Social and Health Services, was conducted under legislative authority set forth in RCW 44.28.085 and RCW 44.28.086, which state, in part:

The legislative budget committee shall make management surveys and program reviews as to every public body, officer or employee subject to the provisions of RCW 43.09.290 through 43.09.340. The legislative budget committee may also make management surveys and program reviews of local school districts, intermediate school districts, and other units of local government receiving state funds as grants-in-aid or as shared revenues. Management surveys for the purpose of this section shall be an independent examination for the purpose of providing the legislature with an evaluation and report of the manner in which any public agency, officer, administrator, or employee has discharged the responsibility to faithfully, efficiently and effectively administer any legislative purpose of the state. Program reviews for the purpose of this section shall be an examination of state or local government programs to ascertain whether or not such programs continue to serve their intended purposes, are conducted in an efficient and effective manner, or require modification or elimination: ...

The legislative budget committee authority for management surveys contained in RCW 44.28.085 shall include reviews of program goals and objectives of public bodies, officers or employees to determine conformity with legislative intent and shall include comprehensive performance audits to ensure that agency programs are being conducted in accordance with legislative intent and program goals and objectives.

The purpose of this Performance Audit was to provide the Legislative Budget Committee and the Legislature with a report based on a systematic and objective review and analysis of the three management functions of planning, operations and management review involving the education and training activities that take place in the four major Adult Corrections Division of the Department of Social and Health Services.

The audit findings are the result of data obtained by means of (1) interviews with key personnel of the Adult Corrections Division Central Office in Olympia, each of the four major corrections institutions, Walla Walla Community College, Community College District #5, Centralia Community College, Peninsula School District, the State Board for Community College Education, L. H. Bates Vocational Technical Institute, the Vocational Education Commission, Corrections Clearing House, the Board of Prison Terms and Parole, the Department of Labor and Industries, the Employment Security Department, the Attorney General's office, McNeil Island Federal Penitentiary, and the Adult

Corrections Division of neighboring states; (2) numerous books and articles in the field of adult corrections, education and training; (3) staff visits to the individual institutions including the attendance at key meetings, and (4) extensive observations of classes in progress, and educational facilities.

The following common abbreviations are used within this report:

- ACD - Adult Corrections Division
- BEOG - Basic Educational Opportunity Grant
- CETA - Comprehensive Employment and Training Act
- DSHS - Department of Social and Health Services
- E & T - Education and Training
- ESD - Employment Security Department
- FTE - Full-time equivalent
- SBCCE - State Board for Community College Education
- SPI - Superintendent of Public Instruction
- WWCC - Walla Walla Community College
- WCC - Washington Corrections Center - Shelton
- WSP - Washington State Penitentiary - Walla Walla
- WSR - Washington State Reformatory - Monroe
- WTC - Women's Treatment Center - Purdy

- II - Institutional Industries

The terms "convict," "prisoner," "inmate" and "resident" are used interchangeably.

In addition, the four major institutions (WCC, WSP, WSR and WTC) are frequently referred to by their locations - Shelton, Walla Walla, Monroe, and Purdy, consistent with common practice.

Following generally accepted management practices, this is an exception report. The report highlights those items that are in need of improvement because they are being performed inefficiently, ineffectively or uneconomically, or are entirely out of control, redundant or no longer need to be performed in line with providing citizens of the State needed and essential services. For obvious, practical reasons this report does not highlight all of the positive things the agency has done or is doing but focuses its attention on the needed improvements.

Readers of this report can obtain an understanding of the scope of the audit by reading Section I entitled "Scope and Objectives"; printed on yellow paper.

Major audit recommendations and conclusions reached by the auditor may be obtained with a minimum of reading by turning to Section II "Summary" also printed on yellow paper.

Appendix I "Summary of Recommendations" includes in one place all of the changes recommended by the auditor and is found on the green pages.

Section III "Findings-Analysis-Recommendations" provides detailed data regarding the auditor's findings and provides the rationale that lead to the auditor's conclusions and recommendations; printed on white paper.

Appendix II "Proposed Legislation" contains the auditor's proposals regarding the need for new or revised legislation printed on yellow paper.

Appendix III "Fiscal Impact" of the report recommendations printed on the pink pages.

The last appendix of the report contains agency comments on the audit report.

For the reader's convenience, a "Table of Contents" can be found on the pages immediately following this "Foreword".

This report to the Washington State Legislature has been reviewed and approved by the Legislative Budget Committee after it had heard testimony from the Legislative Auditor and his staff, reviewed written comments submitted by interested agencies regarding the audit and listened to oral testimony both pro and con presented by all parties wishing to be heard on this subject during the public meetings held for that purpose.

All personnel contacted were helpful and cooperative in furnishing the auditor information needed for the development and completion of this report. This assistance was a major factor in completion of the performance audit and is gratefully acknowledged.

THOMAS R. HAZZARD
Legislative Auditor

Authorized for distribution by
the Legislative Budget Committee
August 19, 1977.

Representative Alan Thompson, Chairman
Legislative Budget Committee

TABLE OF CONTENTS

<u>SECTION</u>		<u>Page No.</u>
I	<u>SCOPE AND OBJECTIVES</u>	1
II	<u>SUMMARY</u>	3
	A. <u>BACKGROUND</u>	
	B. <u>SYSTEMWIDE CONSIDERATIONS</u>	4
	C. <u>WOMEN'S TREATMENT CENTER - Purdy</u>	5
	D. <u>WASHINGTON CORRECTIONS CENTER - Shelton</u>	6
	E. <u>WASHINGTON STATE REFORMATORY - Monroe</u>	7
	F. <u>WASHINGTON STATE PENITENTIARY - Walla Walla</u>	8
III	<u>FINDINGS-ANALYSIS-RECOMMENDATIONS</u>	9
	A. <u>BACKGROUND</u>	9
	1. <u>Historical Development</u>	9
	2. <u>Legislation</u>	10
	3. <u>Inhouse Versus Contracted Programs</u>	11
	a. Arguments Favoring "Contracting Out"	11
	b. Arguments Favoring Inhouse Education and Training Programs	12
	c. Community Colleges Claim an Exceptional Capability to Provide Education in Prison	13
	d. One School of Thought Places Particular Emphasis Upon Vocational-Technical School Concept	13
	e. Existing DSHS Teacher-Employees View Contract Programs as a Threat	14
	4. <u>Interrelationship With Other Programs and Policies</u>	14
	5. <u>Impact Upon Recidivism</u>	14
	6. <u>Practical Considerations</u>	14
	a. It is Often Difficult to Assemble a Suf- ficient Number of Students to Justify a Class	14
	b. Academic Subjects are Less Expensive to Teach Than Vocational Subjects	15

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
B. <u>SYSTEMWIDE CONSIDERATIONS</u>	16
1. <u>Planning Function</u>	16
a. Introduction	16
b. Goals and Objectives	17
1) Findings	17
2) Evaluation and Conclusions	18
3) Recommendations	
<u>RECOMMENDATION 1</u>	19
<u>RECOMMENDATION 2</u>	19
<u>RECOMMENDATION 3</u>	20
c. Organization and Communications	20
1) Findings	20
d. Title I Funds	21
1) Findings	21
2) Evaluation and Conclusions	22
3) Recommendations	
<u>RECOMMENDATION 4</u>	22
e. College Academic Classes	23
1) Findings	23
2) Evaluation and Conclusions	24
3) Recommendations	25
<u>RECOMMENDATION 5</u>	25
<u>RECOMMENDATION 6</u>	25
<u>RECOMMENDATION 7</u>	25
2. <u>Operating Function</u>	25
a. Introduction	25
b. Lack of motivation and incentives for participation in education and training programs	26

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
c. Evaluation and Conclusions	27
d. Recommendations	
<u>RECOMMENDATION 8</u>	29
<u>RECOMMENDATION 9</u>	29
<u>RECOMMENDATION 10</u>	29
<u>RECOMMENDATION 11</u>	29
<u>RECOMMENDATION 12</u>	29
<u>RECOMMENDATION 13</u>	30
e. Cost Conversion Per Student FTE	30
1) Cost data	30
2) The comparison of institutional costs to the State Board for Community College Education average costs is less than perfect	30
f. Annual Scheduling Problems	31
1) Findings	31
2) Evaluation and Conclusions	31
3) Recommendation	
<u>RECOMMENDATION 14</u>	31
g. Institutional Industries Program	31
1) Findings	31
2) Evaluation and Conclusions	32
h. Coordination With Other Programs	32
1) Education and training programs are not coordinated with other programs of the Adult Corrections Division	32
2) Evaluation and Conclusions	33
3) Recommendations	34
<u>RECOMMENDATION 15</u>	34
<u>RECOMMENDATION 16</u>	34

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
i. Prison Libraries	34
1) Findings	34
2) Evaluation and Conclusions	35
3) Recommendations	
<u>RECOMMENDATION 17</u>	36
<u>RECOMMENDATION 18</u>	36
<u>RECOMMENDATION 19</u>	36
3. <u>Management Review Function</u>	36
a. Introduction	36
b. Findings	37
c. Evaluation and Conclusions	39
d. Recommendations	
<u>RECOMMENDATION 20</u>	39
<u>RECOMMENDATION 21</u>	39
C. <u>WOMEN'S TREATMENT CENTER - PURDY</u>	40
1. <u>Introduction</u>	40
2. <u>Planning Function</u>	40
a. Findings	40
1) Goals and objectives	40
2) Organization and communications	40
3) Budget	41
b. Evaluation and Conclusions	42
c. Recommendation	43
3. <u>Operations Function</u>	43
a. Findings	43
b. Evaluation and Conclusions	44

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
c. Recommendations	
<u>RECOMMENDATION 22</u>	44
<u>RECOMMENDATION 23</u>	44
<u>RECOMMENDATION 24</u>	44
d. Facilities, Equipment, Supplies	44
e. Selected Classes	45
f. Evaluation and Conclusions	45
g. Recommendations	
<u>RECOMMENDATION 25</u>	46
h. The Business and Office Skills Program is Highly Flexible	46
i. The Nursery School Program Serves Few Students	46
j. Evaluation and Conclusions	47
k. Recommendation	
<u>RECOMMENDATION 26</u>	47
l. Library and Operation Thereof	47
4. <u>Management Review</u>	48
a. Findings	48
b. Evaluation and Conclusions	49
c. Recommendation	
<u>RECOMMENDATION 27</u>	49
D. <u>WASHINGTON CORRECTIONS CENTER - SHELTON</u>	50
1. <u>Introduction</u>	50

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
a. Goals and Objectives	51
1) Findings	51
b. Planning Documents	52
c. Organization and Communications	53
d. Budget	53
e. Evaluation and Conclusions	55
f. Recommendation	
<u>RECOMMENDATION 28</u>	55
3. <u>Operations Function</u>	55
a. Personnel and Staffing	55
b. Scheduling	56
c. Coordination With Other Programs	57
d. Facilities, Equipment and Supplies	58
e. Selected Classes	59
f. Washington Corrections Center Libraries	61
g. Evaluation and Conclusions	62
h. Recommendations	
<u>RECOMMENDATION 29</u>	63
<u>RECOMMENDATION 30</u>	63
<u>RECOMMENDATION 31</u>	63
4. <u>Management Review Function</u>	63
a. Findings	63
b. The basic contract between the Washington Cor- rections Center and Community College District #12	63

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
c. Education and Training staff self-evaluation effort	64
d. Trade Advisory Councils	64
e. Attendance monitoring and recording system	64
f. The Education Director uses some specific quantified criteria to judge his program	64
g. Evaluation and Conclusions	64
h. Recommendations	65
<u>RECOMMENDATION 32</u>	65
<u>RECOMMENDATION 33</u>	65
D. <u>WASHINGTON STATE REFORMATORY - MONROE</u>	66
1. <u>Introduction</u>	66
2. <u>Planning Function</u>	66
a. Goals and objectives	66
b. Organization and Communications	66
c. Budget	67
3. <u>Operations Function</u>	68
a. Personnel	68
b. Scheduling and Assignments	69
c. Accounting and Reporting System	70
d. Facilities, Equipment and Supplies	71
e. Administrative Support Program	72
f. Evaluation and Conclusions	73
g. Recommendations	75
<u>RECOMMENDATION 34</u>	75
<u>RECOMMENDATION 35</u>	75
<u>RECOMMENDATION 36</u>	75

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
<u>RECOMMENDATION 37</u>	76
<u>RECOMMENDATION 38</u>	76
<u>RECOMMENDATION 39</u>	76
4. <u>Management Review Function</u>	
a. Findings	
b. Evaluation and Conclusions	77
c. Recommendation	77
<u>RECOMMENDATION 40</u>	77
E. <u>WASHINGTON STATE PENITENTIARY - WALLA WALLA</u>	78
1. <u>Introduction</u>	78
2. <u>Planning Function</u>	78
a. Goals and Objectives	78
b. Organization and Staffing	79
c. Communications	81
d. Budget	81
e. Evaluation and Conclusions	83
f. Recommendations	
<u>RECOMMENDATION 41</u>	83
3. <u>Operations Function</u>	84
a. Personnel and Utilization Thereof	84
b. Scheduling/Coordination, Interprogram Interface	84
c. Facilities, Equipment and Supplies	86
d. Evaluation and Conclusions	87

TABLE OF CONTENTS

<u>SECTION</u>	<u>Page No.</u>
III (continued)	
e. Recommendations	
<u>RECOMMENDATION 42</u>	88
<u>RECOMMENDATION 43</u>	88
4. <u>Management Review Function</u>	88
a. Findings	88
b. Evaluation and Conclusions	90
c. Recommendation	
<u>RECOMMENDATION 44</u>	90
<u>APPENDIX I</u> <u>SUMMARY OF RECOMMENDATIONS</u>	91
<u>APPENDIX II</u> <u>SUMMARY OF PROPOSED LEGISLATION</u>	99
<u>APPENDIX III</u> <u>FISCAL IMPACT</u>	100
<u>APPENDIX IV</u> <u>AGENCY COMMENTS</u>	101
 <u>Exhibits</u>	
<u>Exhibit 1</u> Organization Chart - Education and Training Program - Major Institution Only - Adult Corrections Division, Department of Social and Health Services	9

SECTION I

SCOPE AND OBJECTIVES

SCOPE

This performance audit has explored the Education and Training Program activities of the Adult Corrections Division of the Department of Social and Health Services. It will concentrate upon those activities taking place within the four adult corrections institutions. To a limited extent it included contacts with other organizations and people, both within and outside the Department of Social and Health Services, for the purpose of obtaining their views and fulfill the objectives shown below.

OBJECTIVES

1. Determine if the educational and training activities contribute effectively to an inmate's ability to earn a living upon release or parole.

Determine if meaningful vocational skills are taught.

Determine if the Education and Training Program includes nontechnical orientation to the world of work dealing with work habits, promptness, appearance, unions, job interviews, keeping a job, etc.

Determine if "survival skills" (health, household management, survival economics, legal rights and aids, family life, etc.) are taught where needed.

Determine if jobs are available in the vocational fields taught.

Determine if union affiliation requirements or other entry bars preclude a parolee from obtaining jobs in vocational fields taught in the institutions.

2. Determine the demand among inmates for education and training activities.
3. Determine the degree of participation in education and training activities by inmates.
4. Determine what incentives or penalties exist for encouraging participation in the Education and Training Program.
5. Determine if the Education and Training Program is consistent

and compatible with the total institution program.

Determine if the program is linked effectively to "outside" educational and training programs and teaching institutions.

Determine if the qualifications of staff are adequate.

Is the staff exposed to continuing education opportunities?

6. Determine what teaching techniques are utilized (program instruction, learning centers, classes, etc.) and are they appropriate to the need.
7. Determine if the program is sufficiently flexible to accommodate the variety of needs.
8. Determine the interrelationship of the Education and Training Program and the work-training release program and the Institutional Industries Program.
9. Determine the degree of commitment of division and institution administrators to the Education and Training Program.
10. Determine if prospective employers are involved as advisors and observers to the Education and Training Program.
11. Determine the costs and the reasonableness thereof.
12. Determine funds sources and appropriateness thereof.
13. Does the Education and Training Program cover motivations, attitudes, and ethical moral standards?

SECTION II

SUMMARY

A. BACKGROUND

The four major adult corrections institutions in the State of Washington are the Women's Treatment Center at Purdy, the Washington Corrections Center at Shelton, the Washington State Reformatory at Monroe, and the Washington State Penitentiary at Walla Walla. Each has an Education and Training Program offering remedial education, vocational education and college academic education in varying degrees. Each institution employs a different organizational structure for its program. The Shelton program is run by Centralia Community College under contract to the institution; the Purdy program is run by Peninsula School District under contract to the institution; the Monroe program is run by Department of Social and Health Services teacher employees; the Walla Walla structure is a mixture of these.

Arguments favoring contracted programs or inhouse programs taught by Department of Social and Health Services' employees are many. Arguments favoring contracting with an educational institution include:

1. The professional expertise of the educational institution and its ties with the educational community.
2. The ability of the educational institution to issue diplomas and transferable credits.
3. The contract serves as an instrument to commit funds to education and training programs as opposed to the common practice of using these funds to meet unanticipated expenses in other areas.

Proponents of inhouse (Department of Social and Health Services employee-taught) program argue the following:

1. Direct control assures greater responsiveness to the institutions' needs.
2. A level of administration represented by the contractors' central offices is eliminated, together with its attendant costs.
3. It is easier for the institution to control the educational schedule and coordinate it with other activities.

In general, this audit finds that the arguments and actual experience favor the contracted program. The implementation of contracted programs at all four adult corrections institutions is under consideration by the Department of Social and Health Services at this time. Existing State employees naturally consider this a threat.

Education and training programs within prisons are closely related to other programs, policies and actions of the Adult Corrections Division of the Department of Social and Health Services. The education and training programs are severely impacted by these factors.

Finally, the impact of education and training programs on recidivism is not known. No authoritative research has been conducted. It would be difficult, if not impossible, to separate the effects of education and training from other factors which affect recidivism.

B. SYSTEMWIDE CONSIDERATIONS

The Adult Corrections Division Education and Training Program suffers from a general lack of goals and objectives which fit the Office of Program Planning and Fiscal Management's definitions thereof. The auditor feels that a hierarchy of such goals and objectives is necessary. Top-level goals and objectives should be established by the Adult Corrections Division in Olympia, embodying legislative intent. Individual institutions should develop local goals consistent with the foregoing, but applicable to their individual programs. The audit report recommends that the development of marketable skills and the basic education of prisoners to high school or equivalency-level be formally established as primary goals.

The appropriateness and desirability of financing college academic courses for inmates is an unresolved policy issue. The audit report recommends that no Adult Corrections funds be expended for college-level courses not clearly related to a short-term and realistic vocational goals and that such courses be offered only on a tuition basis during the convict's free time.

At the Adult Corrections Division level, an educational specialist occupies a staff role with respect to prison education and training statewide. From this position he exercises great influence, but no direct authority over local programs. Local programs are the responsibility of the individual institution's superintendents. At Purdy and Shelton, the Directors of Education are employees of the contractors. Their primary point of contact is directly with the superintendents and a close and integrated relationship exists with other staff. Contractor employees are virtually indistinguishable from Department of Social and Health Services employees. At Monroe and Walla Walla, the Directors of Education are Department of Social and Health Services employees who report to the associate superintendents for treatment, thereby being one step removed from the superintendent.

Federal funding in the amount of \$250,000 is available under the Elementary Secondary Education Act (Public Law 80-750) "Title I" administered through the Superintendent of Public Instruction and the Adult Corrections Division central staff. Heavy emphasis is placed on innovative approaches which have not always been well managed, well utilized, or cost-effective. Against the background of statewide school funding and local levy elections, the availability of Federal money for new programs seemed paradoxical. The audit calls for cancellation of one program, thorough review of others, and thorough justification for any requested State funding when current grant funds expire.

The audit report is critical of the lack of motivation and incentives for inmates to participate in education and training programs, It particularly criticizes the Department of Social and Health Services for its implementation of RCW 9.95.070 in a manner which apparently violates legislative intent. This statute deals with certification of good time (early release on parole). The Legislature's intent that a positive reward be given by superintendents for commendable inmate conduct has been turned into a quasi-judicial process under which a superintendent must bring and prove charges if early parole is to be denied.

The audit is also critical of the many, unsystematic and uncoordinated systems of pay and wages to inmates. Since inmates in education and training programs generally receive no such wages, participation in education and training programs is discouraged. Finally, the audit is critical of the lack of enrollment and attendance requirements and enforcement at certain institutions.

A number of significant problems in coordinating the education and training process with other programs, policies and actions were noted in this audit. Short-term daily schedule conflicts interfering with classroom attendance were numerous and resulted from desire of every program and all personnel to operate during normal working hours. Long-term scheduling and continuity problems between education and training, Institutional Industries' assignment, security status, work/training release and parole programs were also evident. There appears to be no logical relationship sequence between these programs, with parolees sent to jobs unrelated to their vocational training, and training programs often interrupted or cut short. The current pressure on limited prison facilities and the related accelerated release program cause further disruption and inefficiency in education and training programs.

Most institutional libraries were staffed by local library districts under contract to the Washington State Library. This causes increased overhead costs and administrative problems. The audit recommends that institutional libraries be staffed by State employees of the Washington State Library.

The requirement for legal volumes, reports and literature is unclear and shrouded in case law. In certain institutions demand for such publications is small and the supply expensive. The audit report recommends reduction of legal books and publications to a level correlating to demand by the inmates until such time as a Federal court specifies specific requirements.

C. WOMEN'S TREATMENT CENTER - Purdy

The Education and Training Program at the Women's Treatment Center in Purdy operates under a master contract with the Peninsula School District. The Peninsula School District actually teaches and administers the programs. However, relationships between these contractor employees and Department of Social and Health Services institutional staff appeared to be excellent and the contractor employees were thoroughly integrated into the institution's processes.

Purdy enjoys outstanding facilities and equipment for its Education and Training Program. Both building and equipment are new, modern, centrally located and consolidated in a single building.

The auditor was favorably impressed with the dedication of teacher personnel. He was concerned over their potential loss through reduction in force procedures possibly resulting from the defeat of the Peninsula School District levy on May 17, 1977.

Purdy classes were observed to be extremely small. As a direct result costs per student FTE are considered excessive - more than three times the cost at Shelton and Monroe and over four times the statewide community college average cost. Obvious corrective action is required and recommended.

This report strongly questions the value of the nationally publicized nursery school parent-awareness program funded with Title I funds at Purdy. The few participants it serves, the approximate \$9,000 per FTE cost, and the small portion of participants eligible for Title I funding all raise severe questions as to the propriety and cost-effectiveness of this program, which is a cherished favorite of the administration, the Adult Corrections Division staff and inmate personnel.

D. WASHINGTON CORRECTIONS CENTER - Shelton

The Education and Training Program at the Washington Corrections Center at Shelton is run under contract by Centralia Community College. Contractor personnel are responsive to institution requirements and thoroughly integrated in the operation of the institution. The Education and Training Program is considered a showpiece by the Adult Corrections Division, and the auditor generally concurred with this evaluation. Facilities and equipment were excellent. The program and its building are known as the Garrett Heyns Educational Center.

The Education and Training Program is rigorously supported by the institution superintendent and is given a priority status. Schedule conflicts are held to an absolute minimum. Attendance is rigidly enforced with an automatic loss of good time certification resulting from continuous absences.

Costs of \$1,740 per student FTE were considered reasonable, exceeding statewide community college average costs by only 23 percent. The budget and funding, once committed to contractual status, are controlled by the Director of Education. Expenditures were routinely made for equipment replacement.

The inmate library was operated by the education program; a staff library was also on the campus. The inmate library is closed during school vacation periods when it is most required. The report recommends corrective action within existing budget.

Minor recommendations are for more effective reviews by the Centralia Community College central staff and relaxation of the policy under which inmates cannot retain any project completed in vocational shop.

E. WASHINGTON STATE REFORMATORY - Monroe

Monroe has many education and training problems of long standing; most relate to institution's policy considerations - the aftermath of prison reform, inmate permissiveness, administration concern over potential riot or unrest, and the absence of scheduling priorities.

The program at Monroe is conducted by Department of Social and Health Services teacher employees. Their morale was judged to be low.

The Education and Training Program lacks firm administrative support. Prisoners may refuse to participate in education and/or work programs. Since the institution admits it cannot keep all inmates busy and there is much idle time, a nonparticipant runs minimum risk of losing good time certification. A mass of conflicting resident activities interferes with education and training classes; even inmate organizations can issue "lay-in" slips excusing students from class to attend other activities. Class enrollment is entirely optional. Attendance is unenforced and is extremely low at academic classes; nonattendance results only in disenrollment.

The budget for education and training programs is undefined due largely to a change in format between budget requests and budget authorization. For all intents and purposes the education and training budget is a part of a general fund for use on any program, at the discretion of the superintendent. No routine accounting information is made available to the Director of Education in order that he may manage and control the education and training budget. Substantial monies originally slated for education and training purposes have been diverted to pay for food and the Clearwater Honor Camp.

Facilities and equipment are generally poor. Classroom and shop space are scattered about the grounds. Equipment in most vocational shops is minimal and/or obsolete. Remedial reading textbooks in use were aimed at third/fourth grade children. Former classrooms had been turned over to inmate organizations for use as office space. There was poor feedback on the few purchase requisitions which were approved by the business office and the superintendent indicating the status of these outstanding orders.

Most of the problems uncovered in the audit were also documented in 1972 as a result of a State Board for Community College Education study made at the request of the Department of Social and Health Services. No corrective action was noted. The same problems exist today.

Community College District #5 is interested in undertaking a contracted education program similar in scope and content to that at Shelton. The audit concludes that this radical course of action should

be vigorously pursued if meaningful change for the better is to be achieved for the Education and Training Program at Monroe.

Other major recommendations include sharp curtailment of activities conflicting with classtime, institution of a rigid class attendance policy, and the establishment of a meaningful accounting and reporting system giving visibility to the Director of Education as to the status and availability of education and training funds.

F. WASHINGTON STATE PENITENTIARY - Walla Walla

The Education and Training Program at Walla Walla is unique in several ways. Of most significance is the organizational disarray which is totally lacking clear lines of authority and responsibility. Local school district employees, Department of Social and Health Services employees, Walla Walla Community College employees, Washington State University employees, Institutional Industries, and a contractor are all participants in one form or another. The Director of Education has little control over many of the activities taking place.

Institutional Industries has recently implemented several joint programs with Walla Walla Community College under which both training and production efforts take place and costs are shared. Since these joint programs are in an incubation stage, the report recommends merely that their effectiveness and impact on other programs be carefully evaluated as time progresses. At conventional Institutional Industries shops at Walla Walla, convicts receive some on-the-job training in specific skills as well as work habits.

A Title I program is under the control of Walla Walla Community College, but has dubious cost-effectiveness. An expensive audio-visual laboratory is largely unused yet overmanned with technicians, and few residents at Walla Walla meet Title I requirements as to age.

Walla Walla Community College is desirous of entering into a contractual Education and Training Program comparable to that currently in existence at Shelton. A major recommendation of this report is that the Adult Corrections Division make all reasonable efforts to negotiate such a contract, thus establishing clear lines of responsibility and authority and reducing the multiplicity of participating organizations in the program.

SECTION III

FINDINGS-ANALYSIS-RECOMMENDATIONS

A. BACKGROUND

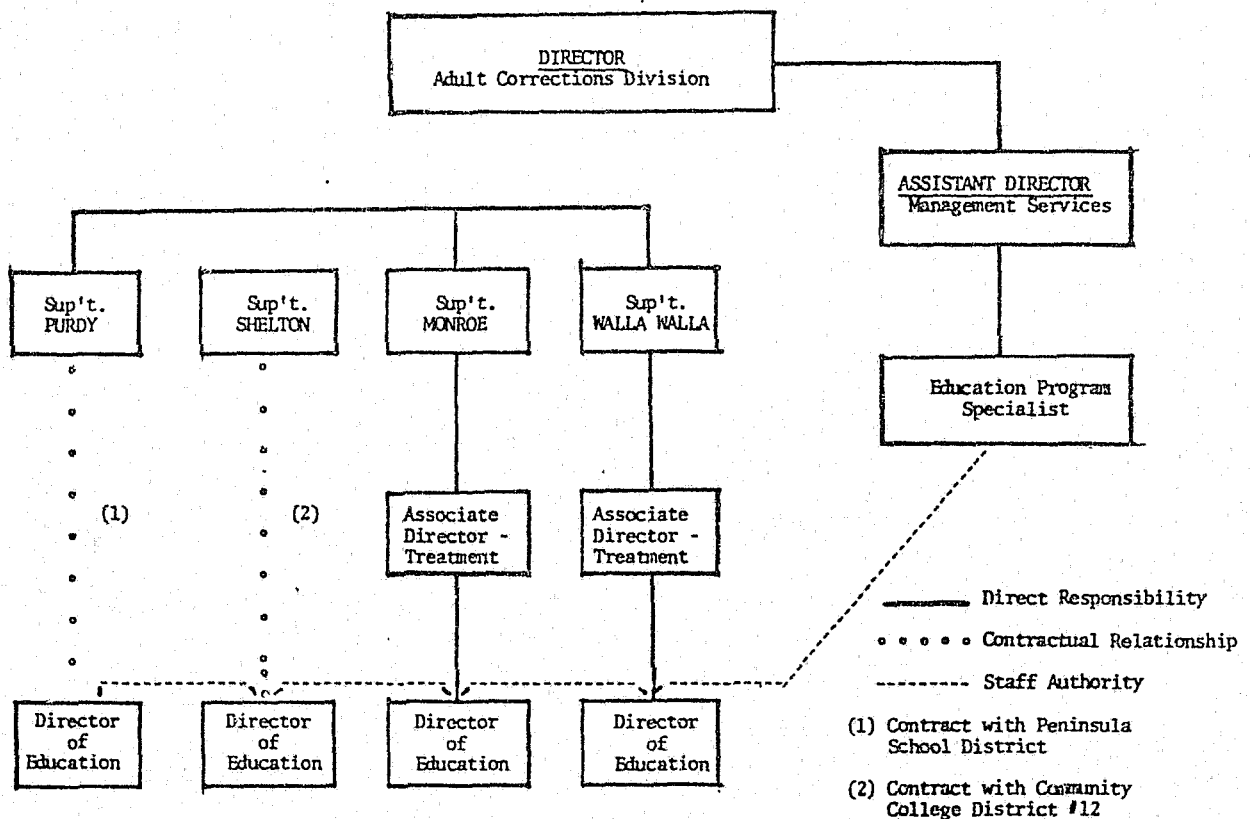
1. Historical Development

Within each of the four major Adult Corrections Division institutions, efforts are made to provide education and training activities for inmates. Each program is under the management control of the institution concerned. In 1975 a central staff education coordinator was hired for the first time, exercising much influence but no direct authority over all programs. Exhibit 1 shows this organizational structure in chart format.

Exhibit 1

ORGANIZATION CHART

Education and Training Program
-Major Institutions Only-
ADULT CORRECTIONS DIVISION
Department of Social and Health Services



In general, the courses offered can be classified into three categories:

- a. Remedial Education (to bring students to a high school graduate level)
- b. Vocational Education
- c. College academic courses

In recent years there has been increasing emphasis upon education and training programs in general and college-level academic courses in particular.

Since each program developed almost independently, starting at different points in time, they differ substantially. The two newer institutions have programs run entirely under contract by a local school district in one instance and a community college in the other. One older institution conducts its program primarily through the Department of Social and Health Services' teacher employees. The other older institution's program is a mixture of efforts by the Department of Social and Health Services employees, the community college, the local school districts and others.

2. Legislation

a. General

Existing legislation has relatively little to say about education and training programs within the prisons.

b. Vocational Training

RCW Chapter 72.62 declares that programs of vocational education are essential to the habilitation and rehabilitation of residents of state corrective institutions. It authorizes the sale of products manufactured in connection therewith and the recovery of costs thereby. It further directs the establishment of labor-management trade advisory and apprenticeship committees for each vocation taught. No goals for the program are set forth.

c. Institutional Industries

RCW 72.60.180 authorizes the use of Institutional Industries' funds to provide vocational training for employees of the Industries and other inmates, thus serving as a basis for the several joint vocational training Institutional Industries' endeavors discussed elsewhere in this report.

d. Other Educational Programs

The RCW is silent as to remedial and academic education programs within adult corrections institutions.

- e. RCW 9.94 entitled "Prisoners - State Penal Institutions," RCW 9.95 entitled "Prison Terms, Paroles and Probation," and RCW 9.95A entitled "Special Adult Supervision Programs" deal with subject matter impacting education and training within the prisons. Portions of this legislation and their specific impact upon education and training programs will be discussed within this report.

3. Inhouse Versus Contracted Programs

Proposals currently exist to change all educational activities to contracted programs, principally with community colleges. A review of the arguments surrounding this subject is, therefore, particularly timely. Within the four major adult corrections institutions, two education and training programs are completely "contracted out" to a school district or a community college. Another is essentially performed by "inhouse" Department of Social and Health Services' employed teachers. This section presents the major arguments for each of these modes of operation.

a. Arguments Favoring "Contracting Out"

Adult corrections administrators lack expertise and experience in the field of education and training. Proponents of contracting out argue that such contracts bring the expertise and experience of training and experienced educators and educational institutions to adult corrections education and training programs.

In a closely related argument, proponents argue that the professional oversight and standards maintenance activities of the contractor agency (community college or school district) ensures the maintenance of high academic standards. In the absence of this function it is said that adult corrections administrators have little basis for comparison of their program with similar programs.

A third related argument is that the tie with an educational institution strengthens liaison and cooperation with the entire educational community. This argument can be expanded to specific advantages which include (1) ease of locating and hiring teachers with specific skills, either full or part-time, (2) access to assorted resources on a loan or temporary basis, specifically including audio-visual equipment and training aids, and (3) a degree of continuity can be maintained in the education/training program when an institutional resident is discharged and desires to continue his education/training program. Credits are readily transferable.

The outside contractor can issue graduation diplomas or training completion certificates in its own name which generally receive much greater recognition and acceptance than do similar documents issued by an institution. Also, such diplomas or certificates avoid the necessity of disclosing to a prospective employer that the individual was once incarcerated in a corrections institution. The outside contractor personnel are viewed differently by inmates than are Department of Social and Health Services employees who are "just one of the establishment."

Finally, it is eloquently argued that contracted education and training programs result in a written commitment of funds to education and training. The significance of this argument was strongly emphasized by an inspection of the equipment, facilities and budget practices of the several institutions. In summary, institutions without contractual commitments found it irresistible to raid the Education and Training Program budget as a means of resolving any unforeseen emergency or unanticipated expense which might be encountered.

b. Arguments Favoring Inhouse Education and Training Programs

Some of the arguments advanced in favor of the inhouse Education and Training Program (i.e., one conducted with direct DSHS employees) are those arguments which might be used in favor of direct performance of any program whether or not related to education and training. For example, the advantage of having more direct control of the education/training process is generally appealing to administrators. Direct control theoretically assures greater responsiveness to the institution's needs, whereas a contracted program enjoys a certain amount of insulation.

Summarily, the direct control of budgeted funds for the educational training program generally furnish administrators with additional funding flexibility with which to meet emergencies within the Education and Training Program, within other areas of the institutional program, or to transfer to other adult corrections entirely.

It is generally argued that inhouse programs are less expensive since they eliminate a level of overhead represented by the contractors' administrative and organizational hierarchy and shorten the line of control directly from institutional administrator to the educational department.

Proponents of inhouse programs point out that contracted programs result in the teachers being subject to negotiated labor management agreements of a third party - the contractor. Thus, a degree of control regarding staffing is lost by the corrections

institution. One significant example of this is the potential loss by lay-off of teachers experienced and dedicated in the corrections education and training programs, in the event the local school district fails to pass its levy, and when a general staff reduction within the school district takes place. The replacement teacher, presumably coming from a high school teaching background, may or may not be skilled, interested and dedicated to the education and training of correctional residents.

Finally, it is argued that the traditional public school schedule is not compatible with the needs within an education and training institution. Long Christmas and New Years vacations are particularly inappropriate since the corrections institution would prefer maximum supervised activities (including schooling) to keep the inmates busy at this emotional time of the year. Similarly, spring and summer vacations for teachers can significantly disrupt the total routine of the institution.

c. Community Colleges Claim an Exceptional Capability to Provide Education in Prisons

The State Board for Community College Education staff expressed particular interest in adult corrections education and training needs emphasizing that the community colleges were particularly equipped to meet the needs of education and training in adult corrections institutions. The opinion was expressed that community colleges have a special role and obligation to prison populations, particularly in view of the "open door" policy of the community college system.

The State Board for Community College Education points out that community colleges engage in adult basic or remedial education. In addition, community college activities in the vocational education field are well known. Finally, the ability to provide two years of college academic education rounds out the community colleges' ability to provide total coverage of all education and training needs within adult corrections institutions.

d. One School of Thought Places Particular Emphasis Upon Vocational-Technical School Concept

Outside the community college system exists several vocational-technical schools within the jurisdiction of the individual school districts. A major difference between the vocational-technical schools and community colleges in the field of vocational education is the greater involvement of the latter with industry, labor organizations and apprenticeship programs. The Washington State Reformatory at Monroe has tended to develop along these lines with emphasis upon apprenticeship and on-the-job training

programs. Community colleges also strive for close relationship with labor and industry groups; however, in some cases they are handicapped by a geographic location wherein few trades or industries are represented and where the unionization movement is not strong or widespread. Successful vocational-technical schools tend to be located near industrial and population centers.

The value of formal apprenticeship programs cannot be overlooked when viewing prison education and training programs. Since most apprenticeships are transferable from inside the prison walls to outside job situations, the apprenticeship program facilitates the transition of an inmate from incarceration to release; it specifically facilitates the job-finding process including union affiliation problems.

e. Existing DSHS Teacher-Employees View Contract Programs as a Threat

Discussions with union representatives and individual teachers at Monroe indicate great concern on the part of these individuals whenever a contracted program is suggested. Such a change naturally raises questions of job security and all the ramifications thereof.

4. Interrelationship With Other Programs and Policies

Prison education and training programs exist in a closed social and geographical environment, exit from which is the dominant objective of the residents. Both in-prison, exit policies and programs severely impact the education and training programs. Examples include (1) the payment of wages to inmates for noneducational activities discourages educational enrollment; (2) conflicting demands upon a student's classtime hamper education and training; and (3) early parole programs result in class withdrawals before training completion.

5. Impact Upon Recidivism

There is no authoritative research available which measures the impact of education and training on recidivism. Former prisoners are generally difficult to trace beyond expiration of parole, so limited feedback information is available. Of even greater significance is the difficulty of separating the effect of education and training received in prison from other factors which also determine recidivism or rehabilitation.

6. Practical Considerations

a. It is Often Difficult to Assemble a Sufficient Number of Students to Justify a Class

The finite number of convicts in the population, and the wide disparity of interests and educational level, often make it

difficult to assemble a viable class in all but the most common subjects. This is particularly true at Purdy and Shelton where the resident populations are relatively small.

b. Academic Subjects are Less Expensive to Teach Than Vocational Subjects

The profusion of offerings in humanities or general studies type of courses at the junior college level was noted by the auditor. In general, these appear to have been substantially increasing in recent years. The low cost of such course offerings was frequently sighted as partial justification therefor.

While no specific figures are available, it was clearly evident to the auditor that vocational courses involve considerable expense due to:

- 1) class size limitations
- 2) space and facilities
- 3) specialized equipment required
- 4) special tools and supplies
- 5) full-time instructors with all fringe benefits

In contrast, a course in Sociology, Psychology, Anthropology, etc. requires only a minimal classroom, textbooks and a blackboard. Instructors are generally part-time personnel paid upon a classroom-hour basis. Such courses enjoy great flexibility with regard to facilities requirements, scheduling, simplicity, instructor availability, etc.

B. SYSTEMWIDE CONSIDERATIONS

1. Planning Function

a. Introduction

The planning function is one of the essential management control functions that must be effectively performed if organizational functions are to achieve legislative or executive management intent in an efficient, economical, effective and timely manner.

The establishment of subgoals and objectives and delineation of policy designed to meet these goals becomes an important factor so as to assure that all levels of the organization know exactly what they are expected to achieve. In the case of the Adult Corrections Program there are four correctional institutions each of which will go its own way if it does not receive specific objectives and policy statements from the Olympia-based division staff. The subject is even more complex than it appears on the surface as there are other closely-related activities within the correctional institutions that can or do overlap with the education and training activities. Without delineation of policy, subgoals and objectives to be achieved by each of these activities, actual performance at the institution level could be contradictory rather than complementary in nature.

In addition to the establishment of subgoals and objectives the planning control function includes (1) formulation of executive policy; (2) development of methods and procedures of operations consistent with such policies; (3) distribution of the policies and procedures; (4) the development and establishment of an organization structure that can effectively implement and carry out the policies and procedures; (5) the assignment of administrative responsibility to carry out planned programs; (6) development of the relative fiscal plan (budget relating to the pertinent operation); (7) establishment of performance standards or criteria to provide a means for measuring the degree of success being realized toward achievement of the objectives; and (8) the establishment of a reporting system so as to provide management a means of measuring performance and taking corrective action where necessary.

This audit report uses the terms goal/subgoals and objectives as defined by the Office of Program Planning and Fiscal Management. A goal is a desired state of affairs based upon current knowledge and values. It is timeless in the sense that as achievement approaches, goals tend to be restated at a higher level of operation. Goals reflect the basic values of our society and are, therefore,

culture-bound and subjective.

An objective is defined as a desired quantifiable achievement with a specific time frame and which will contribute toward attainment of a goal as stated by legislative intent on executive pronouncement.

b. Goals and Objectives

1) Findings

a) Goals and objectives have not been formalized or documented

Both at the central office of the Adult Corrections Division, in Olympia, and at the several institutions visited (excepting the Washington Corrections Center at Shelton), formal goals and objectives have not been established. There was, however, evidence that considerable thought had been given by key personnel as to the role and functions of education within an adult corrections setting.

b) Marketable skills appear to be a primary goal of education/training in adult corrections institutions

The development of a vocational skill which would provide the prisoner with an alternative to crime upon his release was frequently cited as the primary goal of institutional education.

c) Adult basic education, GED preparation/survival skills/coping skills appear to be the second most important educational goal in the eyes of most educational officials

A basic knowledge of reading, writing, arithmetic and its application and use in terms of reading want ads, searching for jobs, and other daily living applications is viewed as a primary objective of institutional education. It is noted that many inmates lack these basic skills which are viewed as necessary to function normally in society. Without them the inmates' return to crime is considered likely.

It is significant that this emphasis upon general skills ends at the high school or GED equivalency level. Higher education in the same fields (above the "basic skills" or "survival" level) is justified with different arguments and perhaps less effectiveness.

- d) The utilization of idle time is a significant secondary goal

The Director of the Adult Corrections Division felt that the educational and training programs provided an effective means of "soaking up idle time." While no one claimed this to be the primary goal of institutional education, it was nonetheless cited as an extremely valuable contribution to the maintenance of calm and order in the institutional setting.

- e) Increased self-respect by inmates is a more recent goal of institutional education and training

It was the consensus of most prison education officials that most convicts had a very limited self-image concept and that this effectively limited their capability to function normally in society. The need to bolster, enlarge and improve their attitude toward themselves was cited as an area in which institutional education can make a significant contribution.

- f) The Olympia-based staff has developed some goals and objectives for 1977

The Olympia-based staff has developed some goals and objectives for 1977, however, most of these do not meet the Office of Program Planning and Fiscal Management's definition for either a goal or objective and most apply solely to staff activities as opposed to action by the institutions or its contractor.

- g) Key administrators on the Olympia staff of the Adult Corrections Division state a need for policy guidance by the Legislature

The Division feels a need for guidelines as to what level and what types of education are appropriate for prisoners. They ask what should be the State's responsibility and goals? Are college educations for inmates at State expense appropriate? As discussed in the background section of this report, specific legislation is limited.

2) Evaluation and Conclusions

A viable hierarchy of goals, subgoals and objectives which meaningfully define and promulgate policy and direction

of education and training activities is not in existence at this time. Some preliminary efforts have been devoted to the development thereof by various institutions and central staff, but these are at best uncoordinated and "spotty." A critical need exists for the development of top-level goals and objectives at the divisional level with subsequent development of compatible local objectives. In the absence of a specific expression of law or legislative intent, the development of goals and objectives for the Education and Training Program in the adult corrections institutions is a responsibility of the Department of Social and Health Services.

Adult basic education, through high school diploma or equivalency, appears to be a basic requirement for responsible functioning in today's world. The ability to read, write and perform basic calculations appears to be a highly desirable skill if inmates are to avoid recidivism. Existing education programs in the prisons are believed flexible and adequate to meet virtually all basic educational needs. Accordingly, the auditor concludes that an adult basic education through high school diploma or equivalency certificate is a realistic and desirable goal.

A marketable skill would also appear to be logically related to a convict's ability to avoid recidivism. The "ability to earn an honest living" is generally conceded to improve (not guarantee) the likelihood of successful adjustment to society. The auditor, therefore, concludes that the training of inmates in a marketable skill is an appropriate and reasonable goal for the Adult Corrections Education and Training Program.

3) Recommendations

RECOMMENDATION 1

That the equipping of inmates with marketable skills be formally established by the Adult Corrections Division as a primary goal of the Adult Corrections Education and Training Program.

RECOMMENDATION 2

That the basic education of deficient prisoners to high school diploma or equivalency certificate be formally established by the Adult Corrections Division as a primary goal of the Adult Corrections Education and Training Program.

RECOMMENDATION 3

That the Adult Corrections Division develop a viable hierarchy of goals and objectives which meet the definitions of goals and objectives promulgated by the Office of Program Planning and Fiscal Management and are consistent with legislation and legislative intent.

c. Organization and Communications

1) Findings

The attention of the reader is invited to Exhibit 1 which shows key organizational and communications as parts in chart format (see page 9).

a) Education and training programs fall under the direct management control of the institution superintendent

At the Women's Treatment Center at Purdy and the Washington Corrections Center at Shelton, the education and training programs are conducted by the Peninsula School District and Centralia Community College, respectively, under contracts. As a practical matter, the contractors' Directors of Education at these institutions deal directly with the superintendents and are responsive thereto. In marked contrast, at the Washington State Reformatory (Monroe) and Washington State Penitentiary (Walla Walla) the Directors of Education answer to the associate superintendents for treatment, and are thus one step removed from top management.

b) There was little or no evidence of supervisory or management activity by higher authority of Peninsula School District or Centralia Community College

One major argument for a contracted program is the availability of educational knowledge and expertise to set standards and monitor or review the program. The absence of any such activity by central staff of the contractor tended to belie this argument and was a subject of concern to the auditor.

c) A central (Olympia) Adult Corrections Division staff member exercises staff coordination and influence over the state-wide Education and Training Program

The central staff instructional specialist position is less than two years old at this writing. It is supported by

a secretarial position. Both are funded by a Title I grant. The instructional specialist's time is theoretically split between Adult Corrections and Juvenile Corrections. The control and authority of the instructional specialist is indirect. It might best be described as a "powerful influence." The instructional specialist reports to the Assistant Director for Operations.

Much of the instructional specialist's efforts (estimate 50 percent) are concerned with administration of Title I grants, including the complex and frequent reports to Federal authority.

d. Title I Funds

1) Findings

a) "Title I" refers to the Elementary Secondary Education Act (Public Law 89-750)

This Act provides financial assistance (grants) to meet the special educational needs of educationally-deprived children. Public Law 92-318, of 1972, amended Title I to include those under 21 years of age when they enter the program and in adult corrections institutions. The intent is to develop basic skills - the "three R's."

b) Heavy emphasis is placed on innovative approaches

Televised instruction, portable classrooms, learning centers, programmed instruction booklets and audio-visual aids are all heavily emphasized. Key personnel from the Superintendent of Public Instruction and Adult Corrections Division central staff considered such teaching techniques highly desirable and applicable to the institutionalized person with whom conventional teaching techniques have been unsuccessful.

c) At Shelton, Walla Walla and Monroe the Title I effort centers around testing, counseling and concentrated "3 R" coaching with audio-visual aids

Walla Walla transmits taped television courses to remote receivers in the protective custody area and the prison hospital. Walla Walla has also invested in an exotic audio-visual laboratory that is underutilized. Purdy conducts a nursery school aimed at motivating teacher-aide inmates. Finally, a mobile home trailer

has been outfitted as a televised GED course learning center and hands-on-job sampling laboratory, and travels among different institutions.

d) Program exempt from budget and appropriations processes

Title I funds are processed like most grants outside the budget and appropriation process, hence not subject to legislative review.

e) No Federal review

Title I programs are not monitored or evaluated by the Department of Health, Education and Welfare.

2) Evaluation and Conclusions

The cost-effectiveness of Title I programs will require continuous evaluation. Expensive equipment (A-V lab at Walla Walla and mobile training lab) was grossly underutilized and severely overstaffed. The number of Purdy residents receiving benefits from the nursery school program does not justify the costs. The traveling laboratory did not mesh well with ongoing programs at locations it visited. Attendance at Monroe - Title I classes was very poor.

This audit took place as the Legislature debated school funding and as local school levy elections were held. The availability of Title I Federal funds for unproven new programs seemed particularly paradoxical.

The sincerity of those who advocate such programs is not questioned. The newness and experimental nature of the projects is appreciated. Key personnel believe such projects will have long-range and intangible benefits. In most cases the projects were islands of interest amid drab prison surroundings. They had an emotional appeal to inmates and staff alike.

However, as Federal funding expires within the next few years, and the question of State funding arises, the need for demonstrating meaningful achievements or results of such programs will become critical.

3) Recommendations

RECOMMENDATION 4

That the Department of Social and Health Services

continually review existing Title I projects with particular emphasis on cost-effectiveness and minimum emphasis upon publicity value, inmate appeal and professional interests to educators, and be prepared to fully justify in terms of cost-effectiveness any Title I projects for which it requests State funding upon expiration of current Federal funds.

e. College Academic Classes

1) Findings

a) A major value judgment issue arises over payments for the college education of convicts with public funds

Proponents claim such classes contribute toward rehabilitation by increasing self-awareness, exposing the inmate to new concepts, moral codes and interests, and by assisting him to find a viable role in free society. College programs among inmates receive much publicity and praise from prison administrators. Award of a college diploma to an inmate is usually a newsworthy event frequently pointed to as an example of "successful rehabilitation."

While the auditor conducted no scientific study, an informal poll quickly established that many taxpayers see a gross inequity in the furnishing of college educations to convicted criminals when many law-abiding citizens cannot afford college or can afford it only with sacrifices. No meaningful data exists indicating the positive or negative value of nonvocational college-level courses. No relevant research has been conducted.

b) Funding and budgeting for college-level academic courses is different at each institution

At Shelton, all costs of academic college-level classes are paid by the correctional institution's (DSHS) budget. No tuition is charged. No funds are received by the State Board for Community College Education's appropriated budget based upon the student FTE's represented by classes taught at the prison. At Purdy, the same conditions prevail, save that the contractor (Peninsula School District) receives an allocation of vocational training money through the Superintendent of Public Instruction, based upon student FTE's in vocationally-certified college classes.

At Monroe, the corrections institution pays the community college a contracted amount for each college-level

academic courses presented by the college. But the corrections institution collects and retains tuition from the inmates, thus partially defraying the costs of college courses.

At Walla Walla, tuition is collected from the inmates directly by the local community college. (Veteran Administration benefits, DVR grants, the Federal BEOG grants to individual inmates may assist in paying the tuition.) But the major share of the costs for these courses is distributed from the State Board for Community College Education's budget based largely upon student FTE's represented by prison classes. (A proposed Shelton-type contract between Walla Walla Community College and the Washington State Penitentiary may end this situation.)

c) Costs and funds sources are not clearly visible

The budgeting and appropriation processes are handicapped by the varying funding methods and funds sources utilized at different institutions for college course financing.

d) Inmates at Monroe and Walla Walla resent college tuition charges

Such resentment is based largely upon the inconsistency of tuition charges between institutions - notably the absence of tuition charges at Shelton.

e) Federal monies in various forms are available to meet tuition costs

These include vocational rehabilitation funds, basic educational opportunity grants, and veterans' benefits. However, not all inmates are eligible for these funds.

2) Evaluation and Conclusions

A standardized approach to college-level class funding should give DSHS and the State Board for Community College Education management, the Office of Program Planning and Fiscal Management, and the Legislature far greater visibility and control of related costs as well as reduce inmate complaints.

In the viewpoint of the auditor the expenditure of State funds for college educations for convicted criminals strains credibility with the public beyond reasonable limits.

The lines between college and vocational training and college and pre-college training are no longer distinct. The auditor offers no objections to courses with a direct relationship to a near-term and realistic vocational goal. However, he concludes that Literature, Anthropology, Drama, Philosophy, Music Appreciation, Psychology, Social Studies, Geography, etc. are not subjects in which the college education of prisoners, at Adult Corrections Division expense, are justified. Participation in such courses should be on the inmate's free time and tuition should be paid at his own expense including any Federal funds available. The Adult Corrections Division's role should be limited to minimum coordinative activity and the provision of classroom space when available.

3) Recommendations

RECOMMENDATION 5

That unless the Department of Social and Health Services specifically justifies college academic courses in terms of reducing idle time and/or maintaining calm and order, no Adult Corrections funds should be expended for college-level courses not clearly related to a short-term and realistic vocational goal.

RECOMMENDATION 6

That nonvocationally-related college-level courses be offered primarily during evening hours during the convict's free time.

RECOMMENDATION 7

That a standard system of collecting tuition charges be developed and implemented by the Adult Corrections Division.

2. Operations Function

a. Introduction

The operations function is also referred to as the execution phase of management. This phase includes all those activities which management employes to efficiently, effectively and economically implement established plans, including the reporting of results attained. Examples of actions involved in performance of this function are as follows:

- 1) Specific application of resources such as manpower, equipment and material necessary to accomplish planned objectives within assigned time limits.

- 2) The carrying out of assigned responsibilities.
- 3) Effective implementation of a communication and reporting system which will ensure prompt and accurate flow of work information between management and operations personnel.

In summary, the operations function is concerned with the implementation of established plans and supporting objectives by specific application of available personnel and material resources in the most efficient, effective and economical manner.

b. Lack of motivation and incentives for participation in education and training programs

1) Findings

Investigation revealed a virtual absence of meaningful incentives and viable penalties that encourage enrollment and attendance in education and training programs.

- a) The Department of Social and Health Services has implemented RCW 9.95.070 in a manner which apparently violates legislative intent

RCW 9.95.070 requires the superintendent of the Washington State Penitentiary and Washington State Reformatory to file a report with the Parole Board recommending the allowance of "good time" credit reductions from the prisoner's sentence for "... every prisoner who has a favorable record of conduct --- and who performs in a faithful, diligent, industrious, orderly and peaceable manner the work, duties, and tasks assigned to him to the satisfaction of the superintendent...". (emphasis added)

Washington Administrative Code 275-88-030(705), 275-88-045 and the Adult Corrections Division memorandum of March 29, 1974, have substantially removed this administrative tool from the hands of the superintendents and require that failure to 'perform in a faithful, diligent, industrious, orderly and peaceable manner' be treated as a serious infraction of rules under quasi-legal, "due process" procedures.

b) Pay and wages

The majority of inmates in the adult corrections institutions have little or no outside income. Some feel a strong desire to send money home. Within the closed and spartan system, small personal luxuries such as cigarettes and writing equipment take on added importance as does the money to acquire them. Inmates receive funds from a variety of sources, including:

- (1) direct wages paid for certain jobs by the institution
- (2) wages earned through jobs with Institutional Industries
- (3) Veterans' Administration education benefits
- (4) wages paid through the State Library system for work in the institutional library, and
- (5) CETA wages paid directly to an inmate by the King-Snohomish Manpower Consortium

Most wages paid within the institution to inmates vary between 25 cents and 68 cents per hour. The CETA wage was substantially higher. There was no evidence of coordination or control by the institutions.

- c) The unsystematic and uncontrolled flow of funds to inmates discourages participation in education and training programs

No payments, other than GI Bill benefits, accrue from attending education or training programs. Prisoners are required to work by statute. RCW 9.95.030 states that *"every prisoner ... shall be required to work in such manner as may be prescribed by the director."* It appeared to the auditor that little or no attempt is made within corrections institutions to require work without payment to the convicts. In at least one institution mandatory assignments are specifically prohibited by order of the superintendent and many prisoners are not assigned work tasks.

- d) There is no requirement for educational enrollment and attendance by inmates lacking educational background

Although some form of program participation by inmates is encouraged, with possible enforcement through denial of good time, the uneducated convict is free to choose any available program.

- e) Negative incentives (penalties) are also required and appropriate regarding education and training enrollment and attendance

The auditor was impressed with the ability of certain convicts to manipulate or "beat the system" without strong controls and penalties. One obvious possibility is the attendance/enrollment in educational classes without a sincere learning effort.

c. Evaluation and Conclusions

The auditor concludes that the intent of the Legislature by RCW 9.95-.070 was to grant a positive reward for commendable behavior. This intent

may be likened to employee evaluations with bonuses awarded for superior performance. The DSHS process of treating such evaluations as an infraction of rules in a quasi-judicial process violates both the intent and letter of the statute. It is corollary to presume that all employees have performed in a superior manner unless the supervisor can prove that they did not. The administrative code enacted by DSHS effectively shifts the burden of proof from the prisoner (who formerly had to prove his good conduct to the satisfaction of the administration) to the prison administration who must now prove the absence of "faithful, diligent, and industrious performance." The administrative burden alone guarantees that some undeserving inmates will not be "prosecuted," thereby undeservedly receiving a recommendation for "good time" credit. The Parole Board has noted this phenomena and questioned it.

The significance of this change can hardly be overstated when viewed in the light of prison environment. The prison population is sophisticated in the manipulation of people, rules, judicial processes, etc. and has unlimited time to plan and engage in such manipulation. Faithful, diligent and industrious performance is not easily disproven in a formalized hearing proceeding. The auditor concludes it is illogical and inconsistent to treat "failure to perform in a faithful, diligent, and industrious manner" as a rule infraction comparable to homicide, escape, sexual acts with others, being intoxicated, tampering with locking devices and other infractions listed under WAC 275-88-030. Moreover, only this unique infraction (among the 35 serious infractions listed under WAC 275-88-030) is followed by a provision which specifically limits the penalties therefor to WAC 275-88-105 (2)(k) - recommendation to the superintendent that the good time not be certified.

The current situation with respect to RCW 9.95.070 can be partly attributed to a 1974 order of dismissal in civil action #C-74-56 in U. S. District Court, Eastern District of Washington. This case was brought by Legal Services attorneys against Charles Morris, Harold Bradley, B. J. Rhay and others individually as well as in their official capacities. The case raised the issue of good time certification. In the agreed dismissal order, DSHS agreed without a trial that "no prisoner would be denied a recommendation for good time without a prior due process hearing." The auditor acknowledges the trend of case law at that time was such that the Assistant Attorney General felt the matter would be lost if it came to trial.

The Legislature's intent that positive reward be given by superintendents for commendable conduct has been totally subverted into a quasi-judicial process under which a superintendent must bring and prove charges if the reward is to be denied.

With respect to pay and wages for convicts, the auditor fails to see wisdom in a system that pays inmates for noneducational work that by law may be required of them, thereby penalizing the unpaid inmates attending classes intended to equip them for a successful return to society.

Finally, the auditor concludes that educational enrollment, attendance and genuine learning effort on the part of students are too important to be left to the inmate's option. The judgment of the inmates is open to question by the very fact of their status. The ability to avoid recidivism is presumed related to basic educational skills. Enrollment, attendance and satisfactory progress should therefore be made mandatory for those inmates below high school educational level.

d. Recommendations

RECOMMENDATION 8

That the Department of Social and Health Services develop and present to the Legislative Budget Committee a time-phased plan for changing the administration of RCW 9.95.070 from the current "in-fraction and report" disciplinary process of WAC 275-88 to a positive reward system as envisioned by legislative intent.

RECOMMENDATION 9

(This recommendation was cancelled.)

RECOMMENDATION 10

(This recommendation was cancelled.)

RECOMMENDATION 11

That the Department of Social and Health Services - Adult Corrections Division, develop and present to the Legislative Budget Committee a plan including implementation controls covering all wages and allowances to be paid to inmates. The plan should place wage control in the hands of superintendents and assures some parity, rationale and logic between the various rates of pay and allowances received from different sources for different activities, and specifically include the allocation of some of the available financial resources to inmates participating in the adult basic education and/or vocational training programs.

RECOMMENDATION 12

That the enrollment in basic education classes of inmates testing below 8th grade level be established as standard DSHS policy. (Exceptions will be necessary at the discretion of the superintendents.)

RECOMMENDATION 13

That failure to attend and/or make satisfactory progress in academic and vocational classes, to the extent of the student's ability in the opinion of the staff, result in denial of good time certification.

e. Cost Conversion Per Student FTE

1) Cost data

- \$1,264 1975-76 SBCCE average cost (statewide-actual)
- \$1,421 1976-77 SBCCE average cost (statewide-estimated)
- \$1,719 Fiscal Year 1977 cost, Washington State Reformatory-Monroe
- \$1,740 Fiscal Year 1977 cost, Washington Corrections
Center - Shelton
- \$5,812 Fiscal Year 1977 cost, Women's Treatment Center - Purdy

(Costs at the Washington State Penitentiary at Walla Walla are intentionally omitted as not comparable to the above.)

2) The comparison of institutional costs to the State Board for Community College Education average costs is less than perfect

Direct comparison is impossible due to different methods of collecting data.

The State Board for Community College Education's costs include maintenance, utilities and library services. Costs for the listed institutions exclude maintenance, utilities and library costs, except at Shelton where library costs (only) are included.

Additionally, SBCCE costs are based upon student FTE's consisting of 45 credit hours earned throughout the year. Institutional figures are computed based upon actual FTE enrollment in the Fall of 1976, and the presumption that actual FTE's for the 4-quarter academic year will approximate that figure.

The limitations of such a comparison are fully acknowledged. The intent is to furnish an admittedly rough comparison of education and training costs in prisons to similar outside costs.

The comparisons of costs between individual institutions is considerably more valid, although some differences may exist in the way FTE enrollments are counted at each institution, thereby distorting the cost figures.

f. Annual Scheduling Problems

1) Findings

At those institutions which utilize a contracted program conducted by a community college or school district, substantial schedule gaps occurred between quarters or semesters. The auditor noted some efforts to implement special "interim" courses or activities between terms or quarters. The auditor found no evidence indicating that annual scheduling had been considered in negotiation of education contracts.

2) Evaluation and Conclusions

It appears that the schedule of the contractor is often incorporated in the institution's school schedule without full consideration of alternative measures or compatibility with other institutional programs. Such gaps in the school schedule may be inappropriate to the needs of an adult corrections institution. The confining aspects of prison life and the short sentences, which prevail at most institutions, would both suggest a need for less "school vacation" time than at conventional schools and colleges in order to maximize training during the brief period of incarceration and minimize the idle time which occurs when school is out.

3) Recommendation

RECOMMENDATION 14

That the Department of Social and Health Services determine its objectives for education and training schedules at each adult corrections institution and explore all possibilities of achieving these, particularly through the contract negotiation process.

g. Institutional Industries Program

1) Findings

The Institutional Industries Program is playing an increasingly significant role in vocational training. The Institutional Industries Program (II) is authorized by statute for the purpose of minimizing or eliminating idleness and

promoting rehabilitation. The II Program is a product-manufacturing and marketing program using paid convict labor at "factories" located within the prisons. It "sells" only to state governmental agencies. RCW 72.60.180 authorizes use of profits to provide vocational training for employees of the industries and other inmates.

Although primarily oriented toward production, it involves a degree of on-the-job training. For appropriate employees who have satisfactorily completed 1,200 hours in a specific skill, II issues a certificate of proficiency.

In very recent weeks significant new precedents have been established in the form of joint programs with Walla Walla Community College involving both instruction and production. For the first time under this program, II is paying wages to students.

2) Evaluation and Conclusions

In many ways an Institutional Industries Program is similar to other vocational training programs but with less emphasis upon training and more upon production. One substantial difference, however, is the payment of wages to participating inmates. These payments are made also to participants in the newly-established joint programs at Walla Walla, including students or trainees. The auditor is concerned over the fragmentation of authority and responsibility for education and training activities as II programs expand. The comments in the previous section relating to pay and wages, and the comments in the following section relating to interprogram coordination, are applicable.

h. Coordination With Other Programs

1) Education and training programs are not coordinated with other programs of the Adult Corrections Division

Throughout the audit process the auditor heard complaints about a lack of coordination between education and training programs and work/training release, furloughs, security classifications, parole, Institutional Industries, drug programs, outside activities, visiting hours, etc. Investigations generally confirmed these problems. All programs within the institution intended to act independently and interaction between them is largely unplanned.

These complaints can generally be separated into two categories - short-term scheduling problems and long-term scheduling and continuity problems.

Short-term scheduling problems are discussed under sections of this report dealing with the programs at individual institutions. These scheduling problems can be summarized by recognizing that everyone wishes to conduct their particular program during normal working hours, thus resulting in conflicting schedule demands for inmate time.

With respect to long-term scheduling and continuity problems the auditor found no logical sequence between vocational training, Institutional Industries assignment, minimum security status, work/training release, and parole. As a result, releasees are often sent to jobs unrelated to their vocational training, and training programs are often interrupted or cut short.

At this writing, the accelerated release program resulting from the need to discharge/parole/furlough residents in order to make room for new arrivals is causing additional disruption and inefficiency in education and training programs. At a community college-taught Sociology course, five of the starting 12 students failed to finish the ten-week course due to unanticipated early releases during that period.

2) Evaluation and Conclusions

Based upon discussions with numerous inmates and staff, the auditor concludes that the dominant consideration in any action by the inmate is "getting out." Getting out includes furlough, work/training release, parole, transfer to a less restrictive institution, transfer to a minimum custody status outside the main prison complex, etc. - anything that results in the physical removal of the convict from the "inside the walls" prison environment. Continuity and logic in treatment will be quickly sacrificed by the inmate to meet these ends. Effectiveness and efficiency of education and training activities through effective coordination with other programs should therefore be a particular concern of the Adult Corrections Division staff.

The current lack of continuity between Adult Corrections Division programs, including the Education and Training Program, and the lack of both long-term and short-term schedule compatibility between such programs, require decisive action by Adult Corrections Division management. The establishment of firm objectives, the determination of program priorities, and the modification of staff working hours are all considered among the practical steps which can be taken to resolve or alleviate such inefficiencies.

The auditor concludes that, despite obvious problems and potential staff resistance, substantially improved continuity and schedule compatibility can be achieved.

3) Recommendations

RECOMMENDATION 15

That the Adult Corrections Division place strong emphasis upon the elimination of short-term schedule conflicts (including lay-ins) which dilute the educational process through poor attendance by inmates.

RECOMMENDATION 16

That the Adult Corrections Division place greater emphasis upon planning meaningful coordination for the purpose of achieving improved long-term scheduling and continuity between education and training programs and other prison programs including work/training release, parole, the Institutional Industries Program, classification reassignments, and others.

i. Prison Libraries

1) Findings

- a) Most prison (and other institutions) libraries are staffed by local library districts under contract with the Washington State Library

The history of this state of affairs provides an interesting example of the circumvention of legislative intent and the adverse impact of Federal grants.

In the mid-1960's, the Legislature (in budget bills) requested that the Washington State Library assume staffing and management of institutional libraries which had previously been inexpertly managed by residents and/or unskilled institutional staff. In 1972, unanticipated receipts from Federal grants for use by prison libraries became available. To take advantage of the unanticipated receipts, the Washington State Library placed the institutional libraries and their staffs under contract to local (county) libraries, thus circumventing the FTE limitation contained in appropriation bills. Federal funds have since been withdrawn, but the contractual arrangement remains.

- b) The contract system increases overhead costs and administrative problems

The Special Services Division, which formerly supervised institutional libraries, still exists and has the existing capability to supervise institutional libraries.

A degree of supervision is currently maintained although it is called contract administration. The State funds paid for contract services include provisions for overhead costs for supervision and support services by the local library system, thus creating an extra layer of overhead and supervision.

The reduced direct administrative control and authority over prison libraries, due to contracting with another political body, is self-evident. A tangible-related problem is the current refusal of the Walla Walla contractor to manage the institution's Law Library since the Attorney General has indicated he cannot provide legal defense to the contractor or the librarian in the event of a suit. (Such a suit, by residents, is considered likely in the event requested material is not available, etc.)

c) Confusion surrounds the question of legal library requirements

Substantial funds are being expended for various legal volumes and periodicals in the law libraries. References are continually made to court decisions requiring such material to be made available to inmates. However, the auditor's efforts to identify these court orders and their specific requirements for books and periodicals was totally unsuccessful. Periodicals and legal books have been ordered for the prisons by the State Law Library. The Assistant Attorney General has been requested by the Department of Social and Health Services to evaluate these materials and determine whether they are necessary. At Purdy and Shelton, such material has little demand.

d) The legal libraries at two institutions are operated by inmates and nonlibrarians

For various reasons, including the Attorney General's reluctance to defend nonstate employees, the legal libraries at two institutions are maintained separately, as a collateral duty of nonlibrarian staff members, with inmate helpers actually operating the facilities.

2) Evaluation and Conclusions

The contract library setup is cumbersome and expensive. It dilutes direct control and complicates lines of communications. It was apparently introduced to evade limitations on FTE's.

The lack of meaningful guidelines in the complex and expensive

field of legal literature is particularly frustrating. Additionally, what is appropriate at one institution may well be unnecessary at another. The auditor concludes that common sense should prevail until such time as a Federal court rules otherwise.

The auditor suggests that the legal libraries are particularly appropriate for the services and expertise of a professional, trained librarian, and he concludes that they should at all institutions be a portion of the librarian's responsibilities.

3) Recommendations

RECOMMENDATION 17

That libraries in State institutions, currently staffed by local library districts under State contract, be staffed by State employees of the Washington State Library.

RECOMMENDATION 18

That the legal libraries at all institutions be made a responsibility of the staff librarian. (This recommendation is not intended to preclude assistance from inmates.)

RECOMMENDATION 19

That expenditures for legal books and publications be reduced to a level correlating to demand by the inmates of each institution until such time as a Federal court determines any additional requirements.

3. Management Review Function

a. Introduction

The management review function involves a determination whether the results of actual performance have been consistent with planned results. This involves the process of relating established policies, goals, objectives and performance standards with specific accomplishments achieved in day-to-day operations. An effective comparison of planned results with actual results presupposes that substantive goals supported by quantifiable objectives have been established in the planning function. Also that measures of performance have been developed which have been communicated to those individuals responsible for operational achievement. Major aspects of the management review process are

shown below:

- (1) Management evaluation of performance and comparison of actual accomplishment with objectives, plans, policies, and standards so as to assure efficiency, effectiveness and economy.
- (2) Analysis of deviations from objectives, plans, policies, standards and institution of corrective action as a result of the analysis.
- (3) Referral of information developed during the management review process which will result in improved future planning cycles.
- (4) Periodic review by members of management to assure that their employees are accomplishing their work assignments in an efficient, effective and economical manner.
- (5) Conduct of employee performance evaluations by supervisors at all levels of management.

b. Findings

- 1) There are no formal standards established against which management can review actual achievements

With regard to such matters as attendance, percentage of enrollment, class sizes, cost per student FTE, etc., no guidelines or standards have been documented at either the State or institutional level.

- 2) Prison administrators have limited skills and experience for reviewing educational programs

Education and training is generally considered a professional field unto itself. Rehabilitation-oriented corrections officials may well have a related interest, but by training and experience most corrections administrators lack technical expertise to evaluate and review the education and training programs within the prisons.

- 3) Contractors have not provided "central office" or "department head" review and evaluation of prison education and training programs

One argument used in support of contracted programs is that the contracting educational system (school district, community

college, etc.) has the professional expertise to review the program for the sake of maintaining high qualitative and quantitative standards. In one case, such reviews are required by the contract. The auditor found no evidence of meaningful review by any contractors' central office personnel.

Management review is conducted by the contractor's on-site Director of Education, and is discussed under individual programs in succeeding sections of this report. This is not considered a substitute for the more objective and technical review possible by central staff of the contractor(s).

4) The Adult Corrections Division central (Olympia) staff director is developing management review capability

The central staff director is endeavoring to develop some standardized statistical reports indicating activity at each institution. Different counting and attendance procedures have complicated this process. To date the auditor has noted nothing dealing with comparable costs.

One major review and communications device utilized by the staff director is the Education Directors meetings which take place approximately every two months. Common problems are discussed, new information is dispersed, and guest speakers on relevant subjects appear. In general, these meetings are important through informal sources of relevant information for management of the Adult Corrections Division.

Another informal management review technique used by the central staff director is the institutional visit. Such visits allow first-hand observation of operations and problem areas and facilitate comparisons between the institutions.

5) Modification of programs to forecasted job market

The auditor noted that vocational counselors attached to education and training programs did utilize job forecast data developed by the Department of Employment Security in aiding inmates in choosing a vocational field. However, the auditor did not find evidence indicating that vocational course offerings were reviewed periodically for assurance that job opportunities would exist for graduates. The investment in equipment, inmate interest, the existence of on-board teachers, and the dependence upon a program for its production, public relations, or other features, all tend to obscure consideration of the basic goal of vocational courses, i.e., to teach a marketable skill. All instructors queried offered the opinion

that their field offered "good job prospects" but had little firm evidence to support these contentions.

c. Evaluation and Conclusions

Effective management review is largely dependent upon the establishment of goals, objectives and standards against which actual achievements can be compared. Establishment of goals and objectives has been covered in a previous recommendation. Standards also are required.

The auditor concludes that there is little or no systematic and thorough review of vocational course offerings from the standpoint of available jobs forecasted for trainees.

The efforts of the central staff director to develop comparative statistics is considered meritorious. However, a need is evident to develop meaningful cost information and comparisons for the obvious purpose of controlling these costs through program modifications where indicated.

d. Recommendations

RECOMMENDATION 20

That the Adult Corrections Division, in developing its statistical reporting system, include provisions for collecting meaningful cost information per unit of output, i.e., student FTE or other valid output measurement.

RECOMMENDATION 21

That the educational specialist on the central adult corrections staff evaluate vocational programs annually to ensure correlation between training offered and predicted job availabilities.

C. WOMEN'S TREATMENT CENTER - PURDY

1. Introduction

The Women's Treatment Center houses approximately 165 residents, constituting the total population of incarcerated female felons in the State of Washington. The average stay of residents is between eight and 12 months, although many stay longer. The Education and Training Program within the Purdy institution is run entirely by the Peninsula School District under a contract to the Department of Social and Health Services. This arrangement now enters its seventh year.

2. Planning Function

a. Findings

1) Goals and objectives

The goal of the Women's Treatment Center is set forth in a statement of general purpose developed by the current superintendent. It is:

To provide rehabilitative experiences which will enable the resident to return to the community as a more personally and socially responsible individual.

Other than the above, no specific goals and objectives have been formalized or documented for the Education and Training Program.

The institution requires a written contract, including goals and objectives, with each inmate resident. These contracts may well include specific educational goals for the individual.

Some specific objectives are set forth in grant and performance contracts. A verbal goal of the current superintendent is to place more emphasis on vocational training.

2) Organization and communications

The education and training function is conducted by the Peninsula School District under contract to DSHS. The eight teachers, vocational counselor and one and one-half clerical employees report directly to the Principal. All are school district employees. The Principal technically answers to higher authority in the school district but in actual practice is responsive to the superintendent of the

Treatment Center and is little different from DSHS employees in this regard.

The superintendent has instituted a "team concept" under which all staff share involvement in inmate progress. Teachers sit on the Classification Committee. The Principal is a member of the administrative (management) team.

Communications are largely informal, but appeared adequate for the Education and Training Program. The size of the institution and the geographical location of all education and training personnel in a single building make informal communications feasible. The relatively stable nature of the education and training activities minimizes the need for elaborate communications systems.

3) Budget

The planned expenditures budget is prepared in a conventional manner, with initial preparation being performed by the Principal, subject to review by the business manager and superintendent prior to submittal to higher authority.

a) Most of the budget is for salaries

Approximately 77 percent of the budget is earmarked for salaries and fringe benefits; nine percent for supplies and equipment; six percent for school district overhead; and eight percent for contractual services. The contractual services include two community college courses (Anthropology and Sociology).

b) The total budget or costs for education and training consist of several different pieces

Total costs of education at Purdy for fiscal year 1977 are funded from various sources:

DSHS contract	\$250,000
Title I contract/grant	18,305
Vocational FTE's	25,674 (estimated)
Adult basic education Federal grant	1,875
CETA	15,000
Institutional expenses for education (not contracted)	<u>2,972</u>
Total education/training costs	\$313,826

- c) The cost per student FTE is very high compared to community college average costs

The \$313,826 figure identified can be divided by student FTE's to obtain an average cost per FTE. Using December 1976 enrollment figures reported by the institution, total class enrollments of 268 were accomplished by 108 students. These 108 students averaged 2.5 classes per student, or one-half time. Thus, an equivalent enrollment of 54 FTE's results. Dividing total costs by FTE's gives a cost of \$5,812 per annum per FTE. This compares to the State Board for Community College Education's 1975-76 costs per FTE of \$1,264 and predicted 1976-77 costs of \$1,421. The difference is even more substantial when recognizing that the State Board for Community College Education's costs include utilities and maintenance and library service, while Purdy's do not.

- d) The budget is controlled by the contractor

With the exception of the \$2,972 of institutional expenses for education, the budget, once incorporated in the contract, is committed and under the control of the contractor and cannot be diverted to noneducational purposes.

b. Evaluation and Conclusions

Comments concerning goals and objectives under the "Systemwide Considerations" section of this report are applicable. The Adult Corrections Division needs to provide specific guidance as to goals and objectives of the Education and Training Program. The Women's Treatment Center should then formulate specific objectives for its individual program.

The contract with Peninsula School District serves as an effective device for committing budgeted funds to the Education and Training Program beyond any possible diversion to other programs.

The auditor is concerned over the high cost of education per student FTE at Purdy. This cost is over four times the average cost per FTE in community colleges and over three times the cost of programs at Shelton and Monroe. The problem relates directly to very small class sizes, which will be discussed under the Operations Function that follows.

c. Recommendation

Recommendations contained in the Systemwide Considerations section and the Operations Function section of this report deal with the need for goals and objectives and class sizes, and are applicable.

3. Operations Function

a. Findings

1) The auditor was particularly impressed with the capability and dedication of teaching personnel

The teaching personnel's enthusiasm and dedication to their unique students was clearly evident and was confirmed by the opinion of the institution's superintendent. Most felt that their jobs and their students offered a greater challenge than did high school teaching due to frequent hostility, remedial education requirements and the need for individual attention. All teaching staff were certified by the Superintendent of Public Instruction.

The secretarial staff of one and one-half personnel appeared competent and adequate.

All certified teaching personnel were covered by the same contract as other public school teachers in the Peninsula School District. Some expressed concern over the possibility of being "bumped" by more senior teachers in the event of a levy failure.

2) Scheduling

The school day involves six periods. Teachers are normally assigned five classroom hours per day. Although the semester system is followed for scheduling purposes, classes tend to be open entry and open exit.

The Education and Training Program at Purdy follows the public schools' schedule, including summer quarter. This schedule does not fit well into the institutional framework. The several vacation periods - particularly Christmas vacation, come at a time when residents should be particularly busy as opposed to on vacation from school. The program has recently been experimenting with "interim" - a brief period between semesters when unusual classes or learning experiences are arranged.

b. Evaluation and Conclusions

The auditor concludes that capable teachers with particular qualifications and experience might well be lost due to external factors affecting the Peninsula School District, i.e., a levy failure. Whether or not the replacement of personnel would be motivated to teach in the institutional setting is highly questionable.

c. Recommendations

RECOMMENDATION 22

That the Department of Social and Health Services endeavor to negotiate a contract clause which allows some measure of protection to experienced teaching personnel within the Purdy Education and Training Program.

The inflexibility of staff assignments would appear to negate what might well be a major advantage of a contracted Education and Training Program. Specifically, the auditor suggests that a program contracted to a school district should be able to provide flexibility and variety through making specialized teachers available for only one or two periods per day.

RECOMMENDATION 23

That the Department of Social and Health Services - Adult Corrections Division, review low attendance classes and the need therefor at Purdy, with the objective of reducing costs per student FTE.

RECOMMENDATION 24

That the Department of Social and Health Services explore with the contractor the feasibility of offering certain classes through the use of teachers whose time would be divided between Purdy and one or more schools of the Peninsula School District, thus reducing costs and enabling greater variety of courses to be offered.

d. Facilities, Equipment, Supplies

The classroom facilities at Purdy are modern, spacious, consolidated in a single, centrally-located building, and are admirably suited to the education program.

Equipment requirements consisted principally of office equipment for office skills classes, kitchen equipment (stoves, refrigerators, cabinets, dining tables, etc.) and sewing machines for the sewing classes. In all cases the equipment could only be described as exceptional - modern and in good working order. A continual replacement program was utilized.

Supplies appeared to present no particular problem. Current texts and teaching materials were noted, including audio-visual equipment. Supplies were well controlled and kept in secure storage cabinets. Supplies were generally ordered through the Peninsula School District, excepting those that were procured during teacher shopping trips.

Facilities at the maximum security unit were undergoing renovation and modification during the audit. Despite limited space, it appeared that these facilities would be well suited to the maximum security classes when finished.

e. Selected Classes

1) The data processing course includes key punch only

A total of only 13 inmates were enrolled in data processing at the time of the audit. At no time did the auditor find more than five students in the classroom. In addition, five high school girls from the Peninsula School District attend these classes. The class is largely self-taught using tape recorders, earphones and manuals. In addition to contract costs, the Women's Treatment Center pays \$2,140 per year for the rental of the key punch machines used in the class. The class does some production key-punching for the State Auditor's reports of comparative statistics for local government.

The data processing instructor assists his graduates in finding work upon their release and claims good success. The Employment Security Department anticipates a declining number of job openings in this field as computer input/output/terminal advances eliminate the key punch function.

f. Evaluation and Conclusions

The small number of students enrolled in the data processing program, its additional costs, the self-teaching nature of the course, and the anticipated decline in jobs in this field, combine to make this course a prime candidate

for review and change. The auditor concludes the results obtained do not justify the resources expended.

g. Recommendations

RECOMMENDATION 25

That the Adult Corrections Division and its contractor at Purdy review the data processing program and consider the alternatives of:

- (1) arrange to have key punch taught on a part-time basis only, or
- (2) combine key punch with the other office skills classes, or
- (3) discontinue the data processing class; and that the contract cost be modified accordingly.

h. The Business and Office Skills Program is Highly Flexible

The Business and Office Skills instructor teaches three main courses - typing, basic computations (business math and machines) and basic bookkeeping. In addition, she offers cashiering, medical and legal secretarial, shorthand, dictaphone, reproduction and business letter writing. All courses are largely self-instructional. The teacher has often prepared the self-instruction materials. She monitors progress as specific assignments are turned in and provides individual assistance as required.

Thirty-six students are enrolled in the program for varying amounts of time. The instructor appeared highly enthusiastic and flexible.

i. The Nursery School Program Serves Few Students

Title I funded Nursery School Program has received wide publicity and is the pride and joy of the institution. The auditor questions its value. Technically, the nursery school is a 'parent-awareness' program for the benefit of the teacher-aides. The 12 children who attend nursery school each morning are incidental to the training and educational impact on the teacher-aides.

The program sorely tests the stated purposes of the Elementary and Secondary Education Act, which is intended to correct the basic education (3-R's) deficits of educationally-deprived persons under 21 years of age.

The program serves only five students who observe and assist the paid teacher on alternate mornings, two or three at a time. Only six of the 26 "graduates" were under 21 years of age.

The program is intended to assist inmates, upon release, in coping with their own children.

j. Evaluation and Conclusions

The auditor was not able to ascertain any measurable or identifiable result from the program. The exposure to groups of 12 small children for brief periods in the calm and settled classroom where a professional kept activities moving, help was at hand, children were healthy and rested, and activities were well planned, bore little relationship to the home environment in which such women would care for their own children in the future. The cost approximates \$9,000 per student FTE and is considered excessive. Elementary and Secondary Education Act Title I eligibility are being strained if not violated, judging from the few course graduates under 21 years of age.

k. Recommendation

RECOMMENDATION 26

(This recommendation was deleted from the report.)

l. Library and Operation Thereof

1) The Purdy Library is a particularly outstanding facility with a homey atmosphere offering movies, television, etc.

The location of the Purdy Library is just inside the main entrance to the Education and Training Building which, in turn, is centrally located in relation to the entire institutional facilities.

The library has approximately 5,000 volumes estimated on hand. This substantially exceeds the recommended ten volumes per inmate mentioned in textbook literature for adult corrections institutions. The materials covered a variety of subjects, and considerable fiction. The material appeared of recent vintage, and the library was obviously well used by the residents.

- 2) The library is run by the Pierce County Library District under contract to the Washington State Library

Such contracts are discussed at length elsewhere in this report.

The hours of the library are from 8 a.m. to 4:30 p.m. daily. The staff maintains that surveys and studies of the hours indicate no need for change. The auditor strongly questions this assertion. He notes that such surveys and studies have usually been conducted by the librarian, whose interests in working from 8 a.m. to 4:30 p.m. should be obvious. In addition, having the library open only during working hours is a deterrent to other activities which should take precedent, including school and work activities.

- 3) The auditor noted that considerable money and resources are devoted to legal volumes

The librarian reported that considerable money is invested on these and updates thereof, while little use is made of them. The library also serves the institution's staff.

4. Management Review

a. Findings

- 1) Management review is largely informal, but effective

The small and informal nature of the institution and the Education and Training Program, plus the physical facilities layout, combine to make direct observation and feedback a viable and effective method of management review. Face-to-face contact with both students and teachers are a daily occurrence.

- 2) Monthly summary reports of attendance, enrollment and high school and GED test completion are compiled

These monthly reports are reviewed by the Principal and the Superintendent. These identify trends in workload. The lack of standards against which to compare the monthly summary reports makes the reports of limited value.

- 3) The Principal's membership on the institution's management team provides an important source of management review feedback

Since the Education and Training Program is an integrated part of the entire institutional program, the Principal's participation in the top "management council" of the institution gives important input on the interrelationships between the Education and Training Program and other elements of the institution.

b. Evaluation and Conclusions

The lack of quantified and time-phased objectives and performance standards against which actual performance can be measured is a serious handicap to the management review process for the Education and Training Program at Purdy. While daily contacts with students, faculty and administration provide some valid feedback, this source of information alone is not sufficient to provide meaningful management review. Performance standards are particularly needed at Purdy to constrain excessive costs in the educational activities.

c. Recommendation

RECOMMENDATION 27

That the Adult Corrections Division establish performance standards dealing with attendance, enrollment, student FTE's per teacher, costs per student FTE, and other matters as deemed appropriate, against which actual performance can be measured.

D. WASHINGTON CORRECTIONS CENTER - SHELTON

1. Introduction

- a. The Education and Training Program at the Washington Corrections Center is frequently pointed out by Adult Corrections Division staff as its most successful program

The program is conducted by Centralia Community College under contract to the institution. The building and program are known as the Garrett Heyns Educational Center. The program includes vocational courses, remedial education courses, high school courses and a two-year community college program.

The consensus of opinion (with which the auditor concurs) that this program is a highly commendable one, has given rise to the idea that a community college contract program is the optional way to run education and training programs in prisons. It is often forgotten that two previous contractors (Shelton School District and Olympic College) were not successful and those contracts were not renewed.

- b. Several unique features affect the program

Unique features at the Washington Corrections Center, which appear to influence the program, are:

- (1) a particularly capable and enthusiastic program director
- (2) a small institution population of young, first-offenders relatively receptive to education
- (3) a high priority and strong support given education and training by the institution administration
- (4) geographic isolation from population centers and the main campus of the contractor
- (5) modern, open, cheerful facilities

- c. Population and Enrollment

At the time of the audit the Washington Corrections Center had a total resident population of 480. In December 1976, student full-time equivalent enrollment was equal to 373 based upon a 12-academic hour-per-week college enrollment level.

2. Planning Function

a. Goals and Objectives

1) Findings

a) General goals of the Garrett Heyns Education Center are documented

In a paper entitled "The Responsibilities of the Faculty of Garrett Heyns Education Center," goals are listed under three categories as follows:

(1) Faculty Responsibilities to the Student

- (a) Provide the opportunity for the learning of academic and vocational skills.
- (b) Teach the skills of learning.
- (c) Provide atmosphere conducive toward establishment of realistic career goals.
- (d) Encourage and reward individual maturity and development.
- (e) Encourage and facilitate entry into outside opportunities.
- (f) Serve as an example through professional concern, integrity, sensitivity and success.
- (g) Act as an advocate of students who learn to achieve.

(2) Faculty Responsibilities as part of Community College District #12

- (a) Maintain high academic standards consistent with Community College District #12.
- (b) Provide the finest possible educational resources within the budget limitations.
- (c) Remain professionally active, informed, and current in the educational areas represented.
- (d) Maintain required records of student admission and academic progress.

(3) Faculty Responsibilities to the Washington Corrections Center and the Washington Criminal Justice System

- (a) Conduct our educational activities in accordance with the Washington Administrative Code.
- (b) Provide periodic student evaluations and make observations available to the unit team, counselors, and institutional staff.
- (c) Facilitate cooperation and communication within the institution regarding progress and development of student programs.
- (d) Operate within the framework of the Washington Corrections Center and yet remain a separate, cooperating division of the institution regarding custody and treatment.

b) Specific objectives have not been formulated

An objective is defined as a desired quantifiable achievement with a specific time frame which contributes toward attainment of a goal. Goals, to the contrary, tend to be timeless, somewhat vague, and reflect basic values of our society. The auditor found no evidence that objectives have been developed.

b. Planning Documents

1) The major planning document is the Garrett Heyns Education Center Course Catalog

This document outlines in considerable detail the course offering, teacher assignments, student attendance policy and enforcement system, and counseling office services.

2) A second major planning document is the contract documenting the agreement between the Washington Corrections Center and Community College District #12

This document details personnel hiring and approval procedures, responsibility for equipment and supplies, certain accounting practices, responsibility for facilities, and budget preparation and administration. It further provides that contractor employees shall comply with all published and written policies and procedures of the institution.

c. Organization and Communications

- 1) The education and training function is conducted by the Community College District #12 under contract to the Washington Corrections Center

The 23-1/2 teachers and other employees all report directly to the Director of Education. All are contractor employees with the exception of the Data Processing instructor who is a State employee. In actual practice all contractor employees are responsive to the Superintendent of the Corrections Center, and the casual observer would note little difference between direct employees and that institution and the contractor.

- 2) The Director of Education has placed heavy emphasis upon the need for cooperation and coordination between the education and training programs and all other programs and functions of the institution

Education and training personnel work closely with other programs. They make major inputs to the Classification Committee. These inputs have significant influence upon the granting of work/training release, furlough, recommendation for parole, etc.

- 3) Communications tend to be largely informal

The small size of the institution and the geographical location and layout of education and training facilities are such as to make informal communications, on a face-to-face basis, entirely feasible and practical. The relatively stable nature of the education and training activities minimizes the need for elaborate communications systems.

Staff meetings are held on an as-needed basis. A telephone network is available for instant communications between vocational classrooms and the Education Center office. The several planning documents mentioned previously are readily available for use of all personnel in the Education and Training Center.

d. Budget

- 1) The planned expenditures budget for the Education and Training Program is developed by the contractor

The budget is based upon the allocation from the Corrections Center following consultation and coordination to determining the appropriate educational programs.

Two budget documents exist. The first represents the institution's education and training budget, the largest portion of which is earmarked for contract services. The Garrett Heyns Educational Center budget is prepared by the contractor and gives substantially more breakdown in detail. Each individual course or teacher has a committed budget for supplies and equipment.

2) Total costs of the Education and Training Program approximate \$650,000 per year

The following sources of funds were noted for fiscal year 1977:

Allocation from biennial contract for FY 77	\$538,522
Institutional education and training budget other than contract services	29,494
Title I grant (estimate)	<u>86,000</u>
Total education/training cost	\$649,019

3) The cost per student FTE compares reasonably with community college average costs

There are currently the equivalent of 373 full-time students attending the Garrett Heyns Educational Center. When the total cost for fiscal year 1977 is divided by 373, an average cost of \$1,740 per student FTE becomes apparent. This compares to the State Board for Community College Education's 1975-76 actual costs of \$1,257 per FTE and predicted 1976-77 costs of \$1,421. The SBCCE's averages include certain maintenance and operating expenses which are not included in the \$1,740 figure at Garrett Heyns. The imperfect comparison between these figures is further discussed in the "Systemwide Considerations" portion of this report.

4) The budget is controlled by the contractor

The budget is controlled by the contractor with the exception of the \$29,497 of institutional expenses for education. The budget, once approved, is committed and under the control of the contractor and cannot be diverted to noneducation purposes.

5) The budget includes 16 percent administrative services costs

This 16 percent cost includes direct clerical and administrative assistant salaries at the Garrett Heyns

Education Center. Subtracting these still leaves 10.9 percent costs accruing to the contractor's overhead, presumably used to support central office staff in Centralia.

e. Evaluations and Conclusions

A commendable start toward the development of program goals has been made at Shelton. Some top-level policy guidance from the Adult Corrections Division office in the form of division-wide goals for the Education and Training Program would be helpful. Current emphasis is required in the development of quantified and time-phased objectives which meet the Office of Program Planning and Fiscal Management's definition of an objective.

The auditor was particularly impressed with the high degree of communication and coordination between the education and training staff and the institution staff.

As at the Women's Treatment Center at Purdy, the existence of a contract serves to commit budgeted funds to the program. The auditor was impressed with the fact that each individual teacher had a committed budget for supplies and equipment. This was of particular importance to vocational instructors.

Finally, the auditor considered the average cost per student FTE to be reasonable in comparison to the State Board for Community College Education's average costs. This conclusion was based upon the fact that FTE costs were only 22 percent higher than the "outside" SBCCE average. Considering the nature of the students, including disciplinary, motivational and remedial problems, together with the many inefficiencies of conducting any program within a prison environment, an added cost of only 22 percent is considered reasonable.

f. Recommendation

RECOMMENDATION 28

That the Washington Corrections Center develop and document formal, quantified and time-phased objectives for its Education and Training Program.

3. Operations Function

a. Personnel and Staffing

1) The Education and Training Program employs 23-1/2 personnel

All are direct employees of the contractor, excepting.

the Data Processing instructor who is a State Civil Service employee. This staff includes the Director of Education, 2-1/2 administrative employees, and a vocational counselor. Teacher staff is generally assigned five classroom hours per day. All teaching staff are appropriately certified as either vocational or academic instructors by Centralia Community College in accordance with State Board for Community College Education's rules and criteria.

2) The Education and Training Program includes a full-time vocational counselor

The vocational counselor does all counseling related to the Education and Training Program. He runs the Washington Occupational Information Service Computer Job Search Program designed to inform residents of projected job openings and opportunities in various fields. Additionally, he teaches a job finding skills course which emphasizes job applications, resumes, union relations, etc.

The vocational counselor's work also includes coordination with other institutional programs, specifically including work/training release. He endeavors to minimize conflict between different programs ensuring that, wherever possible, an inmate completes necessary training before going on the work/training release program. The counselor also conducts attendance counseling for those residents entering phase two or three of the compulsory attendance program. He maintains close liaison with the residential hall counselors, endeavoring to maximize coordination between the Education and Training Program and other activities.

3) Advisory Committees

RCW 72.62.050 provides that trade advisory and apprenticeship committees shall be constituted for each vocation taught within the vocational education programs. No apprenticeship committees have been constituted. Trade advisory councils have functioned only in a very limited fashion. The isolated location of the Washington Corrections Center makes it difficult to maintain an active Trade Advisory Committee with representatives from labor and management. While the concept is indeed desirable, meaningful implementation of this law at isolated locations is, at best, highly difficult.

b. Scheduling

The Garrett Heyns Education Center uses an annual schedule comparable to that of the community college. However, they have

recently been experimenting with short, concentrated classes during the "interim" between regular quarters. The Education Center operates on a year-round basis, four academic quarters per year. The school day consists of six periods of approximately one hour apiece.

1) The attendance policy at the Washington Corrections Center was rigorously enforced

Several years ago the Washington Corrections Center Superintendent established a clear priority for the Education and Training Program at the institution. This decision has been reinforced ever since. As a direct result there is minimum of conflicting activities with classes. Alcohol and drug programs, inmate organization activities, and counseling sessions take place primarily after school hours. The counselors work a 3 p.m. to 10 p.m. shift two nights per week to facilitate the schedule.

2) An attendance recording system ensures enforcement

At the start of each period a custody officer collects absentee slips from each class. These are compared against authorized excuse lists. Unexcused absences are recorded. The corrections officer has a class schedule for each prisoner and knows precisely where he should be. A four-step procedure for class nonattendance is utilized. Unexcused absences or tardiness advance the student from step one through step four. Intermediate steps involve counseling by the unit team and a probationary period. Step four amounts to disenrollment from the class and the loss of good time certification. Conversely, good attendance results in a letter in support of "good time" certification. It is significant that the burden for verifying excused absences or tardiness falls upon the students. Absences are recorded as unexcused. It is the student's responsibility to assure that proper excuses and certification are accomplished and recorded.

c. Coordination With Other Programs

The auditor was particularly impressed with the degree of cooperation and coordination afforded the Education and Training Program with respect to parole, work/training release, alcohol programs, drug programs and other activities within the prison facility. It was apparent that the Superintendent of the Washington Corrections Center had given high priority to the Education and Training Program and it clearly enjoyed relatively higher prestige and emphasis than at other male institutions. The Education and Training Program, therefore, received a higher

degree of consideration, courtesy and cooperation in the planning by all administrative staff at the institution.

d. Facilities, Equipment and Supplies

1) Facilities are far superior to that of other male adult corrections institutions

The academic building is new and modern. It houses the library, education and training office, and classrooms. It is new, modern and functional. Vocational courses are housed in a building designed and built partially for the vocational program. Vocational shops are spacious and modern. Leaky roofs in both buildings were the only substantive complaints about the facilities. Major roof repairs were in progress at the time of the audit.

2) Equipment for both academic and vocational classes is, with several exceptions, generally modern, in good condition, and adequate

The contract between the Washington Corrections Center and Community College District #12 clearly places responsibility for equipment maintenance and replacement upon the contractor. Excellent progress was evident. Typewriters and office machinery in the office skills classes were in excellent condition and modern. Audio-visual aids in the reading laboratory and other academic classrooms were plentiful and modern. Vocational teachers spoke with pleasure about the obviously improved equipment situation since the current contractor assumed the contract. However, additional expenditure of funds appeared clearly necessary in the auto-mechanics area.

3) Supplies appeared adequate but not excessive

Consumable materials and supplies appeared sufficient to conduct all necessary operations, with no obvious surplus in evidence.

4) Numerous complaints were heard about slow purchasing support from the district purchasing office in Centralia

Inspection of the purchasing files did indicate a problem area including:

- a) inadequate use of small purchase authority without the necessity of formal bid procedures
- b) cumbersome paperwork procedures and numerous logs and files

- c) slow response time by the purchasing office
 - d) inadequate status information on outstanding purchase requisitions
- 5) Students are not allowed to keep any finished projects whatsoever

RCW 72.62.030 states that articles manufactured or produced in conjunction with vocational education programs in institutions may be sold on the open market. At the Washington Corrections Center this provision is being implemented so as to preclude the vocational student from keeping any handiwork item whatsoever. Finished articles are sold at the Mason County Fair. Instructors expressed concern over the rigid application of the 'no keep' rule. They point out that, viewed from a rehabilitation standpoint, a completed shop project may be the first significant accomplishment of an inmate's life, providing a constant reminder of his capability and potential.

e. Selected Classes

- 1) The Welding Course is particularly popular with inmates

Welding is an area where success can be achieved despite failure in the academic field. The full welding course at the Garrett Heyns Education Center takes 900 hours - about 16 months and culminates in the issuance of a Certificate of Proficiency. Eleven students are enrolled in the morning and a different eleven in the afternoon. The instructor feels that welding cannot hold an individual's interest all day in a teaching situation.

The welding course appeals to many because it represents an opportunity to earn journeymen's pay immediately upon release from prison. The instructor reports that journeymen's status and union affiliation are rarely significant in securing a job; passing the welding test and getting hired is the key. The instructor often takes students (about to qualify for work release) to their certification tests. A major problem is coordination of work release, testing and job availability since employers test only when hiring and want employees to start immediately. But it takes six weeks to get accepted for work release and work release will not take applicants unless they have a job.

The instructor has a good course breakdown and units

prepared. The course content includes:

- (1) safety orientation
- (2) cutting torch
- (3) practice beads
- (4) "T" welds
- (5) various joint welds
- (6) practical examination
- (7) review and repeat until discharged.

2) Enrollment is low in the Data Processing class

Five students are served in the morning and seven in the afternoon. The course deals with actual programming with emphasis on the cobol computer language. Only key punch machines are available at the Corrections Center. Actual programs are run on the high speed terminal in the House Office Building with the school paying for computer time.

The course is largely self-taught through programmed instruction booklets developed by International Business Machines Corporation. The course sequence consists of:

- (1) fundamentals
- (2) Cobol language
- (3) advanced projects

The instructor indicated a need to reassess the program in the light of numerous mini-computers. The Trade Advisory Council performs the same role for Olympia Technical Community College. The Council has had no meetings in the last year. The instructor reports few unions in the Data Processing field, so no union affiliation requirement in order to obtain a job. Many graduates have been placed within state government employment.

3) The Carpentry Course has been disrupted through drug smuggling operations

The carpentry course has partly depended upon outside construction projects near the Corrections Center, including the fair grounds, county parks, various recreation buildings, backstops, grandstands, etc. This arrangement has worked well since the beneficiary of the effort furnishes construction materials and receives the free labor of the inmates generated through the learning process. Classes have been discontinued due to suspected smuggling in April and December 1976. (Drugs had apparently been planted at the worksite for pickup by carpentry students and return to the prison.) On-the-job training is combined with approximately ten percent classroom

work. The course content is based largely upon the Coordinating Council for Vocational Education Instruction Manual for Carpentry.

f. Washington Corrections Center Libraries

1) Two separate libraries are maintained and staffed at the Washington Corrections Center

A small "staff" library is manned by an employee of the Washington State Library system four hours per day. It is located in the Administration Building, some distance from the resident library which is located in the center of the prison complex, in the Garrett Heyns Education Center. The latter is staffed by two employees of Centralia Community College plus several resident assistants. The auditor questioned the need for these two separate facilities and looked at the feasibility of consolidation. He subsequently concluded that feasibility would not be appropriate due to:

- (1) differing clientele served
- (2) considerations of convenience to separate clientele
- (3) different types of reading materials stocked
- (4) consistence by security that the inmate library is not open without the librarian present

The Washington Corrections Center is unique in that the inmate library is run by the educational contractor in accordance with the terms of the contract.

The facility is considered outstanding - centrally located, spacious and easily accessible. It is staffed by two professional librarians with three resident assistants. The assistants are paid \$1.10 per day; two are paid by the State Library; one is paid by the Corrections Center.

The contents of available books appear to minimize violence and maximize positive attitudes and values. No pornography was noted. An estimated 10 to 12 books per resident were on hand, including a good selection of fiction. There was an excellent control over new books and magazines - a checkout procedure ensuring that new magazines did not instantly disappear. The library has access to Timberland Regional Library for loans, etc. They honor specific requests and furnish entire groups of books on a rotation basis. Inspection of the records indicates an average circulation of approximately 3,000 books per month checked out. (This does not include books read in the library.)

2). The library schedule is less than desirable

The library is open from 8:15 a.m. to 11:15 a.m. and 12:35 p.m. to 3:30 p.m. Monday through Friday, except on Monday when a 5:30 p.m. to 7:30 p.m. opening is substituted for the afternoon opening. The library is closed Saturday and Sunday. In addition, the library is closed when school is closed - approximately two months out of the year. Custody staff will not allow the library to be open without the librarian present.

The library is currently building an audio-visual section. Access to this separate section of the library is controlled. Equipment includes movies, tapes, workbooths, earphones, etc. A second full-time employee has recently been hired to staff the audio-visual laboratory.

g. Evaluation and Conclusions

Detailed analysis of central office purchasing operations was beyond the scope of this audit. However, the evidence clearly indicated a need for management attention including that of the purchasing office in Centralia. The absence of strong and timely purchasing support adversely affects the educational process which is dependent upon timely receipt of equipment and supplies.

With respect to the retention of handiwork projects by inmates, the auditor concludes that while costs of the materials and the nature of the article require careful consideration, the rigid application of this rule is unnecessary and counterproductive. Other institutions do not follow this procedure. The law does not appear to require that all convicts be deprived of every completed article. In some cases the cost of the materials is minimal. In others, storage of the item or release to family is feasible if its presence within the living unit is inappropriate, i.e., potential use as a weapon, contraband, etc.

The auditor notes the presence of 2-1/2 paid library staff at the institution. This compares unfavorably with the extensive amount of time the inmate library is closed. The auditor also notes that the library is closed during school vacation periods - the precise times when the library facility is most needed since inmates have extensive free time during these vacations. The auditor concludes that it is possible to keep the library open on a year-round basis. Alternatives include (a) removing the library from the education and training contractor's cognizance and placing it directly under the Washington State Library system; utilizing the staff-library librarian in the absence of the regular librarian; and (2) utilizing the audio-visual assistant

to open the library in the absence of the regular librarian. The auditor will not choose any specific alternative but feels that remedial action can be accomplished within existing budget and personnel.

h. Recommendations

RECOMMENDATION 29

That appropriate personnel of Centralia Community College review the purchasing process as it relates to Garrett Heyns Education Center, establishing procedures and standards that will resolve current problems in this area.

RECOMMENDATION 30

That the Washington Corrections Center, with the aid of the education and training contractor, arrange for the inmate library to be open on a year-round basis within existing budget and personnel.

RECOMMENDATION 31

That the Washington Corrections Center allow inmates to retain or purchase for themselves those completed shop projects which, in the judgment of the staff, have significant rehabilitative influence through reinforcement of the inmate's positive view of himself and his potential.

4. Management Review Function

a. Findings

The management review process tends to be largely informal, consistent with the size of the institution and the Education and Training Program. Face-to-face contacts between the educational director and all staff are frequent. An atmosphere of informality prevails. Staff feels free to consult with the front office on any problem areas.

- b. The basic contract between the Washington Corrections Center and Community College District #12 provides for a quarterly review of the Education and Training Program by the Superintendent of the Corrections Center and the President of the community college and other appropriate staff

The auditor found no evidence that such reviews had been made.

- c. Approximately one year ago the education and training staff went through an exhaustive self-evaluation effort

Using criteria and specific printed guidelines published by the State Board for Community College Education, the education and training staff has conducted an exhaustive self-evaluation of the Education and Training Program. This effort was instigated by the Director of Education who was still somewhat new to the position at that time. The auditor has personally reviewed the guidelines and notes resulting from this review and found it thorough, formal and objective.

- d. Trade Advisory Councils serve as one form of management review function

The basic purpose of the Trade Advisory Council is to review vocational courses to ensure they are current and appropriate to actual conditions in industry. At the time of the audit, Trade Advisory Councils had not been active at the Garrett Heyns Education Center. A renewed effort was underway to rebuild and revitalize the Trade Advisory Councils applicable to the individual vocational courses.

- e. The attendance monitoring and recording system is an effective form of management review for attendance purposes

This subject was fully covered under the operations section of this chapter dealing with the Washington Corrections Center. It continually gives both a general and individual report on class attendance.

- f. The Education Director uses some specific quantified criteria to judge his program

The number of enrollees, the full-time equivalent students, and the number of high school graduates are continuously evaluated by the Education Director as indices of the success of his program.

- g. Evaluation and Conclusions

The lack of specific objectives against which actual performance can be measured is the major handicap for the management review process at Shelton.

The self-evaluation conducted in 1976 against the State Board for Community College Education's criteria and guidelines was a commendable review effort. The continuing tracking of enrollment, FTE's and high school graduations show trends but lack full

full meaning in the absence of objectives against which to compare them. A technical review by the community college staff would appear particularly advantageous since it can bring to the institution an expertise and viewpoint which is otherwise not available. Academic standards can thus be maintained and course content improved. The auditor can think of no better method to maintain and improve the quality of the Education and Training Program than by implementing this procedure which is already paid for and required by contract.

h. Recommendations

Recommendation 28 calling for the establishment of objectives for the Education and Training Program at Shelton is applicable.

RECOMMENDATION 32

(This recommendation was deleted from the audit report.)

RECOMMENDATION 33

That future contracts define in greater detail the nature and type of review to be conducted by the community college President and central staff.

D. WASHINGTON STATE REFORMATORY - MONROE

1. Introduction

The Education and Training Program at the Washington State Reformatory at Monroe is conducted primarily by employees of the Department of Social and Health Services who comprise a portion of the institution staff. The program includes vocational courses, high school and remedial education courses. A limited number of community college courses are taught by the Edmonds and Everett community colleges.

The institution consists of approximately 835 inmates, of which 400 are enrolled in education and training courses - the equivalent of 282 full-time students. The average age of the inmates is 22 years. The average estimated stay is relatively short - 19 months. The population is generally considered to be somewhere between the young, first offender typical of the Washington Corrections Center, at Shelton, and the more mature or hardened criminal at the Washington State Penitentiary.

Other unique features of the Reformatory include (1) of the three male, major institutions, Monroe is located closest to the major population center of Seattle, and (2) the training facilities are old, nonfunctional and depressing.

2. Planning Function

a. Goals and Objectives

The auditor found no documentary evidence that goals and objectives for the Education and Training Program at the Washington State Reformatory at Monroe have been established. Staff verbally states that goals are to:

- 1) provide inmates leaving the institution a marketable skill, and
- 2) avoid idle time by keeping inmates gainfully occupied

b. Organization and Communications

- 1) The education and training staff consists of 23 personnel

The education and training staff is headed by a Director of Education. He directly supervises five academic teachers, a librarian, and one vocational guidance counselor and the supervising vocational teacher. The supervising vocational teacher supervises the 12 vocational instructors.

- 2) Dual administrative functions are performed by the supervising vocational teacher and the Director of Education

Within the office of the Director of Education, budgetary and purchase requisition files are maintained. Similar files are maintained within the office of the supervising vocational teacher.

c. Budget

- 1) The budget is developed in conventional fashion by the Director of Education

It is reviewed by the institution's Business Manager, the Assistant Superintendent for Corrections, and the Superintendent prior to submittal to higher authority.

- 2) Inconsistency between budget format and PF-1 report has created budget confusion

The education and training budget was originally prepared and submitted in a format as directed. When incorporated in the PF-1 computerized accounting system, a revised format and classifications were introduced. As a result, great confusion exists as to what is or is not in the budget and how the budget was altered after submittal. The auditor presumes this situation will be corrected with the 1977-79 budget.

- 3) The institution pays a negotiated lump sum to the community college for each course taught - substantially in excess of tuitions collected and retained by the institution

No "FTE money" is allocated from the State community college budget in support of these community college courses. The net result is that the cost of these college-level courses is largely shifted from the State Board for Community College Education's budget to the Adult Corrections' budget.

- 4) Total costs of the education budget approximate \$488,467 per year

The following sources of funds were noted for fiscal year 1977:

CETA (machinist and culinary programs)	\$ 38,284
Title I	30,923
Appropriated for vocational programs	250,802
Appropriated for academic programs	168,458

5) The cost per student FTE compares reasonably with community college average costs

There are currently the equivalent of 284 full-time students attending the education and training programs at the Washington State Reformatory at Monroe. When the total cost for fiscal year 1977 is divided by 284, an average cost of \$1,719 per student FTE becomes apparent. This compares favorably to the State Board for Community College Education 1975-76 actual costs of \$1,257 per FTE and predicted 1976-77 costs of \$1,411, when viewed in light of the unique operating problems and students of the Monroe Education and Training Program. (The auditor does, however, question the validity of these figures in the light of poor attendance observed at the Reformatory. True FTE's, adjusted for poor attendance, may well modify this figure to a higher cost per FTE. With specific reference to vocational courses, each enrollee is considered a full FTE and absenteeism is ignored.)

3. Operations Function

a. Personnel

1) Full-time personnel attached to the Education and Training Program are DSHS employees

All teaching staff are certificated, academic staff by the Superintendent of Public Instruction and vocational staff by the Commission for Vocational Education. A majority of the academic teachers held Master's degrees. As employees of the institution, teachers are professionally isolated and lack the contacts with professional associates within a typical educational school or college and its related community of interests.

2) Morale of academic teachers was low

Academic teachers interviewed felt that the academic program lacked support of the administration. Morale had been further adversely affected by:

- a) lack of enforcement of attendance and progress;
 - b) known unhappiness of the Olympia office with the program; and
 - c) no opportunity to upgrade skills through further education due to 12-month schedule.
- 3) Community College District #5 wants to assume the entire Education and Training Program under a contract

The above statement was confirmed with the District President and a State Board for Community College Education Associate Director in lengthy discussion. Community College District #5 is well aware of the potential problems of an in-prison program and is dedicated to their solution.

- 4) Certain employees are active and vocal union members who oppose a contracted program

The possibility of changing to a contracted education and training system has been discussed before and is opposed by the more outspoken union members based largely upon fears of job security, retirement benefits and of a shift from vocational and apprenticeship emphasis to academic or industrial arts emphasis.

- 5) The DSHS personnel office expressed concern over union opposition to a contracted program

The existing contract between DSHS and the Washington Federation of State Employees contains a provision prohibiting the "contracting out" of work which would cause the elimination of classified positions or preclude the performance of work historically accomplished by civil service personnel. A personnel office spokesman indicated that a gubernatorial or legislative directive or mandate (such as a budget proviso item) to implement a contracted system would be helpful.

b. Scheduling and Assignments

The Education and Training Program operates five periods per day on a year-round basis. It does not follow the typical academic schedule with frequent vacation periods. Academic teachers are assigned classroom duties all five periods.

Community college courses are taught both day and evening

by part-time instructors. Vocational students spend the entire day in their respective vocational shops. All courses, except community college courses, permit open entry and open exit.

1) Inmates have much idle time

The institution either cannot or does not assign all prisoners to permanent regular work assignments. Prisoners are free to remain "unprogrammed" if they wish.

2) A mass of conflicting resident activities interfere with education and training classes

Visiting hours, drug groups, alcoholism groups, counselor appointments and a variety of other activities are permitted to interfere with school attendance.

3) Teacher absenteeism is disruptive to the Education and Training Program at Monroe

At the Monroe institution the absence of an instructor results in his classes being cancelled for the day and/or his vocational shop being closed during his absence. The auditor considered this practice undesirable with respect to teacher vacations and industry contracts. The problem is complicated by the fact that in normal academic circles a substantial amount of time for such affairs is made available to teachers during summer vacation, spring vacation, Christmas vacation, etc.

c. Accounting and Reporting System

1) Education and training funds are not committed or dedicated

For all intents and purposes, the education and training funds are part of a general fund to be used at the discretion of the Superintendent and higher authority. During the biennium \$89,000 of the institution's budget was "turned back" to the Adult Corrections Division ostensibly to open the Clearwater Honor Camp. At the time of the audit all requests for educational equipment and supplies had been cancelled in view of substantial deficits in the food and medical budgets. The Business Manager and Superintendent both reported that a conscious decision had been made by prison management to feed good meals at the expense of other programs, including the Education and Training Program.

2) There is an absence of meaningful information upon which expenditures can be compared against the education and training budget

Educational administrators had virtually no meaningful

knowledge as to (a) what amount had been budgeted for education and training during the biennium, and (b) what funds were currently unexpended at any point in time. The situation was aggravated in the 1975-77 budget because different and incompatible budgetary breakdowns were utilized in the budget process and on the PF-1 accounting system reports.

d. Facilities, Equipment and Supplies

1) Facilities are old and far from modern

This reflects the general age of the entire institution. The main academic classroom area was inadequate for the present program. A portion of the old classroom had been given to the Resident Government Council, Resident-Run Service Center, and Black Prisoners' Caucus. Some classes have been relegated to a distant building as a result. Additionally, the presence of these organization is not compatible with an academic atmosphere.

Vocational facilities are mostly located in an area some distance from the Administration Building. Buildings are old and space is limited in most cases, particularly the auto-mechanic and auto-body shops.

2) Equipment varies from old to obsolete to excellent

It is generally poor. The exceptions (machine shop and dry cleaning plant) are attributed to unique instances in which free equipment became available. Virtually no funds have been spent on the updating of equipment for the vocational education program. This problem relates directly to the budgetary action under which funds for education and training become diverted to other purposes under the pressures of operating emergencies during the biennium.

3) There is no organized system for determining the status and following-up on purchase requisitions for equipment and supplies requested by individual instructors

A looseleaf notebook is maintained in the academic education office and a similar one in the vocational education office containing copies of requisitions for supplies and equipment submitted to the Business Manager.

Little or no information is available showing what happens to these requests. There is no meaningful system of follow-up. The business office does usually furnish copies of orders forwarded to Olympia for purchase action, but subsequent information is virtually nil. Even final receipt of the material is not known or recorded in the basic order books.

e. Administrative Support of Program

1) The education program lacks the firm and meaningful support of the administration

There is a relatively low priority given to the Education and Training Program. There is a lack of both positive and negative incentives for a prisoner to attend education or training classes. There is virtually no enforcement of attendance at classes in which an individual is enrolled, and attendance at academic courses can only be described as deplorable. Numerous conflicting activities are allowed to exist in the forms of clubs, special meeting groups, conflicting visiting hours, conflicting counseling sessions and many others. Even inmate organizations can write "lay-in" slips to excuse inmates from classes. Inmates interviewed admitted that they often did not get up in the morning and instructors repeatedly complained to the auditor about the problems of inmates "sleeping in." Fear of a riot or inmate unrest pervades the administration and precludes meaningful change. A Superintendent's memorandum of June 10, 1974, specifically prohibits mandatory assignment of inmates to any work or training program.

2) The problems at Monroe have been documented previously

A 1972 study of adult correctional institutions' educational programs was conducted by the State Board for Community College Education at the request of the Department of Social and Health Services. The report included a comprehensive analysis of the program and called specific attention to many problems still existing today. Brief excerpts from that report follow:

"... the staff perceive they are not involved in budgeting existing programs"

"... a lack of supplies, up-to-date-books and instructional equipment"

"... concern over high dropout rates"

"... very little support from the administration"

"... lack of funding support for the vocational program ... old or obsolete equipment ..."

"Enrollment in classes is dropping because of the other activities which are now moving into the prison ..."

"There do not appear to be any relevant rewards for prisoners ... in the education processes ..."

"The prison is segmented and does not operate as an integrated system, the various segments do not interact in any meaningful way in regard to the prisoner who moves through the institution."

"The number of activities that are allowed to cut into the educational programs should be curtailed."

All of the above comments appear as applicable today as in 1972. No correctional efforts have been noted.

3) The institution does not have enough jobs, classes or other programming to keep all inmates busy

It is, therefore, reportedly an easy matter for an inmate to become intentionally "lost in a crack" without penalty. One typical gimmick is "signing up for a waiting list." Under this system numerous prisoners apply for the same class or program knowing full well they have no chance of all being admitted. This, nonetheless, enables them to claim they made an effort to program and tends to preclude a 705 infraction and a denial of good time. A Superintendent's memorandum of June 10, 1975 (never cancelled) strongly emphasizes that work assignments are not mandatory.

As a result of the above, a degree of idleness, non-participation and nonenforcement of attendance have become an accepted way of life.

f. Evaluation and Conclusions

General

The auditor has carefully considered the variety of problems related to the Education and Training Program at Monroe. Notable among these are the absence of committed funds and visible accounting reports, the lack of support from both the administration and supporting service components, low academic teacher morale, obsolete equipment and supplies, and the low priority

given to the program in terms of interruptions and schedule conflicts. The auditor also notes that these conditions have existed without correction at least since 1972, as reported by the State Board for Community College Education study. He concludes that radical action and the involvement of new personnel and organization are necessary if existing problems and inertia are to be resolved. The arguments for and against a contracted program (as set forth in Section III A. of this report) have been reviewed and the auditor finds those in support of the concept outweighing those against, with particular respect to the situation currently existing at Monroe. He notes the sincere interest of the SBCCE and the Edmonds/Everett community colleges in entering into a contractual relationship similar to that at Shelton. He concludes that such a contract is an appropriate and desirable objective.

Teacher Absenteeism

The auditor concludes that current vacation and absence policy regarding institutional teachers, although standard for State employees, is inappropriate to the maintenance of a viable education and training program schedule. A contracted program with a community college would resolve this problem. Likewise, restriction of vacations and other planned absences to a specific summer period would alleviate the problem.

Accounting Reports

The auditor concludes that no viable budgetary and accounting system exists through which the Director of Education can manage and control his program.

Responsibility for the absence of meaningful accounting and expenditure information can be shared among numerous parties. The business management department might well take greater pains to explain and route the PF-1 financial reports. The Superintendent might well have either directed that the PF-1 reports showing allotments and available funds be complied with or that specific reallocations be made and publicized. The educational administrator might have sought out meaningful budget and accounting information. The lack of meaningful information as to funds budgeted and available has reportedly existed for years and has been a source of constant frustration to individual instructors. The available funds have not been allocated to individual instructors so that they have any idea how much money they can spend. From their viewpoint, funds are arbitrarily turned on and off and there is no feedback indicating what, if any, portions of their budget requests have been granted.

Administrative Support

In fairness to the present Superintendent, the auditor acknowledges the many precedents established by his predecessors which contribute directly to the unsupported position of the Education and Training Program at Monroe. Prison reform, voluntary participation concepts, prisoner organizations and due process have also contributed to the deterioration of administrative controls over inmates in general and the Education and Training Program in particular.

The numerous activities allowed to interfere with class attendance are simply not justified in the opinion of the auditor. This problem has been solved at Shelton and can be at Monroe if a firm position is adopted by competent authority. Shift adjustments for teachers or other staff is considered a viable solution to the problem.

g. Recommendations

Attention of the Washington State Reformatory administration is particularly invited to those recommendations contained in the "Systemwide Considerations" section of this report dealing with mandatory enrollment and the establishment of central controls over inmate salaries.

RECOMMENDATION 34

That the Adult Corrections Division of DSHS make all reasonable efforts to establish a contracted education program with Community College District #5 at Monroe, similar in scope and content to that currently existing at the Washington Corrections Center in Shelton.

RECOMMENDATION 35

(This recommendation was deleted from the audit report.)

RECOMMENDATION 36

That the number of activities allowed to conflict with class time at the Washington State Reformatory be sharply curtailed.

RECOMMENDATION 37

That the Washington State Reformatory institute a rigid class attendance policy (similar to that in effect at the United States Penitentiary at McNeil Island, and at the Washington Corrections Center, Shelton) which culminates in the loss of good time certification for repeated absences and tardiness from education classes, and that a specific plan be developed for the implementation of this policy and presented to the Legislative Budget Committee by December 1, 1977.

RECOMMENDATION 38

That the Superintendent of the Washington State Reformatory at Monroe direct the establishment of a meaningful accounting and reporting system giving visibility to the Director of Education as to the status and availability of education and training funds.

RECOMMENDATION 39

That the Washington State Reformatory promptly devise a meaningful system by which the status of all orders for supplies and equipment can be ascertained, updated and appropriate follow-up action taken when materials are not received in a reasonable length of time.

4. Management Review Function

a. Findings

1) Management Review activities at Monroe

a) Teachers are evaluated annually as to performance

A particularly comprehensive six-page outline and checklist is utilized in evaluating vocational teachers. Among the evaluation criteria are the nature of the instructor's trade relationships and his ability to maintain student interest.

b) Students are evaluated monthly

Brief summary evaluations of student progress are submitted monthly by instructors to counselors, as is a terminal evaluation at time of course completion or other termination. In addition, students applying for the apprenticeship programs are interviewed and evaluated by an apprenticeship committee.

c) The community college taught courses are reviewed annually

At a meeting of the community college president, the

Director of Education and key staff, the community college course offerings are reviewed as to inmate acceptance, inmate interest and course offerings required in the succeeding year.

d) Vocational programs are reviewed by trade advisory committees

Such reviews focus primarily upon course content and the amount of time that should be devoted to specific subjects and activities.

e) Student enrollment and FTE statistics are compiled and reviewed periodically

This practice is currently being modified to comply with the standardized system under development by the Adult Corrections Division education specialist.

2) Management Review Problems

a) Review of expenditures against the Education and Training Budget is not possible

The absence of a committed budget and of expenditure reports precludes meaningful financial expenditure review by the Director of Education.

b) There are no established objectives or standards against which actual performance can be measured

The absence of such guidelines provides no basis for comparison of the performance realized.

b. Evaluation and Conclusions

Some valid methods of management review are being utilized, but effective management review is severely compromised by the absence of objectives or standards against which actual performance can be measured. Guidelines in the form of systemwide goals and objectives promulgated by the Adult Corrections Division central office are needed in order that complementary local goals can be formulated.

c. Recommendation

RECOMMENDATION 40

That the Washington State Reformatory at Monroe formally establish specific time-phased and quantified objectives for its Education and Training Program.

E. WASHINGTON STATE PENITENTIARY - WALLA WALLA

1. Introduction

The Education and Training Program at the Washington State Penitentiary at Walla Walla is a heterogeneous group of activities involving numerous participants, minimum organization, and little identifiable authority or responsibility. The programming includes vocational courses, high school and remedial education offerings, and a great many college-level courses.

The institution consisted of 1,659 inmates. As of October 1976, about one-fourth (434) were enrolled in one or more education training programs for a total of 287 FTE's. The population of Walla Walla is considered to be the oldest, most sophisticated group of felons in the State.

The Walla Walla Education and Training Program places heavy emphasis upon the college-level academic area with approximately two-thirds of the FTE's being represented by this category.

Unique features of Walla Walla which impact the education and training programs are:

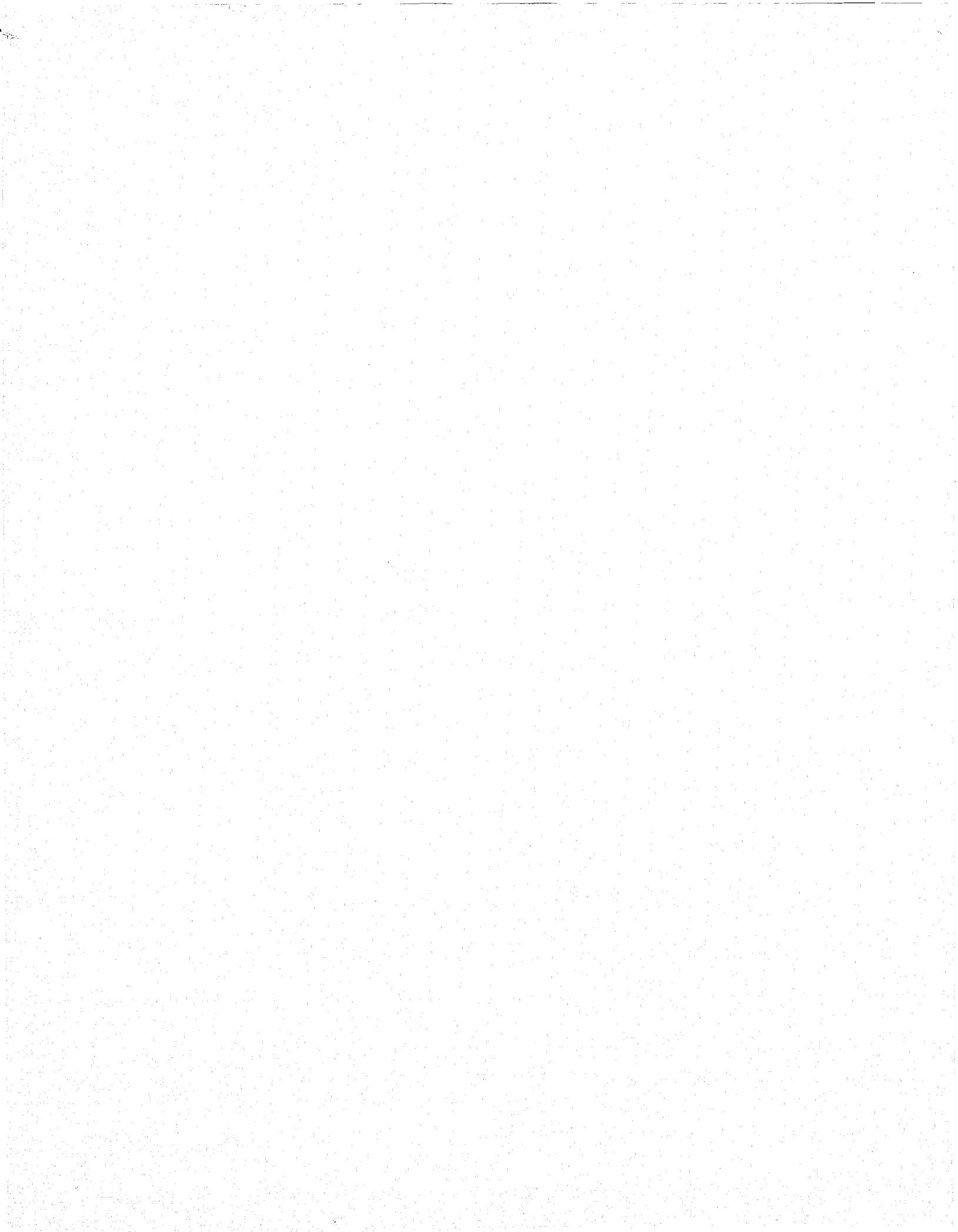
- (1) a minimum security building outside the confines of the walls, transfer to which is a high inmate priority;
- (2) the largest Institutional Industries program in the State;
- (3) an old, depressing physical facility;
- (4) a high rate of violence among the population, relating to a rigid and powerful "convict culture."

2. Planning Function

a. Goals and Objectives

- 1) Goals and objectives have not been formalized

The auditor found no documentation indicating that the Washington State Penitentiary had reached any consensus on goals and objectives for the Education and Training Program within the institution. The closest thing to documented goals and objectives is a draft entitled "Recommendation of Needs for 1977-79." This four-page document contains a goal "to assist as many residents as possible to prepare for their successful return to society and pay their debt to society at the same time."



CONTINUED

1 OF 2

Although not identified as goals or objectives, the document contains a recommendation for a contractual arrangement with Walla Walla Community College embodying a number of specific provisions. The specific provisions deal with classroom and facilities requirements, additional programs, and a number of quantified miscellaneous provisions including:

- budgetary documentation and control
- teacher-student ratios
- personnel requirements
- preparation of operating procedures
- development of staff evaluation procedures
- definition of procurement procedures
- funds handling procedures

Most of these ideas appeared highly appropriate and well thought out. While there was no evidence of formal adoption or approval of higher authority, negotiations aimed at a contracted program with Walla Walla Community College have been proceeding.

- 2) The Associate Superintendent for Treatment considered self-image improvement and marketable skills to be primary goals

The President of Walla Walla Community College expressed the compatible philosophy of placing emphasis on self-image improvement, should a contracted program under Walla Walla Community College be established.

b. Organization and Staffing

The Education and Training Program at the Washington State Penitentiary is in organizational disarray. There are no clear lines of authority or responsibility. Numerous different organizations are represented.

- 1) The Director of Education is a DSHS employee

Two other education and training personnel are also education and training employees - a teacher and an audio-visual technician.

- 2) Two personnel are employees of the local school district

The involvement with the school district dates back to 1967, with no clear reason for this arrangement apparent. There is no written contract or agreement with the school district other than a 1967 letter which briefly outlines a

reimbursement formula. Interestingly, one of the school district employee's primary assignments is administering the community college program.

3) A variety of Walla Walla Community College employees participate in varying ways

The clerical assistant to the Director of Education is a full-time community college employee. All four vocational education instructors are full-time college employees who consider themselves responsible to the Walla Walla Community College Director of Vocational Education - not the Director of Education.

Part-time community college academic instructors are hired by the Director of Education on behalf of the college. At the time of the audit the Walla Walla Community College authorities were complaining about the lack of quality control over its own employees.

Finally, a Walla Walla Community College employee administers the Title I remedial education program, including the two personnel (A/V technician and teacher) funded by this grant. These Title I personnel work closely with other basic education teachers under the direct supervision of the Director of Education and would seem more logically administered by him.

4) Washington State University conducts several classes on campus

These are coordinated through the Director of Education in a manner similar to that of Walla Walla Community College academic classes.

5) A private contractor under contract to the Employment Security Department conducts a 40-hour prerelease employment orientation program

The auditor found no evidence whatever of any coordination between this program and the Education and Training Program, despite a common interest in vocational counseling, personal and attitude development and vocational placement.

Further, this contractor has recently proposed to assume primary responsibility for the operation of all or most education and training activity within the institution. This adds still another element of uncertainty to a complex situation.

6) Institutional Industries conducts joint training and production programs

Some programs are conducted in direct cooperation with Walla Walla Community College, but with little or no coordination with the Director of Education.

7) The Washington State Penitentiary administration recognizes the chaotic conditions resulting from a lack of organizational structure

By a letter dated June 9, 1976, signed by the Washington State Penitentiary Superintendent, Associate Superintendent for Treatment, and Director of Education, the Washington State Penitentiary administration acknowledged that "problems develop daily concerning staffing, finance, curriculum, forms, and policy." The letter further expressed the desire to develop a contractual relationship with Walla Walla Community College placing the total Washington State Penitentiary Education and Training Program under the control of Walla Walla Community College.

8) All full-time teachers appeared well qualified

All full-time instructors were certified either by the Superintendent of Public Instruction or for vocational instruction, as appropriate. All academic instructors held Master's degrees. All appeared positively motivated toward their students.

c. Communications

The communications problem within the Washington State Penitentiary Education and Training Program reflects the lack of viable organizational structure with clear lines of authority and responsibility and the numerous different organizations participating in the program. It is largely informal, taking place on a face-to-face basis when parties meet in the educational offices.

A particular problem exists with respect to communications with numerous hourly and temporary teachers teaching community college courses. Since most of these classes occur in the evening, there is limited contact between administrators and teachers. No such thing as a "teachers' meeting" is possible. The teachers' recognition or knowledge of policy or problems is nil.

d. Budget

1) The planned expenditures budget is prepared in a conventional manner

Initial preparation is performed by the Director of

Education, subject to review by each echelon of higher authority.

- 2) The Washington State Penitentiary Education and Training budget is not comparable to those of other institutions included in this report

The most significant feature of the budget is the payment of tuition by inmates for the numerous community college courses offered. The institution's budget covers only the small precollege academic program, the Title I program, and administration of the entire Education and Training Program.

For fiscal year 1977, the total education and training academic allotments to the institution are \$191,754. A title I allotment of \$47,261 is included. The institution reports 287 FTE enrollments.

Meaningful comparisons with the budget of other adult corrections institutions are not possible in view of the heavy emphasis upon administration, the small size of the budget, and the allocation of appropriated funds to the State Board for Community College Education based partially upon the Washington State Penitentiary course enrollments.

- 3) Washington State Penitentiary represents the only instance in which the State Board for Community College Education's funds (FTE funds) are allocated partly upon the basis of enrollments at a State corrections institution

This situation results from the fact that tuition is paid by the student (or on the student's behalf) directly to the college, thus qualifying the classes for State Board for Community College Education funding. Contracted courses paid for by other correctional institutions under contract do not qualify for SBCCE support.

- 4) Community college tuition is paid by basic educational opportunity grants, veterans' benefits, Division of Vocational Rehabilitation grants, and private funds

The Division of Vocational Rehabilitation estimates that it will spend an estimated \$10,000 in grants for the entire year. It normally refuses requests for inmates with more than two years remaining on their sentence or for purposes that do not relate to a short-term marketable skill. During fall quarter, approximately 57 of 218 college class enrollees were funded by the Division of Vocational Rehabilitation.

Veterans' benefit recipients are reported to frequently abuse this benefit by disenrolling from courses in mid-term, retaining monies received both before and after disenrollment. No figure representing expenditure levels is available since these benefits represent a relationship between the inmate and the Veterans' Administration, but 46 of 218 college enrollees were reported funded by Veterans' Administration benefits.

Basic Educational Opportunity Federal Grants funded tuition for 105 enrollees. Seven enrollees used their own funds.

The primary administrative burden of arranging and collecting all tuition monies falls upon the Director of Education and his small staff. This represents a significant administrative task for his office.

e. Evaluation and Conclusions

In view of the organizational chaos outlined in preceding paragraphs, the auditor concludes that an urgent need exists to create a rational organizational structure with clear lines of responsibility and authority. When this need is considered, together with the general arguments for contracted educational programs as contained in Section II A.2.a., it logically follows that contracted programs with Walla Walla Community College is desirable. Such a change has been under consideration for some months. The community college president and staff have stated a firm interest in such an arrangement.

f. Recommendations

RECOMMENDATION 41

That the Adult Corrections Division make all reasonable efforts to negotiate a contract with Walla Walla Community College or any other Washington State community college, placing responsibility for the administration and conduct of the Education and Training Program at the Washington State Penitentiary in the hands of the community college and eliminating school district and DSHS employees from the program.

The auditor recognizes that some personal hardships may result from the foregoing recommendation, but trusts that all reasonable efforts will be made to alleviate the impact on individuals. In this case the reduction in the number of participating organizations with conflicting rules and regulations and the development of a viable organization structure at Walla Walla are of paramount importance.

3. Operations Function

a. Personnel and Utilization Thereof

Community college teachers are paid on an hourly basis for evening classes taught. Hence, there is a tendency to get maximum utilization for every hour paid for.

1) Three and one-half personnel are devoted to education and training administrative functions

This includes the Director of Education and his secretary. The education secretary prepares all reports and memos, assists with the book store, keeps veterans' attendance, and serves as secretary to the two and one-half administrators including the Director of Education.

2) Regular classes are cancelled for community college registration

Teachers are used for registration clerks during registration day. This necessitated the cancellation of all precollege academic classes during the registration.

3) Full-time staff morale was low

Internal dissension among the staff was evident, with a formal grievance procedure pending and a lawsuit reportedly recently settled. Much of the difficulty centered over differing pay scales resulting from employment by different employees, DSHS, school district, Title I, etc. and allegiance to different employing organizations, all complicated by some staff reassignments.

4) The two audio-visual technicians exceed manning requirements for the audio-visual laboratory

The regular Department of Social and Health Services' technician is currently supplemented with a Title I employee. Interestingly, both work day shift with no coverage in the evening when most classes are in progress.

b. Scheduling/Coordination, Interprogram Interface

1) The auditor noted few scheduling and coordination problems

Significantly, most community college courses are held during evening hours. This is normally optional time for inmates and attendance at evening classes is not mandatory. This situation clearly avoids the competition of other activities for normal working hours (8 a.m. to 5 p.m.) and enables those engaged in other programs to still participate in education and training courses.

- 2) Transfer to minimum security status sometimes disrupts training and education

The Minimum Security Building is located outside the prison compound, necessitating daily entrance and exit to the compound if attendance at classes is to be maintained. The reader, without first-hand prison exposure, cannot fully appreciate the pressures by inmates on those with access to the outside to participate in smuggling activities. These heavy pressures cause some students to drop classes.

- 3) There is no coordination with Trend Systems, Inc. employment orientation course

This contractor presentation is sponsored by the Employment Security Department. Despite common goals and redundant material, no evidence exists of coordination between this presentation and the Education and Training Program.

- 4) Education and training input is used by classification counselors in preparing annual reports and making recommendations for furloughs and work/training release

The auditor considered this a positive sign of desirable interaction between education and training and other staff of the institution.

- 5) Joint programs with Institutional Industries are operating in the office machinery repair and automotive technology fields, and are planned for welding technology

This unique partnership between education and training and the Institutional Industries must yet meet the test of time. One significant feature of these new, joint programs is that Institutional Industries pays students, thus solving the "no income" problem to which most students are subjected. These programs combine a training and production function with trainees slowly progressing to a production status. The auto technology shop will be of particular interest since only minimum security personnel with relatively short periods remaining prior to discharge are eligible for this program. Employee and student turnover may eliminate this program.

- 6) There are no apprenticeship opportunities in connection with vocational programs

The absence of industrial centers and strong union trade groups had tended to curtail development of a viable apprenticeship program at Walla Walla.

c. Facilities, Equipment and Supplies

- 1) A recently remodeled academic building provides excellent classroom space

A variety of classroom sizes exists. Educational administrative offices and teachers' offices are co-located adjacent to the classroom area.

- 2) Vocational facilities are crowded

The three vocational classes are located in isolated portions of the prison enclosure. Space is less than fully adequate for the auto body and auto mechanic shops. An office machine repair classroom was adequate in size.

- 3) An ultramodern automotive shop facility has recently been reactivated for an experimental program

The recently constructed (with grant funds) auto shop building is the location of the joint education - Institutional Industries experimental auto shop program and is an outstanding facility.

- 4) An expensive audio-visual laboratory is under-utilized

Expensive and elaborate equipment funded by Title I funds far exceeds current requirements. The laboratory has the facilities for complete production of audio-visual tapes.

- 5) Vocational equipment is marginal

The purchase of modern equipment for the auto body and auto mechanic shops has been consistently deferred. In the one instance where grant funds were available to purchase a needed engine analyzer, an obsolete model and brand was acquired and cannot be repaired since the manufacturer is out of business. (The situation suggests a critical need for review of State purchasing procedures and regulations regarding specification of brand names or specific models.)

- 6) Other supplies are adequate

Textbooks are sold through a book store operated by the education office on a revolving fund. Other supplies appear generally adequate, recognizing that most academic subjects require minimal supplies in support of the program.

d. Evaluation and Conclusions

Personnel and Utilization

The practice of closing academic classes taught by non-community college personnel in order to make the teachers available for community college registration appeared less than desirable. The teachers make expensive registration clerks and the disruption of their classes appears highly undesirable.

The staff morale problems are highly regrettable, but some are almost inevitable due to the differing pay scales and chaotic organization structure. The existence of these problems is further justification for a contracted program.

The redundant audio-visual technician situation results partially from community college control of the Title I program (including one technician) and Director of Education control of the other - a DSHS employee. This situation further justifies a well-organized contracted program under a single control point.

Scheduling/Coordination/Interprogram Interface

The auditor was favorably impressed with evening community college course scheduling. Such scheduling allows participation in such classes without sacrificing other program participation and its attendance income. It further keeps convicts occupied during critical hours that might otherwise be idle. The auditor concludes that such scheduling should be encouraged.

The auditor was concerned over the apparent lack of coordination between the Trends Systems, Inc. employment orientation course and the Education and Training and Institutional Industries programs. While they may all be highly compatible, they share a common purpose and should at least have enough contact with each other to assure compatibility.

The unique partnership between Education and Training and Institutional Industries for their joint programs must yet meet the test of time. The auditor expresses specific concern over the effect that payments to students in these programs will have on other programs where students are unpaid. The auto technology program will be of particular interest since only minimum security personnel with relatively short periods remaining prior to discharge are eligible for the program. High employee turnover may render this program unworkable.

e. Recommendations

RECOMMENDATION 42

That one audio-visual technician at Walla Walla be terminated at the earliest possible time as being in excess of requirements.

RECOMMENDATION 43

That the Adult Corrections Division carefully watch the joint Education and Training/Institutional Industries programs, evaluating their impact on other educational programs and their feasibility in view of anticipated inmate employee turnover rates.

4. Management Review Function

a. Findings

1) Management review problems at Walla Walla

The management review function of the Education and Training Program at Walla Walla reflects the lack of a viable organizational structure with clear cut authority and responsibility. Hence, the Director has limited authority to effect change or corrective action. It further reflects the lack of specific objectives and standards against which performance and achievement can be measured.

a) Significant activities are not subject to the Education Director's control

Hence, review and corrective actions by the Director of Education of community college vocational courses, Title I programs, and Institutional Industries is simply not feasible.

b) Meaningful budget information is not available to the Director of Education

Since many costs are funded through the community college, Institutional Industries and Title I projects, budget visibility is nil and budget responsibility is fragmented.

c) There is minimal contact with the community college teachers

This large, part-time staff is present only to teach the classes largely during the evening hours. It is not feasible to hold a conventional teachers' meeting for management review purposes.

- d) The community college exercises little or no quality control over college academic courses

At the time of the audit the qualifications of recent students had been challenged by another college in which some had enrolled. Since part-time community college teachers are hired by the Director of Education, as community college employees, an unresolved question exists as to who should monitor teaching performance.

- 2) Management review activities at Walla Walla

- a) Department of Social and Health Services employees are evaluated annually by the Director of Education

A review of each Department of Social and Health Services employee's performance takes place annually, at which individual strengths and weaknesses are highlighted; however, only three Department of Social and Health Services employees are on staff.

- b) Substantial face-to-face contact with inmates occurs

The full-time teachers and administrative personnel all have continuous contacts with inmates. This results in continuous feedback of information relating mostly to future course subject interests and student evaluation of ongoing courses.

- c) Substantial contact with full-time academic teachers occurs

The Director of Education's office is physically located adjacent to the academic classroom area. Frequent face-to-face contact occurs with the opportunity to transmit and discuss current problems.

- d) Formal staff meetings are held

The Director of Education attends the weekly Superintendent's meeting together with the Associate Superintendent for Treatment. A monthly meeting of the Associate Superintendent for key subordinate staff (including the Director of Education) is held. Both of these serve as a source of feedback information for management review purposes. Budget status information is frequently on these agendas.

- e) Statistical data on enrollment and student FTE is compiled monthly

Data in these reports include enrollment and FTE

breakdown by vocational, academic and community college level, as well as by ethnic group. The report is useful in assessing program acceptance and participation and in predicting future course and teacher requirements.

b. Evaluation and Conclusions

The management review function is subject to the basic fault of the Walla Walla Education and Training Program - a lack of organizational structure with numerous participation organizations and no clear lines of authority and responsibility. As a result, the management review function tends to be ineffective.

The lack of solid goals and objectives against which actual performance can be compared is a further hindrance to effective management review.

c. Recommendation

RECOMMENDATION 44

That the Washington State Penitentiary at Walla Walla formally establish specific, quantified and time-phased objectives for its Education and Training Program.

APPENDIX I

SUMMARY OF RECOMMENDATIONS

Assigned Completion
Date

RECOMMENDATION 1

That the equipping of inmates with marketable skills be formally established by the Adult Corrections Division as a primary goal of the Adult Corrections Education and Training Program.

October 1,
1977

RECOMMENDATION 2

That the basic education of deficient prisoners to high school diploma or equivalency certificate be formally established by the Adult Corrections Division as a primary goal of the Adult Corrections Education and Training Program.

October 1,
1977

RECOMMENDATION 3

That the Adult Corrections Division develop a viable hierarchy of goals and objectives which meet the definitions of goals and objectives promulgated by the Office of Program Planning and Fiscal Management and are consistent with legislation and legislative intent.

January 1,
1978

RECOMMENDATION 4

That the Department of Social and Health Services continually review existing Title I projects with particular emphasis on cost-effectiveness and minimum emphasis upon publicity value, inmate appeal and professional interests to educators, and be prepared to fully justify in terms of cost-effectiveness any Title I projects for which it requests State funding upon expiration of current Federal funds.

N/A

RECOMMENDATION 5

That unless the Department of Social and Health Services specifically justifies college academic courses in terms of reducing idle time and/or maintaining calm and order, no Adult Corrections funds should be expended for college-level courses not clearly related to a short-term and realistic vocational goal.

January 1,
1978

Assigned Completion
Date

RECOMMENDATION 6

That nonvocationally-related college-level courses be offered primarily during evening hours during the convict's free time.

January 1,
1978

RECOMMENDATION 7

That a standard system of collecting tuition charges be developed and implemented by the Adult Corrections Division.

October 1,
1977

RECOMMENDATION 8

That the Department of Social and Health Services develop and present to the Legislative Budget Committee a time-phased plan for changing the administration of RCW 9.95.070 from the current "infraction and report" disciplinary process of WAC 275-88 to a positive reward system as envisioned by legislative intent.

October 1,
1977

RECOMMENDATION 9

(This recommendation was deleted from the audit report.)

RECOMMENDATION 10

(This recommendation was deleted from the audit report.)

RECOMMENDATION 11

That the Department of Social and Health Services - Adult Corrections Division, develop and present to the Legislative Budget Committee a plan including implementation controls covering all wages and allowances to be paid to inmates. The plan should place wage control in the hands of superintendents and assures some parity, rationale and logic between the various rates of pay and allowances

January 1,
1978

Assigned Completion
Date

received from different sources for different activities, and specifically include the allocation of some of the available financial resources to inmates participating in the adult basic education and/or vocational training programs.

RECOMMENDATION 12

That the enrollment in basic education classes of inmates testing below 8th grade level be established as standard DSHS policy. (Exceptions will be necessary at the discretion of the superintendents.)

October 1,
1977

RECOMMENDATION 13

That failure to attend and/or make satisfactory progress in academic and vocational classes, to the extent of the student's ability in the opinion of the staff, result in denial of good time certification.

October 1,
1977

RECOMMENDATION 14

That the Department of Social and Health Services determine its objectives for education and training schedules at each adult corrections institution and explore all possibilities of achieving these, particularly through the contract negotiation process.

July 1, 1978

RECOMMENDATION 15

That the Adult Corrections Division place strong emphasis upon the elimination of short-term schedule conflicts (including lay-ins) which dilute the educational process through poor attendance by inmates.

N/A

RECOMMENDATION 16

That the Adult Corrections Division place greater emphasis upon planning meaningful coordination for the purpose of achieving improved long-term scheduling and continuity between education and training programs and other prison programs including work/training release, parole, the Institutional Industries Program, classification reassignments, and others.

N/A

RECOMMENDATION 17

That libraries in State institutions, currently staffed by local library districts under State contract, be staffed by State employees of the Washington State Library.

October 1,
1977

RECOMMENDATION 18

That the legal libraries at all institutions be made a responsibility of the staff librarian. (This recommendation is not intended to preclude assistance from inmates.)

October 1,
1977

RECOMMENDATION 19

That expenditures for legal books and publications be reduced to a level correlating to demand by the inmates of each institution until such time as a Federal court determines any additional requirements.

October 1,
1977

RECOMMENDATION 20

That the Adult Corrections Division, in developing its statistical reporting system, include provisions for collecting meaningful cost information per unit of output, i.e., student FTE or other valid output measurement.

October 1,
1977

RECOMMENDATION 21

That the educational specialist on the central adult corrections staff evaluate vocational programs annually to ensure correlation between training offered and predicted job availabilities.

January 1,
1978

RECOMMENDATION 22

That the Department of Social and Health Services endeavor to negotiate a contract clause which allows some measure of protection to experienced teaching personnel within the Purdy Education and Training Program.

July 1, 1978

Assigned Completion
Date

RECOMMENDATION 23

That the Department of Social and Health Services - Adult Corrections Division, review low attendance classes and the need therefor at Purdy, with the objective of reducing costs per student FTE.

January 1,
1978

RECOMMENDATION 24

That the Department of Social and Health Services explore with the contractor the feasibility of offering certain classes through the use of teachers whose time would be divided between Purdy and one or more schools of the Peninsula School District, thus reducing costs and enabling greater variety of courses to be offered.

July 1,
1978

RECOMMENDATION 25

That the Adult Corrections Division and its contractor at Purdy review the data processing program and consider the alternatives of:

October 1,
1978

- (1) arrange to have key punch taught on a part-time basis only, or
- (2) combine key punch with the other office skills classes, or
- (3) discontinue the data processing class; and that the contract cost be modified accordingly.

RECOMMENDATION 26

(This recommendation has been deleted from the audit report.)

N/A

RECOMMENDATION 27

That the Adult Corrections Division establish performance standards dealing with attendance, enrollment, student FTE's per teacher, costs per student FTE, and other matters as deemed appropriate, against which actual performance can be measured.

January 1,
1978

RECOMMENDATION 28

That the Washington Corrections Center develop and document formal, quantified and time-phased objectives for its Education and Training Program.

January 1,
1978

Assigned Completion
Date

RECOMMENDATION 29

That appropriate personnel of Centralia Community College review the purchasing process as it relates to Garrett Heyns Education Center, establishing procedures and standards that will resolve current problems in this area.

October 1,
1977

RECOMMENDATION 30

That the Washington Corrections Center, with the aid of the education and training contractor, arrange for the inmate library to be open on a year-round basis within existing budget and personnel.

October 1,
1977

RECOMMENDATION 31

That the Washington Corrections Center allow inmates to retain or purchase for themselves those completed shop projects which, in the judgment of the staff, have significant rehabilitative influence through reinforcement of the inmate's positive view of himself and his potential.

October 1,
1977

RECOMMENDATION 32

(This recommendation has been deleted from the audit report.)

RECOMMENDATION 33

That future contracts define in greater detail the nature and type of review to be conducted by the community college President and central staff.

July 1, 1978

RECOMMENDATION 34

That the Adult Corrections Division of DSHS make all reasonable efforts to establish a contracted education program with Community College District #5, at Monroe, similar in scope and content to that currently existing at the Washington Corrections Center in Shelton.

September 1,
1977

RECOMMENDATION 35

(This recommendation has been deleted from
the audit report.)

RECOMMENDATION 36

That the number of activities allowed to conflict with
class time at the Washington State Reformatory be sharply
curtailed.

September 1,
1977

RECOMMENDATION 37

That the Washington State Reformatory institute a rigid
class attendance policy (similar to that in effect at the
United States Penitentiary at McNeil Island, and at the Wash-
ington Corrections Center, Shelton) which culminates in the
loss of good time certification for repeated absences and
tardiness from education classes, and that a specific plan
be developed for the implementation of this policy and pre-
sented to the Legislative Budget Committee by December 1, 1977.

September 1,
1977

That the Superintendent of the Washington State Refor-
matory at Monroe direct the establishment of a meaningful
accounting and reporting system giving visibility to the
Director of Education as to the status and availability of
education and training funds.

September 1,
1977

RECOMMENDATION 39

That the Washington State Reformatory promptly devise
a meaningful system by which the status of all orders for
supplies and equipment can be ascertained, updated and ap-
propriate follow-up action taken when materials are not
received in a reasonable length of time.

September 1,
1977

Assigned Completion
Date

RECOMMENDATION 40

That the Washington State Reformatory at Monroe formally establish specific time-phased and quantified objectives for its Education and Training Program.

January 1,
1978

RECOMMENDATION 41

That the Adult Corrections Division make all reasonable efforts to negotiate a contract with Walla Walla Community College or any other Washington State community college, placing responsibility for the administration and conduct of the Education and Training Program at the Washington State Penitentiary in the hands of the community college and eliminating school district and DSHS employees from the program.

September 1,
1977

RECOMMENDATION 42

That one audio-visual technician at Walla Walla be terminated at the earliest possible time as being in excess of requirements.

October 1,
1977

RECOMMENDATION 43

That the Adult Corrections Division carefully watch the joint Education and Training/Institutional Industries programs, evaluating their impact on other educational programs and their feasibility in view of anticipated inmate employee turnover rates.

N/A

RECOMMENDATION 44

That the Washington State Penitentiary at Walla Walla formally establish specific, quantified and time-phased objectives for its Education and Training Program.

January 1,
1978

APPENDIX II

SUMMARY OF PROPOSED LEGISLATION

No legislation is required to implement the recommendations of this audit report. If the Legislative Budget Committee desires to set forth goals, objectives or other guidelines for the Adult Corrections Education and Training Program, through statute, the Legislative Budget Committee staff will be glad to draft legislation as desired.

APPENDIX III

FISCAL IMPACT

The development of a viable hierarchy of goals, objectives standards can save \$136,000 per biennium. This estimate is based upon the assumption that five percent of the 1977-79 budget request can be saved by giving meaningful, thorough guidelines for the program.

Review of Title I projects can save \$100,000 per year. The objective review of the several Title I projects, their cost compatibility with on-going programs, staffing patterns, etc. can reduce the number of projects and the costs of remaining ones by at least one-third.

Elimination of nonvocationally-related college courses can save \$136,000 per biennium in the Department of Social and Health Services' budget. This estimation presumes that five percent of current Education and Training Program costs relate to unessential college academic courses paid for by the Department of Social and Health Services' budget.

A cost-reporting system emphasizing cost per FTE at each institution should reduce costs by \$79,000 per biennium. It is presumed that the identification of high-cost programs will lead to corresponding adjustments and reductions which will reduce unit costs by three percent of the biennial budget for prison education and training.

Elimination of the data processing class at Purdy can save \$20,000 per year. This estimation considers salary, fringe benefits, and equipment rental costs.

Elimination of schedule conflicts and the enforcement of attendance can increase program efficiency at Monroe by an estimated ten percent minimum. Although not a direct, cash savings, this would represent \$92,000 worth of additional program value at no increase in cost.

Greater coordination with other programs can increase program effectiveness by an estimated five percent. Although not a direct, cash savings, this would represent \$136,000 of additional program value at no increase in cost.

Other recommendations will have indirect cost savings. A reasonable wage and salary program that does not discriminate against students, mandatory remedial education enrollment, planning for correlation between courses and job availability, shared use of teachers at Purdy, and periodic technical reviews by contractor staff, all have potential for a positive cost impact through direct cost reduction, increased program effectiveness, or improved program efficiency.

APPENDIX IV
AGENCY COMMENTS

RECEIVED

JUL 13 1977

LEGISLATIVE
BUDGET COMM.

State of
Washington
Department
of Social & Health
Services



July 13, 1977

Thomas R. Hazzard, Legislative Auditor
Legislative Budget Committee
Insurance Building
Olympia, Washington 98504

Dear Mr. Hazzard:

Attached are our responses to the Preliminary Performance Audit of the Prison Education and Training Programs as requested in your June 13, 1977, letter. These programs are a function of the Adult Corrections Division rather than of the Planning and Research Division. Representatives of the division will be in attendance at the Legislative Budget Committee meeting which I now understand is scheduled for Saturday, July 23, 1977, at the Pacific Science Center in Seattle.

Our responses, as requested, have been made as briefly as possible. Time constraints within the division have not permitted a full and detailed synthesis of the various elements of the division which have been audited.

Our general response to the audit report is that it is substantively in error in several instances, even in connection with those recommendations with which we concur. So far as we can determine, the audit was performed by one individual who, in the perception of operating staff, expressed personal biases and preconceptions which appear to be reflected in the audit report.

An educational or training process, whether in prison or out, is necessarily the subject of heavy value loadings in the judgment of the efficacy and outcomes of those processes. It appears to us that in several instances the auditor has applied his own value judgments without due consideration of alternative values. While much of the material presented in this report is of value to the division, we feel that a more balanced audit which at least identifies and juxtaposes alternative value judgments recommended would have been of more value to us and to the Legislative Budget Committee.

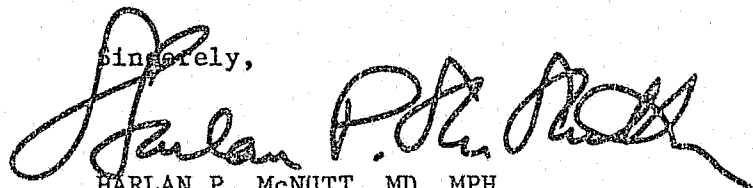
Mr. Thomas R. Hazzard

Page Two

July 13, 1977

As I indicated, workload demands upon division staff occasioned principally by late adjournment of the legislature and by circumstances at the Penitentiary have not permitted preparation of detailed response to this rather extensive set of audit recommendations. Those detailed responses can be prepared in writing at your request. Preferably, the division director and selected members of his staff would like to discuss with the auditor those areas where we believe errors of fact or misinterpretation of circumstances have occurred.

Sincerely,

A handwritten signature in dark ink, appearing to read "Harlan P. McNutt". The signature is fluid and cursive, with a large initial "H" and "M".

HARLAN P. McNUTT, MD, MPH

Secretary

Attachments

RESPONSE TO PRELIMINARY PERFORMANCE AUDIT

of the

PRISON EDUCATION AND TRAINING PROGRAMS

July 13, 1977

<u>RECOMMENDATION:</u>	<u>POSITION:</u>	<u>COMMENTS:</u>
1	Concur	Equipping inmates with marketable skills is and has been a primary goal of both our academic and vocational programs. It is not, however, the singular goal of these programs.
2	Concur	
3	Concur	
4	Partially concur	Title I projects are fully funded by the federal government. They are intended to be supplemental to programs provided at the state level. The intent is to provide a resource for innovative response to particular needs, either individual or group. Programs may have a staff to pupil ratio of one to one if warranted by the need. Title I programs are intended to help those needing the greatest help. Our programs have been and will continue to be reviewed by HEW, Region X. Finally, the easy use of the concept of cost/effectiveness in this recommendation suggests the existence of a set of specific and universally acceptable variables which can be used in calculating effectiveness of education and training efforts. Such is simply not the case.
5	Do not concur	College courses are not intended for nor are they provided for everyone. Those individuals active in college courses most often get a sense of accomplishment, an improved self-image, and thereby increase their chances for successful employment. Though they may not be justified on this basis alone, college courses do make productive use of otherwise idle time and contribute to maintaining a better atmosphere within the institution. Furthermore, to link all educational efforts with the

RECOMMENDATION:

POSITION:

COMMENTS:

6

Partially concur

pragmatic value of "short term and realistic vocational goals" is to ignore or to deny the acculturation value of general education. Lack of adequate acculturation to the dominate society is a clearly observable factor in the criminal history of many offenders.

The community college program is comprehensive (K-14), therefore, it should be available if demand warrants it to offer programming both during the day and the evening. Each institution is a community in and of itself and there is a persuasive logic that it should be dealt with in much the same fashion as a community on the outside. It is the intent of the division to distribute program availability as evenly as possible across the 16 waking hours of each day. To restrict community college activities to evening hours only, however, may not be feasible from the standpoint of the college district or from the overall scheduling needs of the institution.

7

Concur

8, 9, 10

Do not concur

In dealing with these three recommendations we must consider case law interpretations of the United States Constitution. For a detailed elaboration of these issues from a legal standpoint, see the attached memorandum from Assistant Attorney General Bill Collins, the recommendations of which the division supports.

There are administrative and procedural issues beyond the legal ones. On the face of it, the placement of the due process procedures in the matter of denial of good time within the responsibility of the disciplinary committee indeed appears awkward. However, at the time that decision was made there was a significant thrust in cases coming before the courts which would, if successfully argued, place significant due process requirements on the administrative function of classification. It appeared at the time the decision was made that the best administrative strategy was to avoid confusing the issue and to require that those due process procedures already required in the disciplinary function be applied to the issue

RECOMMENDATION:

POSITION:

COMMENTS:

of good time denial rather than to, by our own administrative action, encourage the application of due process requirements to the classification function.

Our interpretation of original legislative intent in enacting the good time statute is that good time was to be granted for the presence of positives in the inmate's behavior while incarcerated. Typical of most good time systems, the fact is that good time is often granted for the absence of negatives in the inmate's adjustment. Largely this change has come about due to over population and/or under programming. If, in fact, there is not sufficient work or other constructive activity available to be performed diligently, the administrator is loathe to recommend denial of good time for failure to perform work that was not there to be performed in the first place. This tendency can be offset by continuous staff training and administrative attention to assure that when good time is granted on the basis of absence of negatives the resident had no choice and that the resident's failure to perform work diligently was the result of lack of available program and not the result of his or her manipulation. Indeed, the recent modification of the disciplinary rules in connection with the granting of good time was calculated to reinforce this principle.

11

Do not concur

In this connection the auditor has touched upon a perpetual dilemma faced by the institutional administrator in corrections. The auditor is seeking to find logic in a system which is not predicated upon logic. We agree that in principle it would be desirable to provide reasonable compensation to all inmates who are gainfully employed, including those who are participating in educational or vocational activities. However, what should be in principle is a far cry from what may be in practice.

The various sources of income available to residents of our institutions each carry with them their own peculiar limitations and constraints. Even if we set aside those constraints for the moment, the fact is that

RECOMMENDATION:

POSITION:

COMMENTS:

during fiscal year 1977 the total dollars spent for nonindustry resident wages was approximately \$366,850 on a division-wide basis. During the same period, approximately \$195,400 was spent on industry wages. If we could add these two sums together (which is infeasible) the resulting daily wage per inmate on a five day-a-week basis would be \$0.55. This arithmetic assumes that all residents could be fully involved in constructive work or other program activity throughout the division. Such is certainly not the case under present circumstances. Even if we made the assumption that only half of the population could be compensated, the average daily compensation would still only amount to \$1.10, a figure which seems poorly contrived to represent a viable economic incentive. The reality as we see it is that it is simply not feasible to distribute present resources in a fashion which assures "parity, rationale and logic" and at the same time represent a viable incentive.

The auditor has apparently failed to consider the constraints placed upon the various sources of revenue for inmate compensation. The superintendent of each institution indeed controls the resident wage plan for the institution as it applies to appropriated general fund dollars. The superintendent does not control those dollars which are paid in Institutional Industries. However, in every instance, changes in industries wages are made with the direct input of the superintendents for the obvious reason that conflict is created as the result of disparity between nonindustries and industries compensation.

Institutional Industries operates from a revolving fund which must pay its own way. High productivity is essential to continue to support the activity and generate additional dollars for expansion and modification of product. Industries therefore operates on an incentive wage basis which is directly tied to productivity and is, indeed, significantly higher than nonindustries wages. We could not deliberately depress industries

RECOMMENDATION:

POSITION:

COMMENTS:

wages in order to maintain parity simply because our industries would very likely not survive.

The other sources of income mentioned by the auditor are specific to particular programs, most of which are thoroughly constrained by federal regulation. Either we spend the dollars within the limits prescribed or we do not get the dollars.

We fully recognize the disparity cited by the auditor and share his apparent frustration with the lack of logic which admittedly exists. The fact is, however, that unless the constraints which exist, both as to total available resource and those associated with the funding source, are removed, disparity will continue to exist. In the meantime, we believe that the local administrators are making their best effort to apply the limited funds available in a fashion which will have most impact from a reward incentive standpoint.

12 Do not concur

While one may achieve the appearance of compliance, it is not possible to force someone to learn something they do not want to learn, even if one has a captive audience. Innovative programs, high caliber teaching staff, and high expectations will bring about the desired results without applying a mandatory policy. The key to an excellent education program, whether inside the walls or out, is the quality of the teaching staff and the professional leadership they receive.

13 Concur

14 Concur

15 Concur

16 Concur

17, 18, 19 Partially concur

While the state librarian is expected to respond to recommendations 17 and 18, we believe comment is warranted. It appears that the auditor has failed to consider all of the advantages and disadvantages of

RECOMMENDATION:

POSITION:

COMMENTS:

centralized library control from the state librarian's office versus contracted services delivered from local library districts. Professional supervision of a librarian in, for instance, the Penitentiary by remote control from Olympia seems less than desirable. Independently of whatever motives may be attributed to previous administrators who with the state library staff established original service contracts, the motives of the present administration are not to "circumvent the FTE limitations contained in the appropriations bill." It is our belief, based on experience in several locations, that the maximum library service deliverable, independently of funding source, should be our primary objective.

If the auditor finds himself frustrated by the uncertainty of the legal library issue, he can consider himself in good company with the administration of the division. Case law in this area is constantly evolving and we believe that the preferable course is to seek competent legal interpretation of that evolution rather than to invite expensive litigation of individual issues at individual locations.

The assistant attorney general assigned to corrections matters has been in the process of reviewing the content of law libraries throughout the division. The intent is to develop a minimum schedule of volumes required consonant not only with demand for use, but with court decisions which speak to the availability of law library materials within institutions.

We concur that the law library should be under the direction of a professional librarian and to this end will undertake a review of the current situation, both with local contractors and with the representatives of the attorney general.

20 Concur

21 Concur

ECOMMENDATION:POSITION:COMMENTS:

22	Unknown	<p>The thrust of this recommendation is unclear. On the face of it there is a contradiction of values expressed by the auditor. We concur that "flexibility and variety" are a desired value in an educational program. However, how "a contract clause which allows some measure of protection to experienced teaching personnel" is to be negotiated to the end of increased flexibility is not apparent in the auditor's recommendation. The concept of tenure (which indeed provides a measure of protection to experienced teaching personnel) tends to reduce system variety, not increase it. We seek clarification of this recommendation.</p>
23	Concur	
24	Concur	
25	Partially concur	<p>We concur with the auditor's recommendation that the data processing program is a prime candidate for review. However, we do not concur with the auditor's recommendations for change. The data which he presents is at variance with the data available to local staff. The alternative of reducing the key punch activity to a part-time basis will be explored. However, difficulty is anticipated in recruiting a part-time teacher with the requisite technical skills. In addition, the overall impact upon program activity must be evaluated. By its very nature, the institution is limited to the machinery available and is therefore inescapably expensive on a unit cost basis. One basis for judging the value of that expense is the marketability of the skills acquired. Local staff indicate that, contrary to the auditor's report, there is still a significant market for key punch operators. The local instructor indicates that state data processing operations tried direct tape entry but found it unsuccessful and have returned to the use of punch card input.</p> <p>The alternative to combined key punch instruction with other office skills classes is not practical. Key punch operation is a very specialized skill and is not typically taught</p>

RECOMMENDATION:

POSITION:

COMMENTS:

within the context of general office practice instruction. In any event, the present office practices teacher does not have the skill to teach data processing and it is unlikely that a person could be recruited with this combination of skills. Furthermore, the office practices class is heavily attended and even given an instructor with combined skills, the added teaching load could not reasonably be accommodated.

With reference to the final alternative recommended by the auditor, we disagree with his conclusions as to the trade-off of cost versus benefit. Since the class began in 1971 there have been 189 residents attend the course, 40 have completed the course, 22 have been placed in key punch positions upon release, 12 have been approved for further education in other fields, and six did not pursue data processing employment upon release. This is a not unenviable record when compared with commercial or public supported vocational training activities. Of at least incidental interest in this connection is the fact that of the 22 women placed in data processing employment, only one has been returned to the institution. No claim is made for a causal of relationship between these facts, but they are nonetheless facts.

26

Do not concur

The auditor apparently is attempting to establish a measurable output of all educational endeavors with particular emphasis on the vocational utility of such output. In our judgment this falls far short of an adequate value assessment of the nursery school program at Purdy.

His comment that "the exposure to a group of 12 small children for brief periods in the calm and settled classroom where a professional kept activities moving...bore little relationship to the home environment in which such women would care for their own children in the future" suggests that he observed the activity during one of those rare moments when calm, indeed, prevailed. The nursery school at Purdy, through time, is like any other nursery school and at times borders on chaos.

Whether a nursery school accurately replicates a home environment is not, in our judgment, the

RECOMMENDATION:

POSITION:

COMMENTS:

issue involved. The mere existence of a nursery school within the confines of the institution has important symbolic and direct value for many women within the institution, not all of whom participate directly in the program. Most of the women at Purdy in fact occupy the role of mother in our society and the opportunity to interact with or observe the interactions of children within a healthy environment is an important socialization contribution to the entire institutional program.

The nursery school program has indeed been the pride and joy of the population of the institution for good reasons. It provides an excellent opportunity, either directly or vicariously, to participate in the role of a mature, healthy adult woman in our society, a role which is seldom encountered in the typical confines of a correctional institution. If the program is to be judged alone on the pragmatic value of future vocational application or direct relevance to the participant's capacity to rear her own children, it probably cannot be justified within the value assumptions made by the auditor. On the other hand, if it is to be judged on the basis of its impact on the total environment of the institution and upon the program's capacity to provide opportunities for socialization which are rare even in the free middle class world, then it stands thoroughly justifiable in our judgment.

Furthermore, the 1977-78 budget for the program has been reduced to \$8,338, an approximate \$10,000 reduction from last year. This reduction has been brought about largely through the fact that the teacher is no longer required to be certified.

- | | | |
|----|------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| 27 | Concur | |
| 28 | Concur | |
| 29 | | To be responded to by Centralia College. |
| 30 | Partially concur | Existing budget and personnel limitations will not permit complete availability of the library on a year-round basis. Local staff have been |

RECOMMENDATION:

POSITION:

COMMENTS:

31

Partially concur

attempting to combine the resources of college district staff and those of the institution staff to the end that the library will be open one additional evening per week and three hours on Saturday. It is their further intent to schedule the library to be open, at least on a part-time basis, during school breaks beginning in September of this year.

We partially concur in that we, too, would prefer that residents have the benefit of purchase of completed shop projects. However, our understanding of previous guidance from the state auditor has been that as long as the materials are purchased by the state they cannot be given to an inmate nor can inmates be allowed to purchase them. They can only be disposed of under rather rigid guidelines which would make it difficult to implement this recommendation. There is an apparent inconsistency in our practice, however, and we will establish consistent practices under the limits established by the state auditor after reaffirming those limits in special detail.

32, 33

Do not concur

The statement of the superintendent of the correctional institution in this connection is as follows:

"My response is that we have had, in my estimation, sufficient review by the Centralia College staff. The Assistant to the Community College President is in this facility at least once every two weeks. In addition I have met with the President of the Community College at least every six months to discuss program and progress here as well as budgetary type problems. We speak on the telephone at least monthly. I really can see no value in taking the President's time to come to the institution just for the purpose of a ceremonial visit. I know without any doubt he would appear here if we had any serious problems but the last thing I can complain about is the lack of concerned interest by the Community College. The President is here frequently and members of his staff are here almost weekly. In addition, the members of the Board of Directors, particularly the Chairman, Mr. George Warren, are frequent

RECOMMENDATION:

POSITION:

COMMENTS:

34

Concur

visitors to this institution and have at least one or two of their members in attendance at every graduation ceremony that we have had."

35

Do not concur

From the standpoint of overall institution management, it is preferable to distribute teacher vacations as evenly as possible throughout the year. It is preferable to have one classroom shut down for a two-week period while other classes are operating rather than have all programs shut down for 30 days. The increased idleness occasioned by teacher vacations is thereby distributed more evenly. Furthermore, expecting all of the industry contact by vocational instructors to be confined to a single summer month is not effective; instructors must maintain continuous contact with the industry and currently are allowed one day per month.

36

Partially concur

We agree that conflict between programmatic activities within the institution can be reduced. Our partial nonconcurrency hinges upon the auditor's use of the phrase that such conflict be "sharply curtailed."

The auditor's value focus in this recommendation is apparently on the cost of educational activities. Other activities of the institution are equally costly and equally important in their demand upon the availability of the inmate. Conflict between programmatic elements are therefore inevitable.

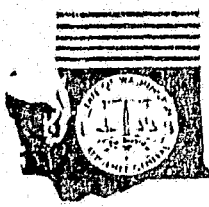
The reality of the correctional administrator's dilemma is that though the inmate is in prison on a 24 hour-a-day basis, the staff necessary to direct and support the various program activities (beyond those involved in basic security and life-support functions) is generally available on an 8 hour-a-day, five day-a-week basis. While we agree that careful program management can abate much of the existing conflict, we argue that unless resources were available to maintain full program activity on a 16 hour-a-day, seven day-a-week basis, that such conflicts cannot be sharply curtailed.

RECOMMENDATION:

POSITION:

COMMENTS:

37	Partially concur	We agree that class attendance, once enrolled, should be mandatory except for illness or other valid excuse. We disagree with the auditor's recommendation that responsibility for monitoring, reporting and responding to absence should be the responsibility of the associate superintendent-custody. These activities are typically and appropriately the responsibility of the classroom teacher who has the authority to issue disciplinary infractions which will be adjudicated by the disciplinary committee. It is our position that failure to attend school is no different from failure to meet any other responsibility and therefore should be reported by the staff member most directly associated with the situation and responded to within the normal course of the disciplinary procedure.
38	Concur	
39	Concur	
40	Concur	
41	Partially concur	The division has been active in attempting to negotiate a contract with the Walla Walla Community College for the administration and conduct of the education and training program at the Penitentiary. However, the auditor apparently fails to recognize that the department is bound by a collective bargaining agreement which provides that the department shall not contract for services which would eliminate the position of a state employee. We can therefore not accept the auditor's recommendation that DSHS employees be eliminated from the program. Rather, we are attempting to negotiate an agreement with the college district which will protect those employee contractual rights rather than merely alleviate the impact on them.
42	Concur	This recommendation was implemented June 30, 1977.
43	Concur	
44	Concur	



OFFICE OF THE ATTORNEY GENERAL

Inter-office Correspondence

Date: July 12, 1977

To: Dick Mattsen and Harold Bradley
From: Bill Collins
Subject: Good Time -- Legislative Budget Committee
Performance Audit

RECEIVED
JUL 12 1977
ADULT CORRECTIONS

This is written in response to the comments and recommendations in the preliminary performance audit of the Prison Education and Training Programs of DSHS, particularly those portions of the report dealing with good time certifications which appear at pages 28 and 29 of the report.

The report is correct in at least a (recent) historical sense in its conclusion that the institutions have come to view the denial of good time as an occurrence in the nature of a disciplinary infraction which requires certain specific sorts of misbehavior to be proven. My perception has been that the institutions have not consistently attempted to evaluate more nebulous factors such as work record and attitude.

I feel under the new disciplinary rules and explanation thereto which have been provided the institutions, much of the reason for equating good time denial with disciplinary infractions has been removed and the procedures required by the rules need not necessarily get in the way of the substance of the good time statute. In other words, the institutions I feel can broadly evaluate a resident's institutional performance in the context of the due process hearing required by the present rules and situations in which the institution feels it impossible to avoid granting good time, yet in the same breath recommends to the Parole Board that a minimum term be extended, should not occur.

The critical legal question contained in the recommendations in the report is whether the Department constitutionally could handle good time certifications through purely administrative processes, without any due process type review (assuming such steps could be taken consistent with the Constitution, it would be simple to get out from under the restraints of the Agreed Order for Dismissal which the Department agreed to in Jackson v. Morris, Eastern District No. C-74-56). The Supreme Court in Wolff v. McDonnell, 419 U.S. 539 (1974), held that the due process clause of the Fourteenth Amendment required a hearing with certain procedural elements in the situation where the institution was proposing to withhold the granting of good time credits as a result of serious misbehavior on the part of the resident. The good time statute under review in

Dick Mattsen & Harold Bradley

Page 2

July 12, 1977

Wolff provided in part that the head of an institution "shall reduce" a minimum term for "good behavior and faithful performance of duties" In this respect, the statute is very similar to RCW 9.95.070, Washington's good time statute. Therefore, Wolff appears on its face to apply directly to the Washington situation.

The argument in favor of the nonapplication of Wolff centers on the reasoning the Court used in Wolff and a subsequent case, Meachum v. Fano, 49 L.Ed.2d 451 (1976), a decision dealing with due process and prison transfers. Between the two cases, it is fairly clear that the Court is concerned, for purposes of requiring due process procedures, not with the weight of the grievous loss the state may impose on someone, but rather the nature of the interest that is involved, Meachum, 39 Cr.L. 3170. Nebraska (the state whose statute was under review in Wolff) had provided by statute that good time was to be withheld only for serious misbehavior, i.e., what we would call an infraction of a major disciplinary rule. What appears to have been critical to the Supreme Court in Wolff and Meachum was that Nebraska had not only created a statutory right to good time but had also specified that good time "is to be forfeited only for serious misbehavior," 418 U.S. at 557.

Washington's statute is not so limited and therefore by implication, it can be argued that Washington has not created an interest in good time the nature of which requires a due process hearing before the interest can be terminated, i.e., good time withheld.

I tend to feel that the argument expressed above is a feeble one and I doubt very much that it would be accepted in either Federal District Court in this state or by the Ninth Circuit Court of Appeals because the argument requires a very narrow reading of Wolff and a very broad reading of Meachum. A quote from Meachum is perhaps illustrative:

"Whatever expectation the prisoner may have in remaining at a particular prison so long as he behaves himself, it is too ephemeral and insubstantial to trigger procedural due process protections as long as prison officials have discretion to transfer him for whatever reason or for no reason at all," 19 Cr.L. 3171.

While one might claim that whatever expectation a prisoner has in receiving his good time so long as he behaves himself is too ephemeral and insubstantial to trigger due process protections, it must also be noted that in Washington, prison officials do not have the discretion to deny good time "for whatever reason or for no reason at all." Under the provisions of RCW 9.95.070,

Dick Mattsen & Harold Bradley

Page 3

July 12, 1977

it appears that the resident who does maintain a favorable record of conduct and performs the work assigned to him has a right to have good time credits granted to him.

If I may be allowed to speak briefly from a policy point of view, I feel there are legitimate reasons for retaining a due process type hearing in the good time area. Granting or denial or withholding of good time is obviously a significant event in the life of a convict. As such, it does not seem at all unreasonable that the convict should have the opportunity to be told, in advance, what aspects of his behavior, work record, etc., the institution is considering as possible grounds for denying good time. Nor is it unreasonable that the institution establish (under the comparatively easy procedural burdens imposed by the present disciplinary rules) that a resident has not satisfactorily performed.

Much of the difficulty with good time certifications in the past can be traced to the stiffer procedural burdens required in the prior disciplinary rules and the inclusion of the 705 hearing in the disciplinary rules, an occurrence which led to too many institution staff perceiving 705 procedures as being in the nature of a disciplinary hearing in which some sort of "infraction" had to be proved. I would suggest retaining the 705 proceeding in the disciplinary rules, but continuing to emphasize through training, etc., that all aspects of a resident's behavior are to be evaluated in a 705 proceeding and it is properly perceived as basically a classification function to which slightly more due process protections have been attached than are present in the normal classification function.

In summary, my recommendation would be to continue the present procedures, and that attempts continue to be made to train staff in the proper application of the 705 procedures.

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FACTS ABOUT THE LEGISLATIVE BUDGET COMMITTEE

The Legislative Budget Committee is composed of eight Senators and eight Representatives equally divided between the two major political parties. It provides fiscal research service to individual legislators and the Legislature as requested, and undertakes studies of agency programs, organizations and fiscal procedures for the Legislature concerning: (1) the economy and efficiency of state programs and agency operations; (2) whether appropriations have been expended in accordance with legislative intent; (3) general fund revenue trends; and (4) other topics which may be of legislative interest. The committee reports directly to the Legislature, making recommendations for legislative consideration and action.

During legislative sessions, members of the Committee staff assist the Senate and House Ways and Means committees and other legislative committees in developing objective fiscal data on revenue and expenditures, independent estimates of general fund revenue, and research information on legislative proposals. In addition, a fiscal note repository is maintained during these sessions for easy reference by legislative members interested in the fiscal impact of proposed bills.

Chapter 170, Laws of 1971, 1st Ex. Sess. authorized the Committee to conduct management surveys and program reviews of state agencies. Chapter 197, Laws of 1973, 1st Ex. Sess. provides that management surveys undertaken shall include reviews of program goals and objectives of state agencies to determine conformance with legislative intent, and shall include comprehensive performance audits of such goals and objectives. These performance audits are intended to provide objective analysis of the effectiveness and efficiency of agency management for legislative review.

The 1974 Legislature also provided that the Legislative Budget Committee shall maintain a central control file of personal services contracts for use in preparation of summary reports as directed by the Legislature. In addition, the Legislature directed that unanticipated state or local revenues shall not be expended without approval of the Legislative Budget Committee during the interim between legislative sessions.

The Committee meets on a monthly basis during the interim period between legislative sessions, or more regularly when circumstances indicate the desirability or necessity of additional meetings. The executive committee meets upon call of the Chairman.

