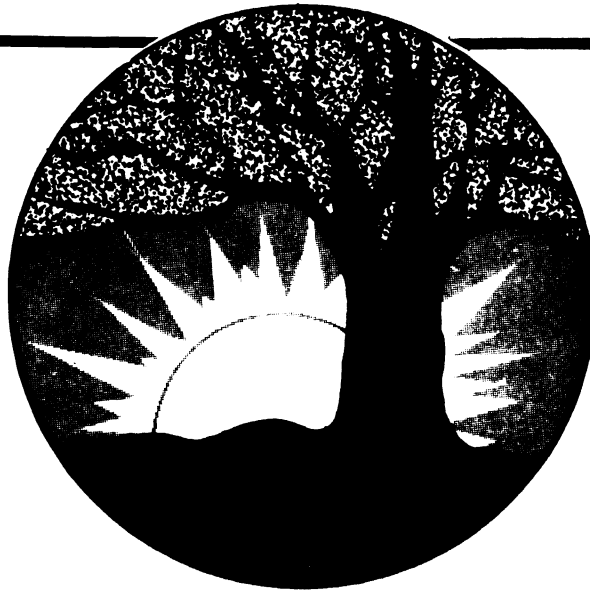


PERFORMANCE AUDIT

Department of Correction
April 2009



Justin P. Wilson
Comptroller of the Treasury



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Department of Audit
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April 9, 2009

The Honorable Ron Ramsey
Speaker of the Senate
The Honorable Kent Williams
Speaker of the House of Representatives
The Honorable Jack Johnson, Chair
Senate Committee on Government Operations
The Honorable Susan M. Lynn, Chair
House Committee on Government Operations
and
Members of the General Assembly
State Capitol
Nashville, Tennessee 37243

Ladies and Gentlemen:

Transmitted herewith is the performance audit of the Tennessee Department of Correction. This audit was conducted pursuant to the requirements of Section 4-29-111, *Tennessee Code Annotated*, the Tennessee Governmental Entity Review Law.

This report is intended to aid the Joint Government Operations Committee in its review to determine whether the Tennessee Department of Correction should be continued, restructured, or terminated.

Sincerely,

Arthur A. Hayes, Jr., CPA
Director

AAH/dlj
08-024

State of Tennessee

Audit Highlights

Comptroller of the Treasury

Division of State Audit

Performance Audit
Department of Correction
April 2009

AUDIT OBJECTIVES

The objectives of the audit were to (1) review the audit documentation of medical co-payments; (2) review the pharmaceutical inventory process for each institution; (3) review health intake screenings at the four reception centers; (4) review the GED program, vocational programs, and post-secondary educational partnerships; (5) determine how the department manages the Security Threat Groups; (6) review correctional officer turnover; (7) review the pre-release program along with discharge planning; (8) determine how the department tracks recidivism; (9) determine how the department monitors contract performance; (10) determine the bed space and operating capacity for each institution over time; (11) review payments to local jails; and (12) review department actions to comply with Title VI requirements.

FINDINGS

Spectrum Health Systems, Inc. Was Not in Compliance With Some Contract Terms, and the Contracts Did Not Address Consequences for Non-performance of Contract Requirements

The Department of Correction contracts with Spectrum Health Systems, Inc. to provide a six- to nine-month in-prison, comprehensive alcohol and drug treatment program for incarcerated felony drug offenders at the following facilities: Turney Center, West Tennessee State Prison, Wayne County Boot Camp, Tennessee Prison for Women, Mark Luttrell Correctional Center, and Northwest Correctional Complex. Auditors found that Spectrum had not complied with some contract provisions. In addition, we found miscommunication and confusion concerning contract amendments, and that the contracts did not include penalties, other than contract termination, for contract noncompliance (page 13).

Based on a Review of Information in the Department's Tennessee Offender Management Information System, the Department Did Not Always Conduct Health Intake Examinations for Inmates Within the Required 14 Days of Arrival

Department of Correction Policy 113.20 states that an intake health examination must be completed within 14 calendar days of an inmate's arrival at a reception center. Auditors selected a sample of health intake examinations to review for fiscal years 2006 through 2008, and compared the arrival date to the examination date recorded in the Tennessee Offender Management Information System (TOMIS). For the sample reviewed, information in TOMIS indicated that the department failed to conduct the examination or did not conduct the examination within the 14-day time frame over 50% of the time. Examinations were completed

late 33% of the time and were not completed 18% of the time. Failing to complete exams or completing them late could lead to greater health risks for newly arriving inmates, other inmates, and staff, which could result in increased healthcare costs (page 17).

Although the Department Has Been Tracking Recidivism Since 2001, There Appear to Be Weaknesses in the Methods Used by the Department for Tracking and Measuring the Recidivism Rate

Recidivism is defined by the department as a permanent return to incarceration in any Tennessee Department of Correction facility or local jail after being released from a department facility or local jail. According to management of the department's Policy, Planning and Research Division, the Department of Correction is not mandated to track recidivism; however, the department began formally tracking the recidivism rates in 2001. Auditors' review of the tracking process found that the measures the department used to calculate recidivism and the frequency of publication of the recidivism report impede the department's ability to determine an accurate recidivism rate and may reduce the ability to determine the effectiveness of the programs and services offered (page 21).

As Reported in the 2003 Department of Correction Performance Audit, the Department Needs to Continue to Improve the Pre-release Services for Inmates by Developing Methods to Measure the Effectiveness of Its Programs

According to Department of Correction Policy 511.02, Pre-Release Services, the department is responsible for developing and maintaining a uniform statewide pre-release program designed to facilitate a successful reentry into the community and reduce recidivism. Department Policy 513.02, Transition Center Programming, establishes a program that provides for structured release back into the community. Since the September 2003 audit, the department has continued to improve the pre-release services offered. Despite these improvements, the department has not yet implemented a system to monitor the short-term and long-term outcomes of the pre-release programs, as recommended in the prior audit. In addition, there appear to be weaknesses in the department's methods for tracking and measuring the success of the pre-release programs. According to Pre-Release Services management, the pre-release programs were not consistent across facilities in the past, which made them hard to track. The department has since implemented one pre-release program that is offered at each correctional facility. However, tracking of the program appears to be a continuing issue (page 24).

OBSERVATIONS AND COMMENTS

The audit also discusses the following issues: contract monitoring, problems with timely submission of county final cost settlements, the high rate of correctional officer turnover, educational opportunities for inmates, TRICOR purchases, Security Threat Group management, review of medical co-payment documentation, and the management of pharmaceuticals (page 30).

Performance Audit Department of Correction

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Performance Audit Department of Correction

INTRODUCTION

PURPOSE AND AUTHORITY FOR THE AUDIT

This performance audit of the Tennessee Department of Correction was conducted pursuant to the Tennessee Governmental Entity Review Law, *Tennessee Code Annotated*, Title 4, Chapter 29. Under Section 4-29-229, the Department of Correction was scheduled to terminate June 30, 2008, and is currently in wind-down, pending legislative action. The Comptroller of the Treasury is authorized under Section 4-29-111 to conduct a limited program review audit of the department and to report to the Joint Government Operations Committee of the General Assembly. The audit is intended to aid the committee in determining whether the Department of Correction should be continued, restructured, or terminated.

OBJECTIVES OF THE AUDIT

The objectives of the audit were

1. to review the audit documentation of medical co-payments;
2. to review the pharmaceutical inventory process for each institution;
3. to review health intake screenings at the four reception centers;
4. to review the General Educational Development (GED) program, vocational programs, and post-secondary educational partnerships;
5. to determine how the department manages the Security Threat Groups;
6. to review correctional officer turnover;
7. to review the pre-release program along with discharge planning;
8. to determine how the department tracks recidivism;
9. to determine how the department monitors contract performance;
10. to determine the bed space and operating capacity for each institution over time;

11. to review payments to local jails; and
12. to review department actions to comply with Title VI requirements.

SCOPE AND METHODOLOGY OF THE AUDIT

The audit reviewed the activities of the Tennessee Department of Correction for fiscal years 2005 through 2008, with a focus on fiscal years 2005 through 2007. The audit was conducted in accordance with the standards applicable to performance audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States and included

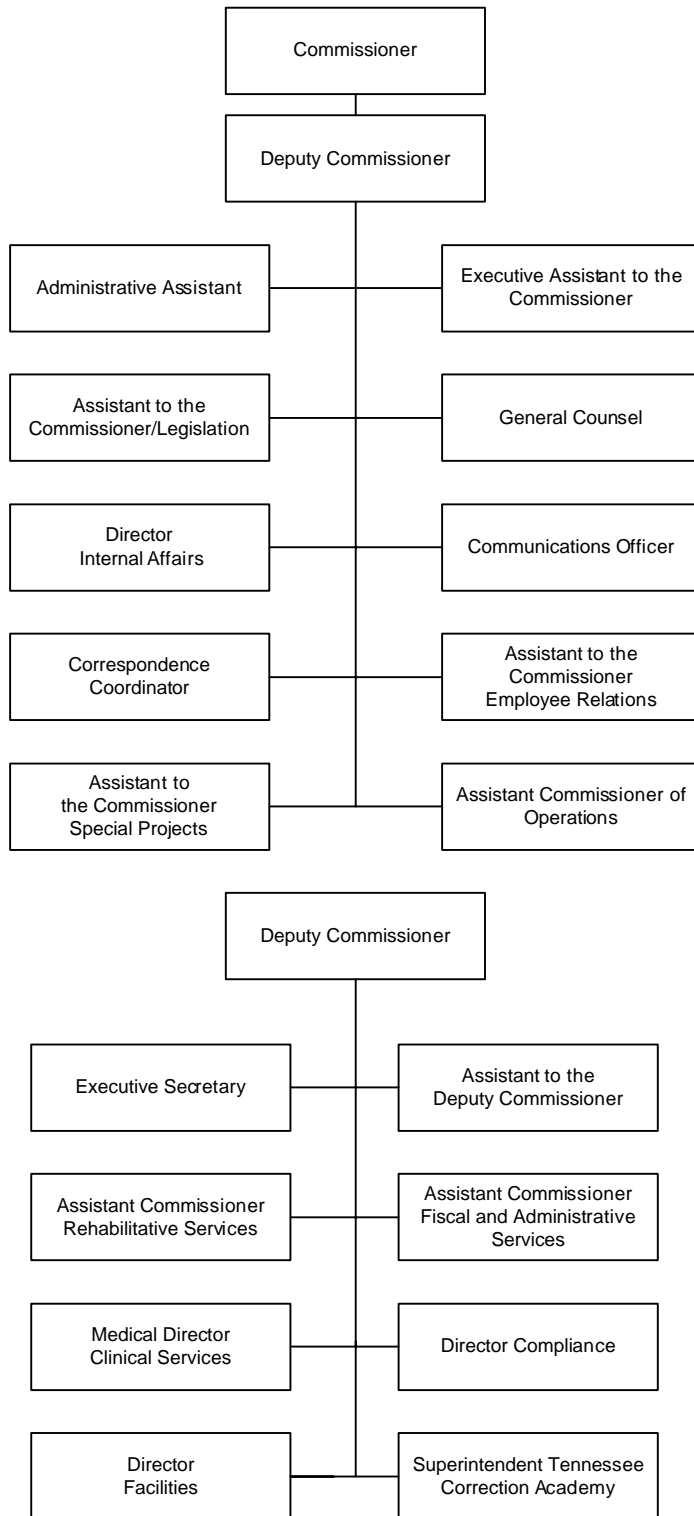
1. a review of applicable legislation and rules and regulations;
2. an examination of the department's records, reports, documents, and policies and procedures;
3. a review of prior performance audits and financial and compliance audit reports, and a review audit reports from other states; and
4. interviews with department staff and other individuals relevant to the scope of the audit.

ORGANIZATION AND RESPONSIBILITIES

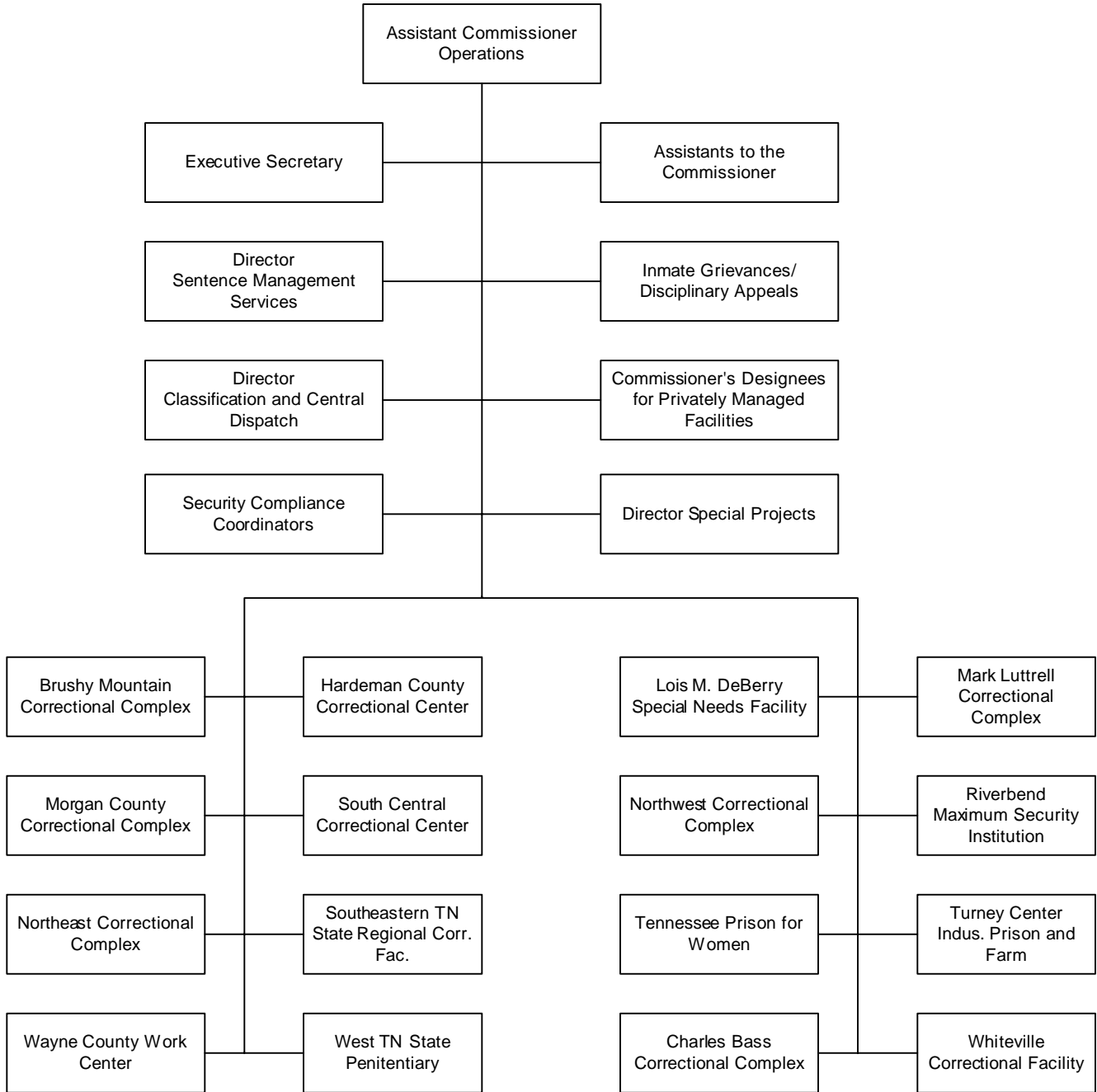
The Department of Correction was established in 1923 under the provisions of Title 4, Chapter 3, Part 6, *Tennessee Code Annotated*. The department was created to manage and govern the state penitentiaries. According to the department, its mission is to enhance public safety in Tennessee through incarceration and rehabilitation of felony offenders.

The Department of Correction is supervised by a Commissioner, Deputy Commissioner, and three Assistant Commissioners. (See the department's organization chart on pages 3-4). The department is fully accredited by the American Correctional Association, and houses adult inmates in 16 facilities (see page 5). Thirteen of the facilities are owned and operated by the State of Tennessee. Three of the facilities (South Central Correctional Facility, Hardeman County Correctional Facility, and Whiteville Correctional Facility) are managed privately by Corrections Corporation of America.

Tennessee Department of Correction Organization Chart July 2008



**Tennessee Department of Correction
Organization Chart (Cont.)
July 2008**



Correctional Institutions

County	Facility	Security Level*	Fiscal Year 2008 Average Daily Population
Bledsoe	Southeastern Tennessee State Regional Correctional Facility (STSR)	III	945
Davidson	Charles Bass Correctional Complex (CBCX)	IV	1,041
	DeBerry Special Needs Facility (DSNF)	III	727
	Riverbend Correctional Complex (RMSI)	IV	709
	Tennessee Prison for Women (TPFW)	IV	738
Hardeman	Hardeman County Correctional Facility (HCCF)	II	1,994
	Whiteville Correctional Facility (WCFA)	II	1,512
Hickman	Turney Center Industrial Prison and Farm (TCIP)	III	1,215
Johnson	Northeast Correctional Complex (NECX)	IV	1,807
Lake	Northwest Correctional Complex (NWCX)	III	2,326
Lauderdale	West Tennessee State Penitentiary (WTSP)	IV	2,485
Morgan	Brushy Mountain Correctional Complex (BMCX)	IV	533
	Morgan County Correctional Complex (MCCX)	II	975
Shelby	Mark Luttrell Correctional Center (MLCC)	III	407
Wayne	South Central Correctional Facility (SCCF)	III	1,651
	Wayne County Boot Camp and Annex (WCBC, WANX))	I	376
System Total			19,441

*Security Level I–Minimum Direct/Trustee
 Security Level II–Medium
 Security Level III–Close
 Security Level IV–Maximum

Source: *Tennessee Department of Correction Fiscal Year 2007-2008 Annual Report.*

Detailed below are the department’s major programs as described in the Department of Correction’s Annual Report.

Transition Centers

There are two transition communities (at the Charles Bass Correctional Complex and the Tennessee Prison for Women) that are designed to prepare offenders to live successfully in the free world. The primary goal of the nine-month program is to assist participants in changing negative patterns of thinking, feeling, and behaviors that may predispose them to drug abuse, criminal activities, and other anti-social behaviors.

**Demographics by Facility
Fiscal Year 2008***

Facility	AGE	RACE			GENDER	
	Average Age	Black	White	Other/ Unknown	Male	Female
Brushy Mountain Correctional Complex	35	155	349	4	508	0
Charles Bass Correctional Complex	36	517	443	26	986	0
DeBerry Special Needs Facility	44	225	396	16	637	0
Hardeman County Correctional Facility	36	1,053	893	40	1,986	0
Morgan County Correctional Complex	39	214	761	13	988	0
Mark Luttrell Correctional Center	36	152	242	12	0	406
Northeast Correctional Complex	39	476	1,297	44	1,817	0
Northwest Correctional Complex	37	1,075	1,175	98	2,348	0
Riverbend Correctional Complex	39	367	312	10	689	0
South Central Correctional Facility	36	759	828	57	1,644	0
Southeastern Tennessee State Regional Correctional Facility	40	285	652	9	946	0
Turney Center Industrial Prison and Farm	36	665	550	41	1,256	0
Tennessee Prison for Women	37	170	563	11	0	744
Wayne County Annex	42	150	150	0	300	0
Wayne County Boot Camp	24	40	29	0	69	0
Whiteville Correctional Facility	34	919	590	20	1,529	0
West Tennessee State Penitentiary	35	1,410	1,044	59	2,513	0
System	37	8,632	10,274	460	18,216	1,150

* Total population numbers in this table differ slightly from totals in above table. Above table gives average daily population for the year. This table details population breakdown as of a specific date in 2008.

Source: *Tennessee Department of Correction Fiscal Year 2007-2008 Annual Report.*

Substance Abuse Treatment

The department's substance abuse programs are based on the idea that the program participant is ultimately responsible for his or her recovery. Participants work closely with counselors to develop individual treatment goals and strategies. Treatment focuses on individual needs and does not have to be voluntary. Mandated treatment can result in longer stays in the program, which are associated with more successful treatment outcomes.

Educational Services

Educational programs help create a correctional environment where inmates can be constructive while incarcerated and productive when they are released. The department operates as its own school system, recognized by the Department of Education, with the Commissioner acting as the Superintendent. Approximately 20% of the eligible inmate population is enrolled in either academic or vocational training. The Education division also oversees inmates participating in college programs. This work is voluntary and at the expense of the inmate.

Pre-Release Services

Pre-release programming is offered at each department correctional facility as well as the three privately managed facilities. Each facility has a designated Pre-Release Coordinator and full-time paid program positions for inmates participating in the pre-release program.

The pre-release programs (a minimum of 50 days with 240 hours of classroom work and 30 to 60 hours of homework assignments and/or community service work) have all incorporated a cognitive behavior program based on the National Institute of Correction's "Thinking for a Change" curriculum. The other components of the program concentrate on the following areas:

- life-skills, self esteem, and self evaluation;
- decision-making and critical thinking;
- access to healthcare;
- anger management and coping skills;
- parenting, family, and community reunification;
- substance abuse and use;
- job seeking and retention;
- housing plans and options;
- budgeting;
- legal issues;
- awareness of the impact of crime and its impact on victims; and
- restoration of citizenship and voting rights.

Victim Impact Services

The Department of Correction is committed to assisting the victims of crime. In line with that commitment, one of the department's responsibilities is to keep victims and their family members informed of an offender's status, including any hearing dates and decisions, release dates, movements to less secure institutions, and escapes. Victim impact classes are being integrated into other inmate treatment programs and services. The classes, modeled from participation in the national pilot study led by California, provide 36 hours of instruction for inmates.

Clinical Services

Clinical Services' goal is to provide the required constitutional level of health and mental health care in the most efficient, cost-effective manner possible. Each prison has mental health professionals who are responsible for specialty psychiatry and psychology services. Routine and specialty services are dictated by the state, federal, and accreditation mandates. Health Services sets policy standards for delivery of inmate health care and evaluates care provided throughout the department's system. A broad spectrum of services is provided including acute and chronic medical, dental, diagnostic, and inpatient/outpatient services.

Volunteer Services

Roughly 97% of incarcerated individuals at a Department of Correction facility eventually go back to the community. Volunteers are recruited from communities throughout the state to deliver important services (such as tutoring, financial planning, and counseling services) to inmates and their families. The department uses approximately 4,000 volunteers to provide services within the institutions.

Religious Services

The Department of Correction recognizes the importance of religion in helping inmates cope with incarceration and in preparing them for success after release. All institutions except one have a full-time professional chaplain and numerous volunteer chaplains who minister to inmates of all faiths. A Director of Religious Services position was created in September 2007 to serve as the central point of contact for all religious activity within the department.

Sex Offender Treatment

In Section 39-13-702, *Tennessee Code Annotated*, the General Assembly declared that the “. . . comprehensive evaluation, identification, treatment and continued monitoring of sex offenders who are subject to the supervision of the criminal justice system are necessary in order to work toward the elimination of recidivism by the offenders.” In 1995, the General Assembly created the Sex Offender Treatment Board in the Department of Correction and charged the board with duties including

- developing and prescribing a standardized procedure for the evaluation and identification of sex offenders;

- developing and implementing methods of intervention; and
- developing guidelines and standards for a system of programs for the treatment of sex offenders placed on probation, incarcerated in the Department of Correction, placed on parole, or placed in community corrections.

Inmate Jobs

Inmate jobs teach inmates responsibility, encourage work ethic, and help develop marketable skills. Jobs also promote stability within the institutions by reducing idleness and reduce the institutions' operational costs. More than 5,000 inmates work in support services inside the prisons, performing jobs such as preparing food, cleaning the institutions, landscaping, doing laundry, recycling, and maintaining the buildings and equipment. In 1994, the General Assembly created the Tennessee Rehabilitative Initiative in Correction (TRICOR) to put inmates to work in real-life job settings. TRICOR is responsible for developing inmate jobs in manufacturing, business services, and agriculture.

Community Service Work Crews

One of the primary work venues for minimum security inmates is community service work. Approximately 900 inmates are assigned to work crews each month. Since 1998, department work crews have completed more than 12 million hours of community service. Although inmates are often associated with roadside clean-up, work crews are involved in a variety of community service projects including Meals on Wheels, state park maintenance, cemetery landscaping, and new construction of community buildings.

INMATE POPULATION

The Department of Correction's operating capacity is set at 98% of total beds available. Operating capacity indicates the population that should be assigned to the institution on a regular basis. It excludes beds reserved for special purposes such as medical or mental health reasons, disciplinary segregation, protective custody, and maximum security. A percentage of beds are reserved to accommodate inmates that fall into these categories. According to staff, Department of Correction facilities will most likely not operate at 100% capacity so that accommodations can be made.

The Morgan County Correctional Complex is being expanded. According to staff, Morgan County Correctional Complex has 1,013 beds, and the expansion will provide 1,428 new beds, for a total of 2,441 beds. Brushy Mountain Correctional Complex is scheduled to close in late 2009, and its 590 inmates will be transferred to Morgan County, resulting in a gain of 838 beds at the Morgan County Correctional Complex. Completion of the Morgan County expansion is scheduled for February or March 2009.

The Department of Correction is considering expansion at the Southeastern Regional State Correctional Facility site in Bledsoe County. The preliminary design phase has begun, and

the target completion date is late 2011. The proposed expansion is estimated to provide 1,444 additional beds—300 minimum custody beds, 1,024 medium custody beds, and 120 maximum/high custody beds. The renamed Bledsoe County Correctional Complex (sites 1 and 2) would have approximately 2,425 beds, and according to department staff, there are plans to design the new facility with the possibility of future expansion of another 512 beds.

The County Correctional Incentive Act of 1981, as subsequently amended, provides financial incentive to counties to house nondangerous felony offenders locally. Counties participating in the County Correctional Incentive Program are reimbursed for housing convicted felons (state prisoners). As of August 2008, there were 103 local facilities that housed state felons. Several categories make up the local jail population:

- **Department of Correction backup**—felons awaiting transfers to a department institution
- **Local Felons**—convicted felons serving time in a local jail because of a contract with the Department of Correction and/or convicted felons serving a split confinement sentence
- **Convicted Misdemeanants**—inmates serving time with a misdemeanor conviction
- **Pre-trial Felons**—inmates charged with a felony but not yet convicted
- **Pre-trial Misdemeanants**—inmates charged with a misdemeanor but not yet convicted
- **Other Convicted Felons**—convicted felons awaiting sentencing or not yet ready for transfer to the Department of Correction because of other pending charges. This includes technical violators awaiting a probable cause, revocation, or rescission hearing or awaiting adjudication of pending charges
- **Other**—inmates held in local facilities for federal crimes, city ordinances, etc.

As of August 31, 2008, the total local jail population was 26,913 (46% Pre-trial Detainees, 20% Convicted Misdemeanants, 20% Local Felons, 8% TDOC backup, 4% Federal/Other, and 2% Other Convicted Felons). According to Tennessee Correction Institute staff, overcrowding is a concern at local jails. The goal is one officer to 22 inmates; however, with overcrowding, the ratio can be one officer to 60 inmates. Local jails are considered overcrowded when there are more inmates than certified beds. This means that even though a local jail may have a bed for each inmate, the jail may not have adequate square footage or program space available for the bed to be certified.

The table below details the Tennessee average total felon population for fiscal years 2005 through 2008.

**Average Total Felon Population in Tennessee
Fiscal Years 2005 Through 2008**

Fiscal Year	Total Felon Population	Felons Housed in Local Jails*	Percentage of Total Felon Population Housed in Local Jails
2005	26,036	6,605	25%
2006	26,323	6,917	26%
2007	26,100	6,721	26%
2008	26,801	7,372	28%

* Total of Department of Correction back-up and locally sentenced felons.

Source: *Tennessee Felon Population Update*, August 2008.

Fiscal year averages of the incarcerated felon population are calculated using the inmate count for the last day of each month. Division of Policy, Planning and Research staff stated that they will report totals based on actual numbers beginning in fiscal year 2009.

REVENUES AND EXPENDITURES

The tables below summarize the department's revenues and expenditures by category for fiscal year 2008.

**Revenues by Source
For the Fiscal Year Ending June 30, 2008**

Title	State	Federal	Other	Total
Administration	\$16,694,600	\$677,100	\$5,757,400	\$23,129,100
State Prosecutions	\$141,154,900	\$0	\$0	\$141,154,900
Correction Academy	\$5,597,700	\$0	\$64,900	\$5,662,600
Major Maintenance	\$6,538,900	\$0	\$2,067,107	\$8,606,007
Sex Offender Treatment Program	\$248,900	\$0	\$0	\$248,900
Sentencing Act of 1985	\$25,187,000	\$0	\$0	\$25,187,000
Brushy Mountain Correctional Complex	\$13,312,338	\$0	\$3,241,400	\$16,553,738
Tennessee Prison for Women	\$20,424,500	\$0	\$843,100	\$21,267,600
Turney Center Industrial Prison & Farm	\$25,748,366	\$0	\$984,500	\$26,732,866
Mark Luttrell Correctional Facility	\$12,727,200	\$0	\$542,000	\$13,269,200
Charles B. Bass Correctional Complex	\$28,310,800	\$0	\$1,131,800	\$29,442,600
Southeastern Tennessee State Regional Correctional Facility	\$22,645,500	\$0	\$788,100	\$23,433,600
West Tennessee State Penitentiary	\$51,260,886	\$0	\$1,320,200	\$52,581,086
Riverbend Maximum Security Institution	\$23,982,530	\$0	\$426,900	\$24,409,430
Northeast Correctional Complex	\$38,893,700	\$0	\$1,316,500	\$40,210,200
Northwest Correctional Complex	\$47,255,800	\$0	\$1,732,400	\$48,988,200
Morgan County Correctional Complex	\$30,177,366	\$0	\$1,004,000	\$31,181,366
Wayne County Boot Camp	\$10,340,500	\$0	\$342,500	\$10,683,000
Lois M. DeBerry Special Needs Facility	\$39,515,100	\$0	\$397,400	\$39,912,500
Hardeman County Incarceration Agreement	\$34,601,400	\$0	\$18,900	\$34,620,300
Hardeman County Agreement-Whiteville	\$27,121,800	\$0	\$18,700	\$27,140,500
South Central Correctional Center	\$24,591,700	\$0	\$18,700	\$24,610,400
Department Total	\$646,331,486	\$677,100	\$22,016,507	\$669,025,093
Percentage of Total	96.6%	0.1%	3.3%	100.0%

**Expenditures by Category
For the Fiscal Year Ending June 30, 2008**

Title	Payroll	Operational	Total
Administration	\$14,404,800	\$8,724,300	\$23,129,100
State Prosecutions	\$0	\$141,154,900	\$141,154,900
Correction Academy	\$3,988,600	\$1,674,000	\$5,662,600
Major Maintenance	\$1,603,000	\$7,003,007	\$8,606,007
Sex Offender Treatment Program	\$0	\$248,900	\$248,900
Sentencing Act of 1985	\$0	\$25,187,000	\$25,187,000
Brushy Mountain Correctional Complex	\$11,703,200	\$4,850,538	\$16,553,738
Tennessee Prison for Women	\$11,398,700	\$9,868,900	\$21,267,600
Turney Center Industrial Prison & Farm	\$14,802,900	\$11,929,966	\$26,732,866
Mark Luttrell Correctional Facility	\$9,054,200	\$4,215,000	\$13,269,200
Charles B. Bass Correctional Complex	\$17,935,000	\$11,507,600	\$29,442,600
Southeastern Tennessee State Regional Correctional Facility	\$16,030,700	\$7,402,900	\$23,433,600
West Tennessee State Penitentiary	\$33,333,300	\$19,247,786	\$52,581,086
Riverbend Maximum Security Institution	\$15,548,500	\$8,860,930	\$24,409,430
Northeast Correctional Complex	\$24,908,070	\$15,302,130	\$40,210,200
Northwest Correctional Complex	\$31,040,000	\$17,948,200	\$48,988,200
Morgan County Correctional Complex	\$17,909,400	\$13,271,966	\$31,181,366
Wayne County Boot Camp	\$7,222,000	\$3,461,000	\$10,683,000
Lois M. DeBerry Special Needs Facility	\$24,371,600	\$15,540,900	\$39,912,500
Hardeman County Incarceration Agreement	\$148,300	\$34,472,000	\$34,620,300
Hardeman County Agreement-Whiteville	\$146,200	\$26,994,300	\$27,140,500
South Central Correctional Center	\$163,400	\$24,447,000	\$24,610,400
Department Total	\$255,711,870	\$413,313,223	\$669,025,093
Percentage of Total	38.2%	61.8%	100%

FINDINGS AND RECOMMENDATIONS

- 1. Spectrum Health Systems, Inc. was not in compliance with some contract terms, and the contracts did not address consequences for non-performance of contract requirements**

Finding

The Department of Correction contracts with Spectrum Health Systems, Inc. to provide a six- to nine-month in-prison, comprehensive alcohol and drug treatment program for incarcerated felony drug offenders at the following facilities: Turney Center, West Tennessee State Prison, Wayne County Boot Camp, Tennessee Prison for Women, Mark Luttrell Correctional Center,

and Northwest Correctional Complex. Auditors interviewed department and contract staff and reviewed the contracts as well as monitoring instruments that the Department of Correction's monitoring staff use to ensure contractors are in compliance. We found that Spectrum had not complied with some contract provisions. In addition, we found miscommunication and confusion concerning contract amendments, and that the contracts did not include penalties, other than contract termination, for contract noncompliance.

The contracts require Spectrum to provide treatment at all facilities listed, and according to the contracts, each facility was required to have a specified number of staff:

- Turney Center – one licensed substance abuse counselor and two non-licensed counselors;
- West Tennessee State Prison – one licensed substance abuse counselor;
- Wayne County Boot Camp – one licensed substance abuse counselor and one non-licensed counselor;
- Tennessee Prison for Women – two licensed substance abuse counselors and two non-licensed counselors;
- Mark Luttrell Correctional Center – one licensed substance abuse counselor and one non-licensed counselor; and
- Northwest Correctional Complex – one licensed substance abuse counselor and one non-licensed counselor.

The Spectrum counselors are responsible for conducting treatment services which are based on a Therapeutic Community model and include the following phases: Phase I – Orientation, Phase II – Main Treatment, and Phase III – Reintegration. During Phase III, the primary focus is on addressing transitional issues to prepare offenders for community release or release to the general prison population. The contracts began in 2006 and were to end on December 31, 2008.

Noncompliance With Contract Provisions

The auditors' review found two major areas of contract noncompliance. First, there was no Spectrum counselor at the West Tennessee State Prison (WTSP); Department of Correction staff are providing the treatment services. The department's Director of Substance Abuse stated that the contract had been amended after a reassessment was done; however, there is nothing in writing to support the removal of Spectrum staff from WTSP. According to the Director of Substance Abuse and the Assistant Commissioner of Rehabilitative Services, the decision was a verbal agreement, and nothing had been drafted and signed to reflect the changes. (Department of Correction staff apparently just met with Spectrum staff and agreed that transitioning staff from WTSP would be best.)

Second, Spectrum counselors at Wayne County Boot Camp did not conduct all required treatment services. As stated in the contract, the Spectrum counselors were responsible for conducting treatment services for all three phases of the program. However, the Spectrum

counselors had not provided treatment services for Phase III of the program. According to program management, the department amended the Spectrum contract to eliminate the Spectrum counselors from providing services in Phase III of the program. Although program management was operating based on amendments to the Spectrum contract, the amendments had not been signed and approved. (See section below on Miscommunication and Confusion Regarding Contract Amendments.)

By contract, Spectrum submits monthly invoices, with supporting documentation, prior to payment by the department. So if Spectrum staff were not on-site no payment would be made. In the case of Wayne County Boot Camp, however, staff were on-site but were being paid even though they were not delivering all services required under the terms of the contract.

Our review also raised concerns about the tracking of recidivism. Spectrum must, by the contract terms, present the state (within 45 days from the date the contractor signs the contract) a description of the procedures that will be used to track/evaluate program outcomes, which include but are not limited to employment history and recidivism on all program participants who successfully complete the program and who are subsequently released from the prison facilities. In the department's monitoring documents, monitoring staff noted that Spectrum had complied with this requirement. However, based on interviews with contract staff, staff at some facilities stated that they were tracking recidivism, while others stated that they were not. Based on further discussions with department program management, the only way to track recidivism is to check TOMIS for the participants' identification numbers to see if they have returned to a department facility. (This method has a weakness in that, if participants are reincarcerated but are not returned to a department facility, there would be no record of that individual.) According to program management, contract staff perform this TOMIS check once (or twice if requested) per year.

Miscommunication and Confusion Regarding Contract Amendments

As mentioned above, there was confusion and miscommunication (both within the Department of Correction and between Spectrum and the department) regarding changes in services and whether such changes had been approved. Auditors were told by department program management that the Spectrum contract had been revised in February 2008; that Spectrum staff were operating under the contract as amended; and the Department of Correction's monitoring instruments had been amended to reflect the changes in the amended contract. However, through additional interviews with department Administrative and Fiscal Services staff, we found that, as of May 27, 2008, the amended contract had still not been approved. On October 8, 2008, we received a copy of a signed, amended contract set to take effect October 1, 2008, and end December 31, 2009.

Lack of Penalties for Contract Noncompliance

The Spectrum contracts contain a standard provision giving the department the right to immediately terminate the contract without cause. However, the contracts do not provide other penalties, such as liquidated damages, for contract noncompliance. According to the Director of

Substance Abuse, language in the October 1, 2008, contract was revised to more specifically detail Spectrum's responsibilities. He also stated that the department has discussed adding liquidated damages provisions to future contracts.

Recommendation

The Commissioner should ensure that Department of Correction staff use the monitoring process the department has in place and hold contractors accountable for meeting agreed-upon contract provisions. Program staff should promptly report to upper management any departures from the terms of a contract. Department management should take action against contractors that repeatedly fail to meet contract requirements or do not correct an area of noncompliance in a timely manner. If revisions to contract terms need to be made or are agreed upon with the contractor, department staff should ensure that the changes are formalized and approved in writing by all the appropriate parties before department monitoring instruments and contractor responsibilities are modified.

Appropriate department management should review contracts and contract compliance several months before expiration of the contract so that needed revisions to the contract can be made and that, in the event the contractor is not meeting contract requirements, the department will have sufficient time to seek out other vendors providing the same service.

Department management should ensure that future contracts with Spectrum (and other similar contractors) include consequences, such as the assessment of liquidated damages, for failure to meet contract requirements.

Management's Comment

We concur. While the department systematically monitored the contract performance of Spectrum Health Systems to ensure the terms of the contract were being adhered to, there were no penalties in the contract for noncompliance with the terms of the contract except the termination of the contract.

We also agree that there was confusion between the contractor and the department created by departmental staff who were employed after the initiation of the contract. While the staff involved were making an effort to improve the parameters of the service being provided, it created confusion for the contractor and those monitoring the performance of the contract. Proper procedures for changes in contract requirements were not understood and not followed.

To avoid such situations in the future, the department shall ensure the following steps are taken:

- All future program requests for proposals and/or ensuing contracts will include methods of ensuring the state does not pay for services we did not receive and/or

there are reasonable penalties for inadequate performance wherever the contract parameters set by other entities allow for such penalties.

- All Central Office personnel shall be apprised of the proper procedures to follow when contract modifications are reasonable and in the best interest of the state.

2. Based on a review of information in the department's Tennessee Offender Management Information System, the department did not always conduct health intake examinations for inmates within the required 14 days of arrival

Finding

Department of Correction Policy 113.20 states that an intake health examination must be completed within 14 calendar days of an inmate's arrival at a reception center. Auditors selected a sample of health intake examinations to review for fiscal years 2006 through 2008, and compared the arrival date to the examination date recorded in the Tennessee Offender Management Information System (TOMIS). The system maintains data on all major activities in the correctional management process, beginning with pre-sentence investigation reports and continuing through conviction and sentencing, incarceration, offender treatment, and parole and probation management. For the sample reviewed, information in TOMIS indicated that the department failed to conduct the examination or did not conduct the examination within the 14-day time frame over 50% of the time. Examinations were completed late 33% of the time and were not completed 18% of the time. Failing to complete exams or completing them late could lead to greater health risks for newly arriving inmates, other inmates, and staff, which could result in increased healthcare costs.

The four reception centers are the Tennessee Prison for Women, Brushy Mountain Correctional Complex, Charles Bass Correctional Complex, and the West Tennessee State Penitentiary. Auditors randomly selected the sample from offenders assigned to the four reception centers during the specified fiscal year and still assigned there as of June 1, 2008. A total of 195 offenders were reviewed in TOMIS. The objective of the file review was to determine if the department completed each health intake examination within 14 days of the offender's arrival. Table 1 on page 18 lists the status of each health intake examination reviewed, whether it was completed on time (within 14 days), late (after 14 days), or incomplete (no health intake examination since the offender's last arrival date).

More than half (51.79%) of the health intake examinations reviewed were completed late or were not completed at all. Brushy Mountain Correctional Complex, Charles Bass Correctional Complex, and the West Tennessee State Penitentiary failed to conduct some examinations and were late in 25 percent of the cases reviewed. The Tennessee Prison for Women had completed all examinations for the sample reviewed; however, the examinations were often late.

**Table 1
Review of Health Intake Examinations**

	On-Time Examinations	On-Time Percentage	Late Examinations	Late Percentage	Incomplete	Incomplete Percentage	Total	Total Percentage
Brushy Mountain Correctional Complex	15	62.50%	6	25.00%	3	12.50%	24	100%
Charles Bass Correctional Complex	20	41.67%	12	25.00%	16	33.33%	48	100%
Tennessee Prison for Women	7	22.58%	24	77.42%	0	0.00%	31	100%
West Tennessee State Penitentiary	52	56.52%	23	25.00%	17	18.48%	92	100%
Total	94	48.21%	65	33.33%	36	18.46%	195	100%

For those examinations in our sample that the department had completed, Table 2 details the number of days between the offender’s arrival at the reception center and the health intake examination.

Table 2
Number of Days before Completion of Health Intake Examination

	0-14 days	15-30 days	31-50 days	51-100 days	101 + days
Brushy Mountain Correctional Complex	15	5	0	0	1
Charles Bass Correctional Complex	20	8	0	1	3
Tennessee Prison for Women	7	21	0	1	2
West Tennessee State Penitentiary	52	6	0	1	16
Total	94	40	0	3	22

While Policy 113.20 states that an intake health examination must be completed within 14 calendar days of an inmate’s arrival, it also contains a provision for returning inmates. The reception center is not required to perform a complete intake physical examination if an inmate returns to Department of Correction custody within 90 days of release. Auditors were unable to determine (in TOMIS) if an inmate had returned within 90 days of release. Therefore, the number of inmates without a health assessment could be inflated. Each inmate in our sample had received a health assessment. However, the inmates categorized as “incomplete” did not have a recorded health assessment since their last arrival date. Although we do not believe that this policy provision significantly impacted the outcome of our review, it is possible that the percentages of “incomplete” examinations are somewhat inflated.

Recommendation

Department management should take appropriate action to ensure that all health intake examinations are completed within 14 calendar days of an inmate’s arrival at the reception center. If the department determines that health intake examinations are actually completed within 14 days of arrival but that there is a delay in entering examination dates into TOMIS or the dates entered were incorrect, management should work with data entry staff and Information Systems staff to address these issues and ensure that data in TOMIS are accurate and entered timely.

Management’s Comment

We concur in part. This particular policy requirement is very important to the health and safety of the inmate population, the staff who work in our facilities, and, of course, the individual who may enter our system with a significant health-related problem. Our annual inspection

process and the health/mental health monitors evaluate this requirement on a regular basis due to its importance to maintaining a healthy environment for all concerned.

Our Compliance Section did an exploratory, additional evaluation of the medical admission/examination process in order to identify any weakness that would result in the intake physical not being conducted as required by the department's policies and procedures. They chose inmates from the audit period identified by the Comptroller's Office and did the same type review as the auditors from the Comptroller's Office. They compared the date the inmate arrived at the reception center with the date entered in our Tennessee Offender Management Information System (TOMIS) in the examination date block. A significant number of the inmates were being identified as not receiving their intake medical examination with 14 days. We were drawing the same conclusions as reported in our Audit Report.

Upon further examination, we discovered the problem was not the date the examination actually was completed, but rather, it was the date of the entry on TOMIS. As reflected by our sample pulled at Tennessee Prison for Women, the "Exam Date" on TOMIS was not the actual exam date we found in the inmate's health record signed by the medical practitioner. The actual exam date was one to five days before the date that had been entered on TOMIS. Therefore, all of the exams were performed within 14 days. But if you only observed the date on TOMIS, none of the exams were performed within 14 days.

When we questioned the staff at TPW concerning making the erroneous entries on TOMIS, the staff explained and demonstrated the source of the problem. The TOMIS system automatically populates the "Exam Date" field with the exact time and date the entry is made, instead of the actual exam date. There is no "entry date" category so the programmers who developed the information screen set that field (exam date) as one that would automatically populate with the current date and secured it by not allowing the possibility of the entries in this field being changed.

Many of our report and informational screens need this safeguard so the exact time/date is recorded and cannot be altered by anyone. This particular screen needs to be adjusted to allow the date to be entered that reflects the accurate date the exams are being conducted. This task will be addressed by our MIS group.

There was also a problem with some of the exam dates not being entered at all on TOMIS. While this was a much smaller number, this is an issue due to the exam not being documented on TOMIS even though it was performed. We will address this situation through the local supervisors at the reception centers to ensure all exams for all inmates are entered.

3. Although the department has been tracking recidivism since 2001, there appear to be weaknesses in the methods used by the department for tracking and measuring the recidivism rate

Finding

Recidivism is defined by the department as a permanent return to incarceration in any Tennessee Department of Correction facility or local jail after being released from a department facility or local jail. According to management of the department's Policy, Planning and Research Division, the Department of Correction is not mandated to track recidivism; however, the department began formally tracking the recidivism rates in 2001. Auditors' review of the tracking process found that the measures the department used to calculate recidivism and the frequency of publication of the recidivism report impede the department's ability to determine an accurate recidivism rate and may reduce the ability to determine the effectiveness of the programs and services offered.

The department generates a recidivism report every three to five years. The first report was completed in April 2001 and covered years 1993 to 1999. The more recent report was finished in April 2005 and covered years 1999 to 2002. These reports did not include information on the impact of department rehabilitative or pre-release programs on recidivism rates. (See pages 29 and 32 for additional information on this issue.) The department is currently compiling a recidivism report to be released in 2009, which will cover the years 2002 to 2006 and will include the recidivism data for the rehabilitative and pre-release programs. According to management, the department is not able to create recidivism reports more frequently because the Tennessee Offender Management Information System (TOMIS) is limited in the functions that it is able to perform. For example, TOMIS is not designed to capture data or sort it in that specific manner. Therefore, the recidivism rates for the Department of Correction are very dated. To ensure services and programs offered at the present time are effective, the department should maintain an ongoing database that contains the measures of program effectiveness based on recidivism rates and other outcome measures.

Table 3 below details the most current available recidivism rates for the department, as reported in the department's 2005 recidivism report, *TDOC Release Trends and Failure Rates*.

Table 3
Re-incarceration Rates by Release Type for January 1999 to December 2002

Calendar Year	Total Releases	Number Returned in Years			Returned Rate in Years		
		1	2	3	1	2	3
Parole Releases							
1999	3,207	737	1,291	1,546	23%	40%	48%
2000	3,998	895	1,654	1,984	22%	41%	50%
2001	3,193	799	1,314		25%	41%	
2002 *	2,962	686			23%		
Probation Releases							
1999	4,857	1,184	1,955	2,281	24%	40%	47%
2000	5,436	1,434	2,340	2,684	26%	43%	49%
2001	5,228	1,421	2,289		27%	44%	
2002 *	5,607	1,674			30%		
Expiration Releases							
1999	3,986	314	708	983	8%	18%	25%
2000	3,981	310	674	966	8%	17%	24%
2001	4,025	349	722		9%	18%	
2002 *	4,408	336			8%		
Total Releases							
1999	12,050	2,235	3,954	4,810	19%	33%	40%
2000	13,415	2,639	4,668	5,634	20%	35%	42%
2001	12,446	2,569	4,325		21%	35%	
2002 *	12,977	2,696			21%		

**The remaining data for 2002 will be included in the recidivism report that is scheduled for release in 2009.*

The department used reincarceration as the primary measure of recidivism. Therefore, the recidivism study does not include released offenders who may have been convicted of a new crime and sentenced to probation or other community supervision. The recidivism calculation strategy used by the department calculates the number of returns in relation to the number of releases that occurred during the targeted 12-, 24-, or 36-month period rather than counting the number of people who returned. The latter method (i.e., counting the number of people who returned) is used by the Association of State Correctional Administrators. The report presents one-, two-, and three-year failure rates from the time of release because failures typically peak between 8 and 15 months following a release. Based on the methods used for calculating and measuring recidivism, the recidivism rate appears to be understated as a result of reincarcerations and overstated as a result of counting the number of releases. The department should consider

using more than one measure for calculating recidivism to ensure a more accurate recidivism rate.

During this audit, we initially contacted eight Southeastern states to compare their methods for measuring and tracking recidivism to Tennessee's procedure. Of the states contacted, however, only North Carolina and Florida responded. The North Carolina Sentencing Policy and Advisory Commission is mandated by the North Carolina General Assembly to conduct a recidivism study every two years. The commission uses rearrests as its primary measure of recidivism, supplemented by information on reconvictions, technical probation revocations, and reincarcerations to assess the extent of an offender's repeat involvement in the criminal justice system. The Florida Department of Correction's Bureau of Research and Data Analysis publishes a recidivism report every four years. The bureau uses two recidivism measures: conviction for a new, serious offense (reoffense), and commitment to prison for a new offense (reimprisonment). We were unable to compare the recidivism rates among states because each state uses different calculation measures.

Data Reliability of Recidivism Reports

According to Department of Correction management, responsibility for reviewing information and verifying the accuracy and completeness of data lies with the individual users of the information, e.g., individual program directors. Auditors determined that the department does conduct some data reliability testwork to detect and correct errors found in the data used. The Sentence Management Services Division has a procedure to verify the releases and supporting data for individuals with expiring sentences. This information is entered into TOMIS from judgment orders, and would affect the recidivism rate if the information was not entered correctly. According to management, staff have detected many errors in the information entered into TOMIS by the county jail personnel. However, negative effects were limited because Sentence Management Services staff reviewed data and corrected errors before the information was used in recidivism calculations. Although the Sentence Management Services Division appears to have procedures in place to verify the accuracy of sentence-related data, there is no department policy requiring each division to implement procedures to detect and correct errors in department data used in department reports and relied on for policy or program decisions.

Recommendation

The Policy, Planning and Research office should coordinate the collection of all data necessary to create an expanded database for recidivism, containing offender information on prior convictions, current conviction and sentence, program participation, and outcome measures. To ensure a more accurate recidivism rate, the department should consider using more than one calculation measure. (Although also tracking convictions in states other than Tennessee would provide a more complete picture of recidivism, such tracking would be difficult and time consuming.) The department should develop and implement a database to conduct ongoing evaluations of the rehabilitative and pre-release programs. The database should include overall measures of program effectiveness based on program outcomes, recidivism rates for program participants, and costs of the programs. (Also see finding 4.) The department should also

develop and implement a policy to ensure that data reliability test work is conducted by each relevant program director before the information is included in the recidivism database.

Management's Comment

We concur in part. There is not a standardized definition of recidivism that has been adopted nationwide. It would be good if we had the ability to track every inmate who was released from our custody for a finite time. It would be very effective if we could identify all criminal convictions of all offenders who were once incarcerated within the Tennessee Department of Correction's jurisdiction, regardless of where the conviction occurred and all entities who tracked recidivism did the same. While we agree that inclusion of information about convictions that have occurred outside our jurisdiction would give all a truer picture of reoffending individuals, this capability is not currently available to the department; however, it is an avenue that is being explored with other entities.

We agree that having different directors within our department and, at times, within one division of our department constructing their own version of our department's recidivism numbers is problematic. This is counterproductive and lacks value to those trying to make short- and long-term strategic decisions.

We agree that Policy, Planning and Research should coordinate the collection of the data necessary to create an expanded recidivism report and establish the parameters for that data in concert with relevant divisions and work units within the department. Additionally, a methodology in which successful program completers and a group of non-completers who are similar on key characteristics will be developed to assess the contribution of rehabilitative programs in relation to recidivism rates.

While there may still be discussion regarding the numbers in the recidivism report the department creates, we will at least have the starting point of consistency and precise parameters that can be understood by anyone reviewing the information.

4. As reported in the 2003 Department of Correction performance audit, the department needs to continue to improve the pre-release services for inmates by developing methods to measure the effectiveness of its programs

Finding

According to Department of Correction Policy 511.02, Pre-Release Services, the department is responsible for developing and maintaining a uniform statewide pre-release program designed to facilitate a successful reentry into the community and reduce recidivism. Department Policy 513.02, Transition Center Programming, establishes a program that provides for structured release back into the community.

The September 2003 performance audit reported that the Department of Correction needed to continue its efforts to improve the pre-release services offered. The audit stated that while the department had made improvements, the pre-release services offered by the department were still insufficient based on the number of inmates who exited the system each year and the problems inmates faced when attempting to readjust to life outside the correctional system. The Department of Correction offered several types of pre-release programming; however, the department lacked information on inmate participation in pre-release programs and on performance outcomes and, therefore, on the effectiveness of the programs. We recommended that the department continue to work toward implementing a comprehensive pre-release program to address needs of inmates before they are released into the community. We also recommended that the department develop a system to monitor short- and long-term outcomes, including tracking recidivism rates, to help the department identify additional needs as well as the most effective programs and program components. The department concurred in part and recognized that there was room for improvement. The department stated that it had undertaken some initiatives to address the needed improvements.

Since the last audit, the department has continued to improve the pre-release services offered. Improvements include the following:

- implementing two transition communities in Davidson County (the Genesis program at the Charles Bass Correctional Complex and the New Start program at the Tennessee Prison for Women), after the completion of the Tennessee Bridges Program;
- implementing a pre-release program at each of the department correctional facilities as well as the three private facilities;
- assigning pre-release coordinators at each of the correctional facilities and pre-release facilitators at three of the facilities, Northwest Correctional Complex in Lake County, Southeastern Tennessee State Regional Correctional Facility in Bledsoe County, and Whiteville Correctional Facility in Hardeman County;
- creating quarterly reports to track the pre-release program participants; and
- creating the Staying Home pilot program.

Based on information provided by the department's Budget office, the department's costs for pre-release activities were \$607,500 in fiscal year 2006, \$683,500 in fiscal year 2007, and \$765,100 in fiscal year 2008.

Despite these improvements, the department has not yet implemented a system to monitor the short-term and long-term outcomes of the pre-release programs, as recommended in the prior audit. In addition, there appear to be weaknesses in the department's methods for tracking and measuring the success of the pre-release programs. According to Pre-Release Services management, the pre-release programs were not consistent across facilities in the past, which made them hard to track. The department has since implemented one pre-release program that is offered at each correctional facility. However, tracking of the program appears to be a continuing issue.

Pre-release Programs

The Tennessee Bridges (TNBR) program, which began in 2002 and ended in 2005, was a three-year, three-phase federally funded program designed to assist inmates with successful reentry into society. The department conducted a three-year recidivism rate study to measure the effectiveness of the Tennessee Bridges Program. As of the last report created by the department in November 2007, there had been a total of 261 participants paroled to the Tennessee Bridges program. The recidivism rate was 66.80% for the participants of the Tennessee Bridges program and 82.90% for the control group average. The control group consisted of (1) inmates who met the TNBR criteria, and wanted to participate but were not referred; (2) inmates who met the TNBR criteria but did not want to participate; and (3) inmates who met the TNBR criteria but did not want to relocate to Knox, Shelby, or Davidson County.

After the completion of the Tennessee Bridges program, the Department of Correction developed two transitional communities—Genesis, a 90-bed program for male inmates at the Charles Bass Correctional Complex; and New Start, a 40-bed program for female inmates at the Tennessee Prison for Women. The transitional center programs last for approximately nine months and include the following three phases:

- Phase I - assessment and program orientation;
- Phase II - main treatment with a focus on community service; and
- Phase III - re-entry preparation with the primary focus on employment, housing, and relapse prevention.

The length of each phase is approximately three months; each phase must be successfully completed before advancement to the next phase is granted.

The first group of participants for the Genesis program was the last class of participants in the Tennessee Bridges program. As of June 30, 2008, the Genesis program had

- a total of 319 program participants;
- 86 participants actively enrolled in the program;
- 168 participants who had graduated from the program; and
- 19 of the 168 graduates who had violated their release and returned to prison, for a recidivism rate of 11%.

The New Start Program, which was contracted through the YWCA of Nashville and Middle Tennessee, began on July 1, 2005, and ended on June 30, 2008. According to program management, the contract was not renewed because of budget constraints; however, the program will be continued under a new name with state staff and volunteers from a local agency, The Next Door. The Next Door is a six-month residential transitional living program located in downtown Nashville that provides recovery support services for women with an addiction to alcohol and drugs. As of April 2008, the New Start program had 36 inmates actively enrolled, 3 graduates awaiting release, and 32 inmates who had completed the program.

The Department of Correction has partnered with the Shelby County Division of Corrections and the Board of Probation and Parole to create the Staying Home Initiative, which is a three-year federal-grant pilot program. The Staying Home partners have received \$450,000 in funding and have requested an additional \$130,434. They chose the Memphis Leadership Foundation as the initiative's Faith-Based Community Organization partner, and the foundation has been allocated \$135,000. The program is focused on employment and has an initial target of 280 inmates, with a goal of 240 inmates to successfully complete the institutional component of the program and 200 inmates who are still successful (i.e., have not returned to prison) at the end of two years. The department was awarded money for this program in September 2007, and the Board of Probation and Parole began selecting participants for this program in March 2008. As of June 2008, the board had only selected two participants for the program.

The Department of Correction also implemented a 10- to 12-week classroom pre-release program at each of the 16 correctional facilities, available to inmates who are within nine months of release. Because of limited spaces in the program, priority is given to inmates who the Board of Probation and Parole has mandated must complete the program before they are released on parole, followed by inmates whose sentences are expiring or inmates who have a release date already set by the Board of Probation and Parole. The Northeast Correctional Complex in Johnson County has a pilot program that mandates the pre-release program for all inmates before release; however, because of limited space available, the pre-release program is not mandatory at the other correctional facilities (unless mandated for a particular inmate by the Board of Probation and Parole). During the audit, auditors interviewed program management and 13 of the 16 pre-release coordinators. Staff raised concerns about a lack of supplies (including pencils, paper, etc.) and the availability of space at some of the facilities, such as the Northwest Correctional Complex in Lake County and Riverbend Maximum Security Institution in Davidson County. However, program management was not aware of supply shortages at the facilities. A lack of supplies and availability of space could hinder the effectiveness of the existing program at a facility and limit the department's ability to make the pre-release program available to more inmates.

Weaknesses With Data Reliability and Verification

The department creates reports to track pre-release program participants, the number of inmates released, and their participation in the program. We reviewed the database of pre-release program participants compiled by the pre-release coordinators and the director for fiscal years 2005, 2006, and 2007.

The following information was provided by the department for fiscal years 2005 to 2007:

- 86% - 89% of the pre-release program participants graduated from the program, but only 16% - 21% of the total inmates released from a correctional facility graduated from the pre-release program;
- 41% - 46% of the total inmates released from a prison facility declined pre-release services;

- 20% - 26% of the total inmates released from a prison facility received partial pre-release services; and
- 53% - 65% of the pre-release program participants were released from a prison facility;

The table below provides information on pre-release program participants for fiscal years 2005 through 2008.

Table 4
Summary of Pre-Release Program Participants
Fiscal Years 2005 to 2008

Year	Total Available Program Slots for the Year	Program Participants	Program Graduates	Program Participants Released	Program Participants Paroled	Program Participants Who Expired Their Sentence	Other Releases of Program Participants
2005	1576	1321	1175	739	420	277	42
2006	2039	1790	1536	1162	610	530	22
2007	2115	1905	1695	1018	455	542	21
2008	2177	1910	1708	1030	454	550	26

Auditors' review found that the department tracks the same information in two different ways, by total inmates released and by program participants. However, based on the tracking methods, the department cannot adequately determine an accurate success rate of the program. For example, not all of the total inmates released participated in the pre-release program, and some of the pre-release program participants were not released during the same year they graduated from the program.

During the review, we also noted that some of the pre-release data published in the Department of Correction's annual reports for fiscal years 2005 through 2008 were not consistent with the data from the pre-release spreadsheets created by program management. Despite discussions with relevant Department of Correction staff, the discrepancies were not explained. See Table 5 for some examples of discrepancies.

Table 5
Comparison of Pre-Release Database and Annual Report
Fiscal Years 2005 Through 2008

Year	Percent of All Inmates Released Who Participated in the Pre-Release Program		Percent of Program Participants Who Were Released into the Community	
	Annual Report	Pre-Release Spreadsheet	Annual Report	Pre-Release Spreadsheet
2005	24%	23%	63%	56%
2006	27%	29%	70%	65%
2007	30%	30%	53%	53%
2008	21%	29%	60%	54%

The program director compiles an annual report of the pre-release data that is submitted to the Division of Policy, Planning and Research. This information is gathered from the quarterly reports sent in by the pre-release coordinators. (According to management, there have been instances where coordinators did not enter the correct codes into TOMIS, the department's Tennessee Offender Management Information System, which resulted in inaccurate calculations in the reports.) The quarterly reports are reviewed by Pre-Release Services management for errors and mistakes. If the review of data detects errors, the pre-release coordinator is informed and asked to correct the errors in the report. The Division of Policy, Planning and Research management does not check information submitted by the different program directors before including it into the annual report. It appears that data reliability procedures in place are limited in detecting and correcting errors entered into TOMIS by the pre-release coordinators.

Although the department has made efforts to track pre-release program data, the weaknesses and discrepancies in the data captured and reported raise questions about the data's accuracy and hinder management's ability to determine the effectiveness of pre-release programs. In addition, the department did not track the recidivism rate for the pre-release program and does not have a control group used to compare with the inmates enrolled in the pre-release program.

Recommendation

Pre-Release Services management should work with Division of Policy, Planning and Research staff to develop a system to monitor the short-term and long-term outcomes of the pre-release programs, including tracking recidivism rates, to help the department identify additional needs, as well as determine the most effective programs and program components. To that end, the department should consider creating a control group of inmates not enrolled in the pre-release and transitional programs to compare to those in the program. The department should also develop a data reliability cross-checking system to verify accuracy of the data. The department should ensure that all department correctional facilities, as well as the private facilities, have the same supplies and materials to successfully prepare the inmates for reentry into the community.

Management's Comment

We concur. We agree that the department has made progress in improving the preparation for inmates being released from custody. We also agree that we can, and will, do more to prepare inmates to transition back to our communities.

The department is in the process of implementing a validated assessment tool that will assist us in better identifying needed transitional and pre-release services. When fully implemented, the assessment process will establish a priority for service delivery to inmates prior to release. Training for implementation of this assessment tool is ongoing. Further, it will incorporate data coding that will provide comprehensive information about inmate program completion. This will allow us to create control groups as well as identify inmates who have received those services and establish long-term and short-term outcome data.

Currently, some programs are being tracked with stand-alone data entry that is separate from our mainframe system. However, we agree that a comprehensive system is needed to better identify outcomes. Utilizing the above assessment process, the department will establish a comprehensive system to track recidivism rates for pre-release/transitional programs. The new system will also provide a mechanism to cross-check and verify the accuracy of the data when compared to stand-alone tracking systems already in place.

During the audit process, the issue of supplies and materials was brought to our attention. The Rehabilitative Services section contacted all pre-release coordinators in the field, and the problem has been corrected.

OBSERVATIONS AND COMMENTS

The topics discussed below did not warrant a finding but are included in this report because of their effect on the operations of the Department of Correction and on the citizens of Tennessee.

CONTRACT MONITORING

Contract Monitoring

According to Section 41-24-109, *Tennessee Code Annotated*, the department monitors any contracts with prison contractors providing correctional services. The largest such contracts for correctional services include management of a facility and the provision of services to inmates such as health and rehabilitative services. Corrections Corporation of America, a private corrections management firm, has contracts to manage South Central Correctional Facility in Wayne County, and Whiteville Correctional Facility and Hardeman County Correctional Center in Hardeman County. Each facility has a Department of Correction contract monitor on-site who

is responsible for monitoring the contractor’s performance. The monitoring includes observing and reporting on the day-to-day operational performance of the contractor regarding compliance with all terms and conditions of the contract. There are 35 monitoring instruments, completed either on a monthly, quarterly, or semi-annual basis, which assess the entire operation of each facility. These instruments are reviewed by central office staff.

The largest health services contractor, First Medical Management, has three comprehensive sites in Davidson County—Charles Bass Correctional Complex, Tennessee Prison for Women, and Riverbend Correctional Complex—which the department monitors on a monthly basis. Department staff monitor (on-site) all other facilities every other month. However, if a facility is undergoing its annual inspection, the department will not monitor that site during that particular month. (Teams of staff from the department’s facilities and the central office annually inspect all facilities for policy compliance.) Department rehabilitative services contracts are monitored once every six months, with a follow-up review within three months if a corrective action plan was required. Auditors reviewed the department’s monitoring instruments used for monitoring the compliance of First Medical Management and multiple rehabilitative service contracts, and found that department staff monitor the contracts timely. (See page 60 for a breakdown of department contracts for fiscal year 2008.)

First Medical Management Contract

We reviewed monitoring instruments for First Medical Management for January 2006 (when the contract began) through June 2008. According to the department’s internal records, in that time period over \$1.3 million in liquidated damages have been collected from First Medical Management for noncompliances. (Total contract expenditures were \$18.9 million in fiscal year 2006, \$39.3 million in fiscal year 2007, and \$39.7 million in fiscal year 2008.) Liquidated damages were assessed for Staffing, CQI (Continuous Quality Care Improvement)/Infection Control, Specialty Consults, Pharmacy Services, and Other (which refers to standards that did not fall into the larger categories). (The September 2003 Department of Correction performance audit found that the department had failed to assess liquidated damages against healthcare providers for contract noncompliance, so there appears to be improvement in holding contractors accountable.)

First Medical Management (FMM) Liquidated Damages

Areas of Contract Noncompliance	Calendar Year 2006	Calendar Year 2007	January Through June 2008
Staffing	\$80,475	\$378,950	\$248,100
CQI/Infection Control	\$19,200	\$20,100	\$7,200
Specialty Consults	\$190,050	\$252,750	\$84,800
Pharmacy Services	\$2,300	\$16,800	\$4,100
Other	\$2,350	\$10,700	\$9,050
Grand Total	\$294,375	\$679,300	\$353,250

Source: Tennessee Department of Correction.

Rehabilitative Services Contracts

Auditors reviewed rehabilitative contracts as well as monitoring instruments that the Department of Correction's monitoring staff use to ensure contracts are in compliance. (Also see finding 1 for a description of concerns we identified related to the Spectrum Health Services, Inc. contract.) Based on our review of the department's monitoring instruments, case management has been a major issue. Most of the issues pinpointed in the contract monitoring instruments address the fact that documents regarding the treatments offered and participants' progress in the treatment programs were missing or not recorded timely. Without complete documentation, the department cannot determine whether the required services have been provided and the outcome (at least the short-term outcome) of those services. Regarding longer-term outcomes, the Spectrum contract was the only rehabilitative services contract that addressed tracking recidivism.

The department should work with contractors to improve documentation and tracking of rehabilitative services. The department should consider increasing rehabilitative contract monitoring from once every six months to once every three months, or implementing some form of timely supervisory review of data, to ensure needed documentation of services provided and outcomes is maintained. The department should also consider including requirements to track recidivism in all rehabilitative services contracts, to better measure programs' effectiveness. (Also see finding 3 regarding the tracking and measuring of recidivism rates.)

COUNTY FINAL COST SETTLEMENTS ARE STILL NOT SUBMITTED TO THE DEPARTMENT IN A TIMELY MANNER

Under the County Correctional Incentives Program (CCIP), counties are reimbursed for housing Tennessee Department of Correction inmates. During fiscal year 2007, reimbursements to counties totaled over \$103 million. Twenty-two county facilities either contract to house inmates at a flat rate or participate via a resolution adopted by the county-governing body to house inmates at a fixed rate. (See note to Table 6 for additional explanation.) Eighty-one county facilities are reimbursed for housing state inmates using the Reasonable Allowable Cost method. (Some counties have more than one facility housing state inmates.) For counties using the Reasonable Allowable Cost method of reimbursement, the monthly reimbursement is based on the county's interim Inmate Day Rate and the inmate count from the Tennessee Offender Management Information System (TOMIS). The interim Inmate Day Rate, in turn, is based on the county's Final Cost Settlement (actual daily inmate cost) from the previous fiscal year. (The prior year's actual cost per that settlement, limited to \$35, is multiplied by 103% to account for inflation. Then the interim rate is set at 90% of the calculated amount.) As reported in the previous Department of Correction performance audit, county Final Cost Settlements are still not submitted to the department in a timely manner, and a reasonable interim Inmate Day Rate cannot be calculated for the subsequent fiscal year until the Final Cost Settlement is completed. Although the prior year's interim rate is used to pay the current year's monthly jail bills in the meantime, this practice can result in underpayments or overpayments to the counties.

Each month, the department sends jail bills to the facilities listing the state inmates housed at the county's institution according to TOMIS. The facilities are to review the jail bill, note additions and deletions, and return the jail bill along with a Correction Facility Summary Report (CFSR) for the month. The signed CFSR and the jail bill have to be returned in order to process payment.

The Department of Correction does not see the actual inmate roster for each county; instead, the department relies on periodic reviews performed by the Office of the Comptroller of the Treasury's Division of County Audit. County Audit staff review Final Cost Settlement Reports (i.e., the report used to calculate the cost of housing inmates) for accuracy, and how the facilities conduct their inmate counts (for consistency) to ensure that the information reported to the Department of Correction (i.e., the number of days an inmate was housed) is correct. Board bills are looked at specifically, as local jails are only reimbursed for housing state felons even though the Final Cost Settlement includes all expenses. County Audit reviews at least 65% of the total County Correctional Incentive Program budget each year, and looks at all 103 local facilities at least once in a seven-year period; however, the largest counties (Davidson and Shelby) are looked at every year. Five or six counties are chosen for review from each region (i.e., West, Middle, Mid-East, and East). County Audit selects a sample of files for review, and if significant errors are found the sample is increased.

Submission of Final Cost Settlements

To determine whether the timeliness of county submissions of Final Cost Settlements was still a concern, we conducted a review of Final Cost Settlement (FCS) submittal dates for fiscal years 2005, 2006, and 2007. According to the department's *Guidelines for Determining Reasonable Allowable Cost for State Prisoners*, Final Cost Settlements are to be submitted no later than October 1 following the end of the fiscal year, June 30. This deadline is the only requirement that is outlined for those counties that participate in the County Correctional Incentives Program. Based on the review, a significant number of counties were late. Auditors also found patterns in the counties that submitted Final Cost Settlements late. Thirty of the participating counties submitted their Final Cost Settlements late in all of the three years reviewed. Twenty-one of the participating counties submitted the Final Cost Settlements late in two out of the past three fiscal years. It appears that the department has not made an effort to resolve this issue. However, department staff stated that the pattern of turning in Final Cost Settlements late is acceptable because staff would not be prepared to review them simultaneously. Although there is no set date for following up with counties that have an outstanding FCS, the department sometimes sends correspondence urging counties that are outstanding to submit their FCS.

According to the submission dates provided by the department's Judicial Cost Accountant, of the 79 facilities that are to submit Final Cost Settlements, only 30 submitted their Final Cost Settlements on time in fiscal year 2005, 22 submitted on time for fiscal year 2006, and 37 were on time for fiscal year 2007. The remaining counties submitted their Final Cost Settlement late (see Table 6). As of October 8, 2008, the Judicial Cost Accountant had only received 25 of the fiscal year 2008 Final Cost Settlements, 5 of which were received after October 1, 2008.

**Table 6
Review of County Submission of Final Cost Settlements**

Final Cost Settlements						
Submission of FCS	2005	Percent	2006	Percent	2007	Percent
Early/On time	30	37.97%	22	27.85%	37	46.84%
1-30 days late	19	24.05%	22	27.85%	17	21.52%
31-60 days late	10	12.66%	8	10.13%	3	3.80%
61-90 days late	4	5.06%	6	7.59%	5	6.33%
91-120 days late	1	1.27%	5	6.33%	6	7.59%
121-150 days late	7	8.86%	8	10.13%	5	6.33%
151-200 days late	6	7.59%	7	8.86%	2	2.53%
201-250 days late	2	2.53%	1	1.27%	2	2.53%
> 250 days late	0	0.00%	0	0.00%	2	2.53%
	79	100.00%	79	100.00%	79	100.00%

Note: Some counties may submit one final cost settlement that includes more than one facility within that county. Some counties are not required to submit a Final Cost Settlement because they are either contracted at a flat rate or participate via a resolution. For resolution counties, the county governing body adopts a resolution for the reimbursement rate of \$18 or \$20 per inmate day. The county and state determine a reasonable cost reimbursement for counties that receive the contract flat rate and this flat rate is incorporated into the contract. Since both the Resolution and Contract Flat Rate counties have a set rate applied, their actual costs are not relevant and a Final Cost Settlement is not necessary.

Local Jail Resource Office

In late 2007, the department created the Local Jail Resource Office to improve upon the issues listed above. The Local Jail Resource Office currently has three major functions intended to correct the current issues:

- Defining the status of inmates in the county jails (guilty/not guilty) and making the determination of their category status (i.e., convicted, probation/parole violator, misdemeanants, etc.).
- Reviewing statutes in place and (if needed) updating them.
- Improving how Jail Board Bills are handled and how corrections are made. The current instrument in place (TOMIS) was never intended to be used as a payment system/accountant. Currently it takes anywhere from three to seven months to make corrections. The goal is to train county jail staff on the proper technique to complete Jail Board Bills, as this will in turn hold them more accountable.

Recommendation

It is in the state's interest to encourage timely submission of the Final Cost Settlement in order to limit the state's risk of underpayments and overpayments. The state should consider implementing a more effective way to track underpayments and overpayments. In addition to its cost-focused *Guidelines for Determining Reasonable Allowable Cost for State Prisoners*, the

department should implement formal policies and procedures regarding other aspects of the CCIP program. Policies and procedures should include, at a minimum:

- policies for submission of the jail bills, CFSRs, and FCSs;
- procedures outlining timelines for review of jail bills, CFSRs, and FCSs by department staff;
- procedures for corrections to the jail bills, CFSRs, and FCSs;
- timeline for follow-up of FCS submission; and
- implementation and assessment of penalties for late submittal and/or continuous late submittal of jail bills, CFSRs, and FCSs.

DEPARTMENT FACILITIES CONTINUE TO EXPERIENCE A HIGH RATE OF CORRECTIONAL OFFICER TURNOVER

System-wide, for fiscal year 2008, the correctional officer turnover rate was 28.3%, an increase of 0.8% from the fiscal year 2007 rate of 27.5%, which was already very high. Correction staff interviewed acknowledged that correctional officer turnover is a concern. High turnover rates contribute to a variety of problems for facilities, such as increased training and recruitment costs and increased use of overtime. (Working extended hours in a setting that is already stressful and potentially dangerous may negatively affect the efficiency and effectiveness of an officer.) According to employee exit surveys, low pay is a major reason for turnover. Comparisons of the department's starting correctional officer salary with salaries in other states and in Tennessee counties show that the department's salary is lower than average.

The department's employment recruiter stated that the average cost to recruit and train a new correctional officer is approximately \$10,000, and it takes the department approximately three years to recover the cost. He also said that the department is basically a training facility for local jails because an individual will be trained by the department, receive work experience, and then leave for more money at a county sheriff's office. Based on the department's correctional officer turnover report, 71.5% of correctional officers who left during fiscal year 2007 had two years or less of employment with the Department of Correction.

According to the department's 2007 annual report, there are six facilities with a correctional officer turnover rate that is higher than the system-wide average. These facilities include the Charles Bass Correctional Complex (37.40%), the DeBerry Special Needs Facility (40.02%), the Riverbend Maximum Security Institution (49.63%), and the Tennessee Prison for Women (49.15%) in Davidson County; the Northwest Correctional Complex (30.55%) in Lake County; and the West Tennessee State Penitentiary (30.83%) in Lauderdale County. Table 7 details correctional officer turnover rates for fiscal years 2007 and 2008.

Table 7
Trends in Correctional Officer
Turnover Rates by Institution

Department of Correction Facilities	Fiscal Year 2007			Fiscal Year 2008		
	Separations	Average Number of Correctional Officers	Turnover Rate	Separations	Average Number of Correctional Officers	Turnover Rate
Brushy Mountain Correctional Complex	38	308	12.32%	30	228	13.2%
Charles Bass Correctional Complex	70	187	37.40%	89	187	47.7%
DeBerry Special Needs Facility	65	162	40.02%	46	162	28.5%
Mark Luttrell Correctional Facility	15	86	17.44%	29	86	33.7%
Northeast Correctional Complex	43	291	14.78%	53	288	18.4%
Northwest Correctional Complex	109	357	30.55%	89	357	24.9%
Riverbend Maximum Security Institution	84	169	49.63%	98	177	55.4%
Southeastern TN State Regional Facility	25	169	14.84%	33	172	19.2%
Tennessee Prison for Women	65	132	49.15%	58	128	45.2%
Turney Center Industrial Prison and Farm	45	170	26.50%	55	177	31.1%
Wayne County Boot Camp	4	67	5.98%	8	67	11.9%
West Tennessee State Penitentiary	119	386	30.83%	132	395	33.4%
Morgan County Correctional Complex	*	*	*	12	161	7.5%
System-wide			27.50%			28.3%

* During fiscal year 2007, the Brushy Mountain Correctional Complex in Morgan County included the Morgan County Correctional Facility.

Auditors reviewed correctional officer turnover rates reported in the Southern Legislative Conference's *Adult Correctional Systems* reports for fiscal years 2005 through 2007. Tennessee's turnover rates for correctional officers were higher each year than the 16-state average, and when compared with the 15 other states, Tennessee ranked 14th in 2005, 12th in 2006, and 14th in 2007. See Table 8.

Table 8
Trends in Correctional Officer
Turnover Rates by State

State	Fiscal Year 2005	Fiscal Year 2006	Fiscal Year 2007
Alabama	8.9%	10.7%	9.8%
Arkansas	36.4%	34.6%	37.4%
Florida	13.6%	13.6%	18.0%
Georgia	21.5%	26.2%	26.3%
Kentucky	27.8%	21.0%	21.0%
Louisiana	22.0%	29.0%	27.0%
Maryland	13.3%	10.0%	14.0%
Mississippi	22.5%	23.9%	68.0%
Missouri	15.7%	14.6%	15.8%
North Carolina	5.6%	15.3%	15.5%
Oklahoma	13.9%	19.5%	16.2%
South Carolina	27.3%	27.3%	25.5%
Tennessee	27.5%	25.0%	27.4%
Texas	21.0%	23.0%	24.0%
Virginia	14.5%	17.7%	20.1%
West Virginia	17.0%	19.5%	19.0%
Average	19.3%	20.7%	24.1%

Source: Southern Legislative Conference, *Adult Correctional System Reports*.

Auditors reviewed exit surveys for 2005, 2007, and 2008 (staff could not locate any 2006 surveys). Each person terminating employment was asked to identify the three most important reasons for departure. Low Pay was listed in the top three for each year. In 2005, the three most common reasons given were Low Pay (57.89%), Dislike Working Conditions (28.95%), and Poor Relationship with Supervisor (19.74%). In 2007, the three most common reasons given were Poor Relationship with Supervisor (53.33%), Low Pay (35.56%), and Dislike Working Conditions (33.33%). During the first five months of 2008, the top three reasons were Low Pay (33.33%), Dissatisfaction with Department Policies (27.78%), and Personal Health/Family Problems (22.22%). (Many department employees who leave never complete and return their exit surveys. Therefore, the survey results do not present a complete picture of departing employees.) Table 9 illustrates the survey results in greater detail.

Table 9
Department of Correction
Exit Interview Surveys

Reason	Calendar Year 2005	Calendar Year 2007	Calendar Year 2008*
Concern for personal safety	14	5	3
Personal health	14	9	4
Family problems	7	3	4
Move from area	14	2	2
Receive an unsolicited job offer	5	1	1
Spouse is transferred	2	0	0
Pregnancy/birth of child	0	1	1
To remain at home	4	2	3
Dislike working conditions	22	15	3
Dislike schedule	12	6	1
Dislike assignments	5	2	2
Poor relationship with supervisor	15	24	3
Lack of advancement opportunity	7	4	1
Low pay	44	16	6
Inadequate benefits	7	0	0
Dissatisfaction with TDOC policies	10	7	5
Total Number of Surveys	76	45	18
Number of Surveys from COs	54	29	10

(Each survey requested the three most important reasons for leaving the department.)

* First five months of 2008.

Auditors' review of the exit survey summary reports for the first five months of 2008 found that the reports for February, March, and April were blank. The note in the April summary report stated, "There are no facilities that are doing exit interviews. If you want exit interviews they must be made a priority." (In interviews, staff also stated that these surveys need to be taken more seriously.) The May summary report stated that a total of ten exit surveys had been received (from eight institutions) along with the reasons for leaving.

We also reviewed correctional officer salaries reported in the Southern Legislative Conference's *Adult Correctional Systems* reports for fiscal years 2003 through 2007. When compared with starting salaries for correctional officers in the other 15 conference states, Tennessee ranked tenth in fiscal year 2003 (Oklahoma's salary information was not available), ninth in fiscal year 2004 (Florida's and Oklahoma's salary information was not available), eighth in fiscal year 2005, eighth in fiscal year 2006, and ninth in fiscal year 2007. (See Table 10.)

Table 10
Correctional Officer Starting Salaries*
Fiscal Years 2003 Through 2007

State	Fiscal Year 2003	Fiscal Year 2004	Fiscal Year 2005	Fiscal Year 2006	Fiscal Year 2007
Alabama	\$23,917	\$23,221	\$23,917	\$25,354	\$27,552
Arkansas	\$20,981	\$22,370	\$27,026	\$27,358	\$29,024
Florida	\$25,243	N/A	\$30,204	\$30,204	\$30,808
Georgia	\$23,614	\$23,614	\$23,614	\$23,614	\$23,614
Kentucky	\$19,855	\$19,855	\$20,651	\$22,595	\$23,346
Louisiana	\$18,366	\$18,366	\$18,366	\$18,366	\$24,357
Maryland	\$26,958	\$27,710	\$28,126	\$34,313	\$35,000
Mississippi	\$17,673	\$17,673	\$19,623	\$20,371	\$22,006
Missouri	\$23,076	\$23,520	\$23,520	\$25,248	\$26,004
North Carolina	\$22,894	\$24,450	\$25,301	\$26,105	\$26,209
Oklahoma	N/A	N/A	\$20,672	\$23,472	\$24,605
South Carolina	\$20,044	\$20,645	\$22,709	\$23,390	\$24,091
Tennessee	\$20,700	\$21,324	\$23,064	\$23,748	\$24,456
Texas	\$22,772	\$22,772	\$21,792	\$21,792	\$22,446
Virginia	\$22,361	\$22,864	\$22,550	\$24,257	\$25,228
West Virginia	\$20,124	\$20,124	\$20,124	\$20,124	\$20,124
16 State Average	\$21,905	\$22,036	\$23,204	\$24,394	\$25,554

Tennessee Amount

Below Average \$1,205 \$712 \$140 \$646 \$1,098

* Salary data are based on base annual salary not including overtime, retirement, or other related benefits.

Source: Southern Legislative Conference, *Adult Correctional System Reports*.

Auditors also obtained salary information from sheriff offices in Davidson County, as well as several other counties in the state. (See Table 11.)

Table 11
Correctional Officer Starting Salary
As of June 30, 2008

County	Beginning Salary
Davidson	\$30,349
Cheatham	\$25,514
Wilson (\$13 per hour)	\$27,040
Sumner	\$21,000
Williamson (\$10.10 per hour)	\$21,008
Rutherford	\$27,520
Montgomery	\$30,431
Shelby	\$30,859
Knox	\$27,424
Hamilton	\$30,544
10-County Average	\$27,169
Tennessee Department of Correction	\$24,456
Difference	\$2,713

*Salaries using hourly rates assume a 40-hour week and being paid 52 weeks per year. Does not factor in overtime.

The comparison of Tennessee with 15 other states indicated that, as of July 1, 2007, Tennessee paid newly hired correctional officers \$1,098 below the average salary for the Southern Legislative Conference states. The starting salary for Department of Correction correctional officers is also not competitive with local jails in some counties in Tennessee. The salary gap between the department and the ten county jails for which we obtained information was \$2,713, and the gap ranged from (\$3,456) to \$6,403. It appears that, given the salary differential, the department will continue to have problems retaining employees.

The department should continue its efforts to upgrade correctional officer salaries in order to remain as competitive as possible with local facilities, as well as with other states in the region. The department should review the results of the exit surveys and seek additional feedback from employees, as well as from correction officials in other states, to identify other changes the department could make in order to help decrease turnover. The department should implement policies and procedures for conducting these surveys. The department should implement an employee satisfaction survey to find ways to improve before employees decide to leave. The department should also begin training staff who interview correctional officers in order to make better hiring decisions. Staff should strive to illustrate to potential job candidates all of the duties and responsibilities that accompany being a correctional officer.

EDUCATIONAL OPPORTUNITIES FOR INMATES

The Department of Correction's policies and procedures state that academic programs are to be available at all department and privately managed facilities. Time-building institutions are to provide full-time Adult Education programs and may provide part-time programs. Specialty institutions and the reception centers must provide at least a part-time academic program.

General Educational Development (GED) Program

The Tennessee Department of Education recognizes the Department of Correction as its own school system, with the commissioner acting as the superintendent. Inmates are given the opportunity to take the General Educational Development (GED) test if they meet the following eligibility requirements:

- the inmate cannot have a high school diploma, equivalency diploma, or have graduated from an accredited high school in the United States or Canada;
- inmates must qualify each time the test is given by passing the most current edition of the Official GED Practice Test;
- inmates may only participate in GED testing a maximum of three times per calendar year; and
- inmates under the age of 17 are not allowed to take the GED test.

Table 12 details the number of inmates from each institution who took the GED examination, the number who passed, and the percentage who passed for fiscal years 2006, 2007, and 2008.

Vocational Programs

Department of Correction policy states that vocational programs are to be provided at all department institutions with the exception of Charles Bass Correctional Complex, Wayne County Boot Camp, Brushy Mountain Correctional Complex, and DeBerry Special Needs Facility. (These facilities are not time-building facilities, and inmates typically don't stay there long enough to complete a vocational program.) The department is to administer vocational programs to meet the needs of the inmate population, and at the discretion of the commissioner or his designee.

For the following inmates, the department considers full- or part-time academic placement before approving vocational placement:

- inmates who do not possess a high school or an equivalency diploma,
- inmates who do not possess the necessary reading and math skills to comprehend the material presented in the program, or

**Table 12
Inmate GED Test Results
Fiscal Years-2006, 2007, and 2008**

Correctional Institution	Fiscal Year 2006			Fiscal Year 2007			Fiscal Year 2008		
	Number Tested	Number Passed	Percentage Passed	Number Tested	Number Passed	Percentage Passed	Number Tested	Number Passed	Percentage Passed
Brushy Mountain Correctional Complex	40	29	73%	59	48	81%	19	16	84%
Charles Bass Correctional Complex	35	30	86%	33	26	79%	49	14	29%
DeBerry Special Needs Facility	2	2	100%	8	7	88%	20	13	65%
Hardeman County Correctional Facility	63	49	78%	49	43	88%	102	67	66%
Mark Luttrell Correctional Center	13	12	92%	21	19	90%	12	10	83%
Morgan County Correctional Complex	*	*	*	*	*	*	63	51	81%
Northeast Correctional Complex	36	26	72%	72	56	78%	61	47	77%
Northwest Correctional Complex	56	39	70%	127	100	79%	215	122	57%
Riverbend Correctional Complex	40	18	45%	38	20	53%	58	37	64%
South Central Correctional Facility	87	59	68%	111	70	63%	129	70	54%
Southeastern Tennessee State Regional Correctional Facility	33	25	76%	49	36	73%	73	58	79%
Turney Center Industrial Prison and Farm	8	7	88%	46	40	87%	27	23	85%
Tennessee Prison for Women	31	26	84%	56	44	79%	41	40	98%
Wayne County Boot Camp	43	30	70%	66	46	70%	65	52	80%
West Tennessee State Penitentiary	96	62	65%	83	58	70%	154	96	62%
Whiteville Correctional Facility	71	50	70%	104	72	69%	90	70	78%
System-wide Total	654	464	71%	922	685	74%	1,178	786	67%

*Morgan County's totals are included in Brushy Mountain Correctional Complex's numbers.

- inmates who lack the secondary school credits commensurate with the licensing board requirements for entering and obtaining a license in the vocational trade being proposed.

The Tennessee Department of Education awards certificates to inmates upon completion of a vocational program. A select number of programs offer certification through the U.S. Department of Labor.

Table 13 lists the vocational programs (with capacity) available at the institutions as of October 15, 2008.

According to policy, the department will coordinate vocational programs with academic programs when possible, to ensure relevancy of employment opportunities in the community job market. The Director of Education must approve vocational programs being considered for implementation. Table 14 lists the number of vocational certificates issued at each institution for fiscal years 2004 through 2008.

Post-Secondary Education Programs

Qualified inmates may participate in college-level studies. The department must make courses available to inmates, at least by correspondence. The financial responsibility is that of the inmate. The warden or his/her designee must approve all correspondence courses. Designated Department of Correction staff oversee an inmate's participation and progress.

The Department of Correction has partnered with two universities to offer college-level courses. David Lipscomb University, a private institution in Nashville, offers undergraduate courses at the Tennessee Prison for Women (TPW) in Davidson County. TPW staff complete the screening for participants, and review behavioral and academic criteria. The only Lipscomb requirement is a high school diploma or GED. The courses have 15 women enrolled from the TPW and can have up to an additional 15 "traditional" students from Lipscomb. Courses began in spring 2007, with one course offered each semester. As of spring 2008, there has been a 100% retention rate for the TPW students.

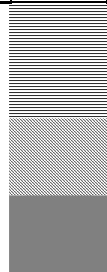
**Table 13
Vocational Programs Capacity
2008**

Programs	Minimum Education Required	Total Class Hours	HCCF	MCCX*	MLCC	NECX	NWCX*	RMSI	SCCF	STSR	TCIP	TPFW	WCFA	WTSP	Positions Available
Automotive Mechanical Technology	10th Grade Level	1,500					22								22
Barbering	Diploma/GED	1,500					15			12				20	47
Barbering Instructor	Diploma/GED	450					3								3
Career Management for Success	9th Grade Level	480	40	20	20	60	40	30	20	20	40	20	20	60	390
Core, Carpentry	9th Grade Level	2,500	80	40	20	60	100	15	20	20	40	11	40	20	466
Foundations of the Hospitality Industry, Culinary Arts	9th Grade Level	3,000		20		20				20	20	20		20	120
Construction Core	9th Grade Level	500	20				20								80
Computer Applications & Literacy	Diploma/GED	1,500							37		20	20	20	39	136
Cosmetology	Diploma/GED	1,500			14						15	16			45
Cosmetology Instructor Trainee	Diploma/GED	500			1						5	3			9
Core, Electrical	Diploma/GED	2,500	40			20	20		20	20			40		160
HVAC & Refrigeration	Diploma/GED	2,500		20			20			20				20	80
Landscaping /Horticulture/ Groundskeeping	9th Grade Level	1,200	20	20		20	20		20		15	20			135
Leisure Craft/Small Engine Technology	Diploma/GED	1,200		20			20						20	20	80
Masonry	9th Grade Level	2,500					22	15	20	20			40	20	137
Plumbing	10th Grade Level	2,500					21		20						41
Welding	9th Grade Level	2,000					22								22
Total Positions Available			180	140	55	200	345	118	157	132	155	110	180	219	1,991

No vocational programming at DSNF, CBCX, BMCX, and WCBC. See page 5 for facility acronyms.

All programs offer a Dept. of Education certificate

* Offers a certificate through the U.S. Department of Labor



Class has extra positions for Special Education students.

Class has been established but not yet started.

Class is suspended. Instructor vacancy.

Table 14
Vocational Certificates Issued
Fiscal Years 2004 Through 2008

Institution	Fiscal Year 2004	Fiscal Year 2005	Fiscal Year 2006	Fiscal Year 2007	Fiscal Year 2008	Total
Brushy Mountain Correctional Complex	0	0	0	0	0	0
Charles Bass Correctional Complex	0	0	0	0	0	0
DeBerry Special Needs Facility	0	0	0	0	0	0
Hardeman County Correctional Facility	232	471	263	167	169	1,302
Mark Luttrell Correctional Complex	30	44	17	22	23	136
Morgan County Correctional Complex	51	11	65	21	53	201
Northeast Correctional Complex	129	147	63	83	114	536
Northwest Correctional Complex	99	138	80	147	267	731
Riverbend Maximum Security Institution	38	42	11	27	33	151
South Central Correctional Facility	281	198	277	314	167	1,237
Southeastern Tennessee State Regional Correctional Facility	37	33	44	59	109	282
Tennessee Prison for Women	67	34	29	31	27	188
Turney Center Industrial Prison	107	115	71	102	132	527
Wayne County Boot Camp	0	0	0	0	0	0
West Tennessee State Penitentiary	63	107	120	118	135	543
Whiteville Correctional Facility	300	425	433	274	113	1,545
Total	1,434	1,765	1,473	1,365	1,342	7,379

The other partnership is with the University of Tennessee at Martin, resulting from the department's receipt of an Incarcerated Youth Offenders grant from the U.S. Department of Education. The \$292,527 grant is for one year (July 1, 2007 – June 30, 2008), and two subsequent years if funding is appropriated. (The department has received funding for fiscal year 2009.) Participants must be age 25 or younger, incarcerated in a state prison, and within five years of release or parole eligibility. Initial screening is done by the department. This partnership began in spring 2008, and courses are offered at the Northwest Correctional Complex in Lake County. Two courses were offered during the first semester, with 17 inmates enrolled in one course and 13 inmates enrolled in the second course. Table 15 lists the number of inmates who were enrolled in college courses during fiscal years 2005 through 2008.

Inmates may be awarded an Educational Good Time Credit, a one-time credit of 60 days that may be given to an eligible prisoner who successfully receives a General Educational Development diploma, a two- or four-year college degree, a two- or four-year certification in applied sciences, or vocational certificates that comprise completion of a job cluster.

The Department of Correction provides a variety of educational opportunities for inmates. As stated on its website, the department believes that education and training play a key role in inmates' rehabilitation, and that with additional education and training, an inmate will be less likely to reoffend.

Table 15
Inmates Enrolled in College Courses

Institution	Fiscal Year 2005	Fiscal Year 2006	Fiscal Year 2007	Fiscal Year 2008
BMCX	33	34	30	0
CBCX	0	30	21	10
DSNF	12	0	0	5
HCCF	14	0	0	7
MCCX	0	0	0	25
MLCC	9	8	16	27
NECX	74	83	*1	75
NWCX	0	0	0	17
RMSI	20	12	18	17
SCCF	21	7	7	22
STSRC	0	0	0	0
TCIP	34	25	29	33
TPFW	8	8	15	34
WCBC	46	10	0	0
WTSP	3	4	1	1
WCFA	2	3	9	1
Total	276	224	147	274

* The department believes this number may be inaccurate.

TRICOR PURCHASES

The Tennessee Rehabilitative Initiative in Correction (TRICOR) was created to provide occupational and life skills training for Tennessee's incarcerated population through job training, program opportunities, and transitional services designed to assist offenders with their reintegration into society. TRICOR is self-supporting, generating revenue through the sales of products and services. The Corrections Corporation of America (CCA), which manages three of the state's adult correctional facilities, is to purchase inmate uniforms—which include shirts, pants, and jackets—from TRICOR, pursuant to Section 41-21-234, *Tennessee Code Annotated*, and CCA's contract with the department. (Although CCA is strongly encouraged to purchase other products, such as food products, from TRICOR, CCA is not required to purchase the other products from TRICOR.) According to sales invoices provided by TRICOR, CCA purchases far fewer inmate uniforms from TRICOR than comparable Department of Correction facilities (i.e., the Northwest and Northeast correctional facilities).

TRICOR staff supplied auditors with sales invoices that compared the CCA facilities—South Central, Hardeman County, and Whiteville correctional facilities—with the comparable

department facilities, and there is a significant difference in purchases. (See Table 16.) The major reason for the large difference in total purchase amounts is that the Department of Correction facilities purchase significant amounts of TRICOR goods and services other than inmate uniforms, such as staff uniforms, footwear, beverage and dairy products, bed linens and blankets, and printing services. CCA facilities, in contrast, purchase very few items other than the required inmate uniforms. Even when comparing only the purchases from TRICOR for required inmate clothing, however, there is still a significant difference in purchase amounts. Auditors' review of a sample of Department of Correction monitoring documents found that, according to department monitors, CCA had complied with requirements regarding the purchase of TRICOR uniforms. Therefore, it appears that CCA simply purchases inmate uniforms less often than the Department of Correction facilities.

SECURITY THREAT GROUP MANAGEMENT

In 1999, as a result of increasing gang activity in the prison population, the department created the position of Security Threat Group Coordinator. Since then, the department has developed a program focused on addressing gang-related activities. According to department policies and procedures, a Security Threat Group (STG) includes any group, organization, or association of individuals who possess common characteristics that distinguish them from other groups or individuals, and who have been determined to be acting so as to pose a threat or potential threat to staff, other inmates, the institution, or the community. A security threat group suspect may be any inmate who has been investigated and found to have at least one established identifier that would lead a reasonable person to believe that an association exists with a security threat group but who has not yet met the ten-point criteria for confirmation. Each institutional STG coordinator is responsible for identifying inmates who are STG suspects, members, leaders, and those who wish to voluntarily renounce their STG status. The STG coordinator is also responsible for gathering, accumulating, and disseminating information regarding inmate STG activity.

Once the inmate has been confirmed as an STG member, the warden may recommend to the STG Hearing Committee that the inmate be placed in either the STG Phase Program at Southeastern Tennessee State Regional Correctional Facility (STSRFC) in Bledsoe County or the STG Housing Unit at Northeast Correctional Complex (NECX) in Johnson County. Inmates are sent to one of these two facilities in order to persuade them to renounce their gang membership. Programming is offered and administered in a classroom setting at both facilities. While inmates are participating in the STG program, staff more closely monitor phone calls and mail, and perform searches regularly. After inmates have successfully completed their programming and renounced their gang affiliation, they are taken back to a general population setting and are tracked for a period of one year. This tracking ensures that the returning inmates do not involve themselves with the gang again and provides a measure of the program's effectiveness.

**Table 16
TRICOR Sales**

Location	Assigned Population Count (1)	Total TRICOR Sales				TRICOR Sales— Mandated Inmate Clothing (3)			
		Fiscal Year 2008 (2)	Fiscal Year 2007	Fiscal Year 2006	Fiscal Year 2005	Fiscal Year 2008 (2)	Fiscal Year 2007	Fiscal Year 2006	Fiscal Year 2005
Northeast Correctional Complex	1,800	\$908,823.61	\$911,296.56	\$809,635.01	\$312,153.15	\$76,123.06	\$94,534.15	\$72,567.22	\$47,444.50
Northwest Correctional Complex	2,338	\$1,158,710.81	\$1,087,147.80	\$1,013,978.30	\$432,380.34	\$130,009.53	\$126,048.66	\$131,862.37	\$122,949.61
CCA South Central Correctional Center	1,643	\$12,432.32	\$13,916.06	\$8,923.10	\$17,257.30	\$9,765.13	\$10,065.25	\$8,747.90	\$8,218.90
CCA Hardeman County Correctional Facility	1,998	\$13,613.83	\$14,563.22	\$17,374.66	\$18,582.31	\$13,511.83	\$13,712.01	\$13,193.65	\$17,955.25
CCA Whiteville Correctional Facility	1,513	\$2,722.65	\$3,150.72	\$22,138.17	\$3,775.47	\$2,722.65	\$2,947.68	\$21,744.42	\$3,425.10

(1) Count as of May 15, 2008.

(2) Sales from July 1, 2007, through April 30, 2008.

(3) Includes inmate clothing required by statute, which consists of shirt, pants, and jacket.

Source: Tennessee Rehabilitative Initiative in Correction (TRICOR).

The STG Housing Unit Program at NECX was started on December 29, 2006, and is capable of housing up to 128 STG inmates. The concept behind the STG Housing Unit is containment. STG members at this facility are not required to participate in unit programs; however, there is programming available to inmates assigned to this unit. Because participation is voluntary, placement in the STG Housing Unit can be an indefinite assignment. If inmates choose to participate in the unit programs, they must complete all programs, remain write-up free, and obtain their GED or documentation stating that they have advanced as far as they can in education. Afterwards, the inmates may renounce their gang affiliation and be placed on STG Monitoring for one year in a general population setting. An inmate may also be discharged from the STG Housing Unit at the discretion of the warden based on institutional needs.

Of the 189 inmates who participated in the STG Housing Unit through April 23, 2008, 97 inmates have the potential to successfully complete the program, assuming they do not violate their one-year monitoring period. Table 17 details the number of inmates who have participated in the Housing Unit Program at NECX.

Table 17
Security Threat Group Housing Unit at
Northeast Correctional Complex
December 29, 2006–April 23, 2008

Status	Number of Inmates
Inmate Appealed Placement and Was Removed From STG Housing Unit	14
Sentence Expired/Paroled	19
Placed on Administrative Segregation	18
Placed on Protective Custody/Transferred Due to Incompatibles	12
Removed From Housing Unit Due to Annex Eligibility	24
Violations From Monitoring	5
Placed on Monitoring From the Program	97
Total	189

The Security Threat Group Phase Program at STSRCF was started in Spring 2000 and is capable of housing up to 94 inmates. The program at STSRCF is a behavior management program geared toward inmates who tend to be problematic. This program is targeted toward inmates who are stepping down from maximum custody following an STG incident or those who have been involved in recent STG activity and have fallen just short of consideration for

maximum security placement. The programming at STSRCF is delivered in three 90-day phases and uses in-cell workbooks and/or some small-group programming. As inmates successfully complete each phase, some of the privileges that have been taken away from them are reinstated.

Participation in the STG Phase Program at STSRCF is mandatory, and there are consequences if inmates refuse to participate. Those who fail to complete the program within 12 months or who exhibit an unwillingness to participate will receive a Class A disciplinary for refusal to participate. Inmates involved in the STG Phase Program who are terminated for refusing to participate or for receiving serious disciplinary infractions are either placed on administrative segregation (maximum custody), or if circumstances warrant, may be transferred to the STG Housing unit at the Northeast Correctional Complex, at the discretion of the STG Program Supervisor. Inmates are currently given a maximum of two chances in order to complete the programs. Once inmates have been given the opportunity twice and failed, they will keep their STG status for the remainder of their incarceration and any future incarcerations.

Of the 106 inmates who participated in the STG Phase Program in fiscal year 2006, 54 inmates successfully completed the program, as well as the associated one-year monitoring period. During fiscal year 2007, 45 of 97 inmates successfully completed the program and monitoring period. Table 18 illustrates these results in greater detail.

Table 18
Southeastern Tennessee State Regional Correctional Facility
STG Phase Program Information as of April 2008

	Phase Program Fiscal Year 2006	Phase Program Fiscal Year 2007	Phase Program Fiscal Year 2008	Total
Successfully Completed Phase Program and 1-year Monitoring	54 (a)	45 (b)	0	99
Finished Program But Violated Terms of Associated 1-year Monitoring	39	19	11	69
Terminated From the Program (c)	8	5	12	25
Expired Sentence or Was Paroled Before Completion of 1-year Monitoring	4	9	2	15
Monitoring Period Extended Because of Disciplinary Activity	1	3	4	8
Currently on Monitoring	0	16	66	82
Total	106	97	95	298
Percentage of Inmates Who Successfully Completed the Program and 1-year Monitoring	50.9%	46.4%		

Notes:

- (a) Ten inmates (18.5%) later were returned to active STG status because of STG activity.
- (b) Four inmates (4.4%) later were returned to active STG status because of STG activity.
- (c) Inmate was then placed in administrative segregation or protective custody.

It appears that although the Security Threat Group (STG) programs do not completely impede inmate affiliations with gangs, they succeed by separating gang members and moving them away from the general population. This disrupts the gangs' communication system, their ability to grow, and their ability to recruit new members. Currently, there are no written goals, no defined percentages, and no up-to-date success/failure rates. Department management should define goals that they wish to accomplish with each STG program, identify a percentage of inmates that they intend to successfully convert from their gang affiliation, and maintain records on inmates who later revert back into gang activity, in order to determine if the program is effective.

REVIEW OF MEDICAL CO-PAYMENT DOCUMENTATION

According to Department of Correction Policy 113.15, when inmates initiate medical, nursing, dental, or any other health services encounters, the department is to charge the inmates a co-payment of \$3.00 for all routine scheduled or non-scheduled encounters with healthcare staff. The health administrator must periodically audit documentation to ensure that co-payment charges are being made for all chargeable encounters, and that no charges are being assessed for non-chargeable encounters. A chargeable visit is an encounter with institutional healthcare staff that is provided for an inmate pursuant to the inmate's request or initiation of a visit either through sick call or an unscheduled walk-in visit. A non-chargeable visit is an encounter with institutional healthcare staff generated by department or privately managed facility staff through department policy, such as a documented health services staff-directed follow-up to a previously identified condition, or because of a job-related injury.

Auditors requested co-payment documentation from all 16 state prisons for fiscal years 2005 through 2008. Not all institutions were able to produce co-payment documentation for the entire time period. Since department policy only requires periodic co-payment audits, institutions may determine how often to conduct audits. Documentation received from institutions reflects daily, weekly, monthly, and quarterly audits. The department does not provide, or require institutions to use, standard audit forms. Consequently, information recorded by the institutions is not uniform, and can vary significantly. Each institution, with the exception of Southeastern Tennessee State Regional Facility (STSRF) in Bledsoe County provided a list of co-payment charges that had been reviewed. STSRF only provided a memorandum stating that co-payments had been reviewed for July 2008 and that everything was correct. Auditors requested documentation of those reviews, but STSRF was unable to provide any documentation.

Auditors selected a random sample of ten co-payment charges from each institution (except STSRF). We compared the documentation received from the institution with the information recorded in the Tennessee Offender Management Information System (TOMIS), in order to determine if the documentation received from the institution is consistent with the information in TOMIS. For the sample reviewed, the information in TOMIS appears to accurately reflect the documentation received from the institution.

MANAGEMENT OF PHARMACEUTICALS

Department of Correction Policy 113.70 states that the department must ensure compliance with state and federal laws governing pharmaceuticals and promote management of pharmaceuticals in accordance with professional standards of care and sound security practices. All correctional facilities must regulate the handling of medication used within the facility in accordance with professional standards of care, good security practice, and the appropriate state and federal laws and procedures. Each pharmacist must conduct documented inspections at least quarterly of all drugs and pharmaceutical materials kept in the institution, in accordance with state laws. Each inspection includes a review of opened medications, expiration dates, destruction of discontinued/outdated-controlled medications, and other important information. Auditors reviewed the pharmaceutical inspection reports from each state prison for January 2006 through February 2008. From our review, it appears the inspection reports were completed as required.

Department of Correction Policy 113.70 also states that each correctional institution must have written procedures in its health services unit manual describing the control of medications. Each institution must maintain a current list of controlled medications kept in stock. Licensed nursing personnel are to administer all medications. Personnel are to administer controlled medications and drugs considered to be of high abuse potential on a dose-by-dose basis only. They may distribute non-controlled drugs that are not subject to abuse and non-psychotropic medication in one month's supply. Upon administration or distribution of prescribed medication, personnel record all pertinent information on the Medication Administration Record, which serves as a permanent record of medication administered/distributed to the patient. We requested and reviewed the control of medication policy from each institution. Based on our review, institutions have the appropriate, required policies in place.

RECOMMENDATIONS

ADMINISTRATIVE

The Tennessee Department of Correction should address the following areas to improve the efficiency and effectiveness of its operations.

1. The Commissioner should ensure that Department of Correction staff use the monitoring process the department has in place and hold contractors accountable for meeting agreed-upon contract provisions. Program staff should promptly report to upper management any departures from the terms of a contract. Department management should take action against contractors that repeatedly fail to meet contract requirements or do not correct an area of noncompliance in a timely manner. If revisions to contract terms need to be made or are agreed upon with the contractor, department staff should ensure that the changes are formalized and approved in writing by all the appropriate parties before department monitoring instruments and contractor responsibilities are modified.
2. Appropriate department management should review contracts and contract compliance several months before expiration of the contract, so that needed revisions to the contract can be made and that, in the event the contractor is not meeting contract requirements, the department will have sufficient time to seek out other vendors providing the same service.
3. Department management should ensure that future contracts with Spectrum (and other similar contractors) include consequences, such as the assessment of liquidated damages, for failure to meet contract requirements.
4. Department management should take appropriate action to ensure that all health intake examinations are completed within 14 calendar days of an inmate's arrival at the reception center. If the department determines that health intake examinations are actually completed within 14 days of arrival, but that there is a delay in entering examination dates into TOMIS or the dates entered were incorrect, management should work with data entry staff and Information Systems staff to address these issues and ensure that data in TOMIS are accurate and entered timely.
5. The Policy, Planning and Research office should coordinate the collection of all data necessary to create an expanded database for recidivism, containing offender information on prior convictions, current conviction and sentence, program participation, and outcome measures. To ensure a more accurate recidivism rate, the department should consider using more than one calculation measure. (Although also tracking convictions in states other than Tennessee would provide a more complete picture of recidivism, such tracking would be difficult and time consuming.) The

department should develop and implement a database to conduct ongoing evaluations of the rehabilitative and pre-release programs. The database should include overall measures of program effectiveness based on program outcomes, recidivism rates for program participants, and costs of the programs. The department should also develop and implement a policy to ensure that data reliability testwork is conducted by each relevant program director before the information is included in the recidivism database.

6. Pre-Release Services management should work with Division of Policy, Planning and Research staff to develop a system to monitor the short-term and long-term outcomes of the pre-release programs, including tracking recidivism rates, to help the department identify additional needs, as well as determine the most effective programs and program components. To that end, the department should consider creating a control group of inmates not enrolled in the pre-release and transitional programs to compare to those in the program. The department should also develop a data reliability cross-checking system to verify accuracy of the data. The department should ensure that all department correctional facilities, as well as the private facilities, have the same supplies and materials to successfully prepare the inmates for reentry into the community.

Appendix
Tennessee Department of Correction
Title VI Information

All programs or activities receiving federal financial assistance are prohibited by Title VI of the Civil Rights Act of 1964 from discriminating against participants or clients on the basis of race, color, or national origin. In response to a request from members of the Government Operations Committee, we compiled information concerning federal financial assistance received by the Tennessee Department of Correction and the department's efforts to comply with Title VI requirements. The results of the information gathered are summarized below.

The department submitted its Title VI Implementation Plan (Title VI Plan) revision and report for 2007-2008 to the Division of State Audit on February 22, 2008. According to the plan, the department received federal funding (estimated) for adult institutions that included School Lunch Program funding of \$130,700; a Criminal Justice grant of \$318,800; State Criminal Alien Assistance Program funding of \$231,800; an Educating Youthful Offenders grant of \$100,000; and a Prison Rape Elimination Act grant of \$235,300.

Title VI Coordinator Responsibilities

The department's Title VI Coordinator is responsible for monitoring compliance for the department; scheduling annual Title VI training; maintaining a Title VI Implementation Plan and submitting report and plan updates to the Division of State Audit by October 1 of each year; and responding to Title VI correspondence referred to the department's central office.

Each division in the department with administrative responsibility for correctional facilities also appoints a division coordinator, and local coordinators are appointed for each institution.

The Title VI Coordinator is assisted by a departmental coordinating committee appointed by the commissioner. Committee members include the General Counsel, the Director of Policy, Planning and Research; the Director of Compliance; the Executive Assistant to the Commissioner; and representatives from the divisions of Institutional Operations and Fiscal and Administrative Services, as well as representatives from other department divisions.

Reports

According to the Title VI Coordinator, the Department of Correction maintains a Title VI Implementation Plan and submits the annual compliance report and plan updates to the Division of State Audit by October 1 of each year. The department submitted its Title VI Plan revision and report for 2008-2009 to the Division of State Audit on April 1, 2009.

Title VI Training

According to the Title VI Implementation Plan, employees receive information regarding the obligations and rights under the Title VI program during new employee orientation. In

addition, refresher training is provided during annual in-service training. Employees are also trained on procedures for handling complaints during new supervisor training. Inmates are advised of Title VI information during institutional orientation. The local coordinators are responsible for distributing policies, posters, and pamphlets to all facilities to inform employees, visitors, and inmates of their Title VI obligations and rights. The local coordinators are also responsible for ensuring that the information is available in Spanish or other foreign language translations.

Compliance and Monitoring

The department monitors Title VI compliance at its facilities through annual inspections conducted by the Compliance/Accreditation section. All entities or individuals contracting with the department must sign a statement assuring compliance with Title VI.

According to the Title VI Implementation Plan, the department ensures Title VI compliance by subrecipients providing services or benefits to inmates through the collection and review of data concerning compliance and the completion of program participation – Title VI Tracking CR-3546, that will be submitted on a quarterly basis by institutional staff to the department Title VI Coordinator and submitted to the Director of Policy, Planning and Research by the 15th day of January, April, July, and October.

Title VI Complaints

According to the Title VI Coordinator, the department receives the majority of complaints from inmates. These complaints are referred to the institution for review through the Grievance Procedure, TDOC Policy 501.01, to resolve a complaint alleging a violation under Title VI. If the complaint is determined to be a Title VI complaint, a record of the complaint will be entered into TOMIS by the institutional grievance chairperson. All other complainants submit details of alleged violations via letter to the affected site administrator (e.g., warden, etc.).

According to the Title VI Implementation Plan, inmate grievances claiming discrimination on the basis of an individual's race or ethnicity are logged into TOMIS and are flagged as Title VI complaints. Once a Title VI complaint is received and flagged, it is considered a Title VI complaint until proven otherwise. The validity of a complaint flagged as a Title VI complaint is determined through a review/investigation by the Title VI site coordinator. If it found that the complaint does not meet the definition of a Title VI complaint, the Title VI flag in TOMIS is removed and the complaint is handled accordingly, based on TDOC policy 501.01.

**Title VI Inmate Grievances Filed by Region and Institution
For Fiscal Year 2008**

	Grievances Filed	Resolved Locally	Appealed to Commissioner	Pending
EAST				
Brushy Mountain Correctional Complex	6	1	4	1
Morgan County Correctional Complex	1	1	0	0
Northeast Correctional Complex	1	0	1	0
Southeastern Tennessee State Regional Correctional Facility	4	0	1	3
EAST TOTAL	12	2	6	4
MIDDLE				
Charles Bass Correctional Complex	0	0	0	0
Riverbend Correctional Complex	27	7	18	2
South Central Correctional Facility	1	0	1	0
DeBerry Special Needs Facility	0	0	0	0
Turney Center Industrial Prison and Farm	0	0	0	0
Tennessee Prison for Women	0	0	0	0
Wayne County Annex	0	0	0	0
MIDDLE TOTAL	28	7	19	2
WEST				
Hardeman County Correctional Facility	0	0	0	0
Mark Luttrell Correctional Center	1	1	0	0
Northwest Correctional Complex	16	11	4	1
Whiteville Correctional Facility	0	0	0	0
West Tennessee State Penitentiary	5	2	3	0
WEST TOTAL	22	14	7	1
Combined Total	62	23	32	7

Program Participation

The table on page 58 details participation by incarcerated offenders, by ethnicity, for the following programs: Anger Management, Substance Abuse Treatment, Sex Offender Treatment, Other Mental Health Programs, and Chapter 1 Education. (Other Mental Health programs include basic skills; alternatives to violence; parenting; criminal thinking; life without crutches; and step up/step down, a psychiatric transitional housing program.) It should be noted that not all inmates are eligible for all programs.

**Breakdown of Program Participants by Ethnicity
For Fiscal Year 2008**

Programs	Ethnicity				
	Black	White	Hispanic	Asian	American Indian
Anger Management	1,059	1,000	37	2	0
Substance Abuse	2,176	2,235	131	3	7
Sex Offender	48	170	7	0	0
Other Mental Health *	553	876	40	0	6
Chapter 1 Education	144	50	3	0	0
Total Participation	3,980	4,331	218	5	13

* Other mental health programs include Parenting, Aftercare, Step-up Step-down, Alternatives to Violence, Life Skills, and Drug Education/Awareness programs.

Advisory Boards and Committees

According to the department's Title VI Implementation Plan, the extent to which the Department of Correction relies on planning boards or advisory committees is limited. The Sex Offender Treatment Board is a statewide advisory body that provides assistance and guidance to the department, as well as to other state and local agencies. Members of this board serve four-year terms. Nine members are appointed by the Commissioner of Correction, with the Chief Justice of the Tennessee Supreme Court, the Director of the Tennessee Bureau of Investigation, and the Commissioner of Children's Services each appointing an additional member. The presiding officer of the Sex Offender Treatment Board (who is appointed by the Commissioner of Correction) appoints one member who is a representative of the Board of Probation and Parole. See below for the breakdown of the board members by gender and ethnicity.

Sex Offender Treatment Board as of July 2008

Name	Gender	Ethnicity
Jeanine C. Miller, PhD, Presiding Officer	Female	Black
J. Michael Adler, PhD	Male	White
Pam Beck, JD	Female	White
Jeanne Brooks, Program Specialist	Female	White
Valda Cowan	Female	Black
David Doyle	Male	White
P. Kirk Smith	Female	White
Verna Wyatt	Female	White
Sara Vardell, PsyD	Female	White
Bonnie Beneke, LCSW	Female	White
Bryce Coatney, JD, Counsel to the Board (Ex-Officio)	Male	White
Judy Lambert, Fiscal Advisor to the Board (Ex-Officio)	Female	White
Law Enforcement Representative (Vacant Position)		
Judicial Branch Representative (Vacant Position)		
District Attorney General (Vacant Position)		

The Tennessee Community Resource Board is composed of 17 members. The Speakers of the Senate and the House of Representatives appoint one member each from those legislative bodies, with the remaining 15 members appointed jointly by the Commissioner of Correction and the chairman of the Board of Probation and Parole. Statute requires that at least one of these members must be age 60 or older, and at least one must be a member of a racial minority. Members are to have experience as volunteers in the criminal justice field or in the academic arena of criminal justice or a related field. Members serve for three years and are eligible for successive reappointment. Below is a breakdown of the board members (and state officials who work with the board) by gender and ethnicity. The department was not able to provide information on those members of the board to be appointed by the Speakers of the Senate and the House of Representatives.

Tennessee Community Resource Board as of August 2008

Board Member	Term Ends	Gender	Ethnicity
East Grand Division			
Barbara Medley, PH.D	4/20/2010	Female	Black
Timothy Dempsey (Chair)	4/30/2011	Male	White
Sheila Proffitt	4/30/2009	Female	White
Lee M. Ragsdale III (Treasurer)	4/30/2011	Male	White
Tom McConnell	4/30/2010	Male	White
Middle Grand Division			
VACANT	4/30/2011		
Helen Cox	4/30/2011	Female	White
Linda Knott	4/30/2009	Female	White
Carole McDonald (Secretary)	4/30/2009	Female	White
Tom Hallquist	4/30/2010	Male	White
West Grand Division			
Mario Allen (Vice Chair)	4/30/2011	Male	Black
Barbara Dycus (WCD Chair)	4/30/2009	Female	White
Otis Maclin, Jr.	4/30/2009	Male	Black
VACANT	4/30/2010		
Jeffrey Dockery	4/30/2010	Male	White
Department of Correction			
Richard Dixon	NA	Male	Black
Select Oversight Committee			
Robert McKee	NA	Male	White
Board of Probation and Parole			
Lisa Helton	NA	Female	White

Contracts

Below is a listing of the department’s contractors and a breakdown of department employees by job title, gender, and ethnicity. The department’s staff members are 61% male, 39% female, 76% white, 22% black, and 2% from other minority groups.

**Agency Contracts by Title, Services, Amount, Ethnicity
For Fiscal Year 2008**

Contractor	Service Provided	Begin Date	End Date	Expenditures	Minority Status*
American Correctional Association	Accreditation	4/25/2008	6/30/2008	\$19,125.00	NFP
Ann Tucker Velazco	SOT Conference - Speaker	8/5/2007	8/10/2007	\$1,200.00	F
ATC Healthcare Services	Temporary Nursing Services	7/1/2004	6/30/2009	\$25,723.99	NM
Brandon Medical Group	Physicals	1/1/2006	12/31/2008	\$84,420.00	S
Cardwell C. Nuckols & Associates	SOT Conference - Speaker	8/5/2007	8/10/2007	\$3,564.86	NM
Charlene Steen PHD	SOT Conference - Speaker	8/5/2007	8/10/2007	\$1,102.28	NM
Correctional Counseling, Inc.	A&D Counseling and Anger Management	3/1/2005	2/28/2010	\$42,421.90	NM
Corrections Corporation of America	Manage Institution	7/1/2007	6/30/2010	\$23,563,069.20	NM
Delson-Kokish Associates	SOT Conference - Speaker	8/5/2007	8/10/2007	\$3,168.65	S
Donna L. Moore	Psychologist Consulting Services	1/2/2008	12/31/2010	\$1,400.00	O
Donna L. Moore	SOT Conference - Speaker	8/5/2007	8/10/2007	\$500.00	O
First Medical Management	Health Services	1/1/2006	12/31/2008	\$39,744,202.43	NM
Gerry D. Blasingame	SOT Conference - Speaker	8/5/2007	8/10/2007	\$2,452.00	NM
Guardian Healthcare Providers, Inc.	Temporary Nursing Services	7/1/2004	6/30/2009	\$261,980.33	NM
Hope of East Tennessee, Inc.	Community Reintegration	7/1/2006	6/30/2008	\$78,486.00	NFP
International Center For Health	SOT Conference - Speaker	8/5/2007	8/10/2007	\$1,960.53	S
James S. Walker	Treatment Review Committee - Psychology	5/1/2005	4/30/2010	\$1,232.00	B
Life Counseling Services, PC	Treatment Review Committee - Psychology	2/1/2004	1/31/2009	\$974.40	F
Lisa Fontes	SOT Conference - Speaker	8/5/2007	8/10/2007	\$2,454.04	NM
Lynn Robbins	SOTB Training/ Consultation	8/5/2007	8/10/2007	\$223.22	F
Medtox Laboratories	Confirmation Drug Testing	7/1/2004	6/30/2009	\$56,859.50	NM
Meetings.Com Event Tech.	SOT Conference	6/1/2007	10/1/2007	\$4,175.00	S

Contractor	Service Provided	Begin Date	End Date	Expenditures	Minority Status*
MHM Correctional Services, Inc.	Comprehensive Mental Health Services	1/1/2007	12/31/2009	\$5,444,160.71	NM
Milestone Staffing Services	Temporary Nursing Services	7/1/2004	6/30/2008	\$61,277.73	NM
National Toxicology Specialist	Alcohol/Controlled Substance Test	7/28/2004	7/27/2008	\$525.00	NM
Oklahoma Scoring Services, Inc.	GED Essay Scoring	1/1/2007	12/31/2007	\$2,228.70	F
Oklahoma Scoring Services, Inc.	GED Essay Scoring	1/2/2008	12/31/2008	\$1,712.00	F
Phil Rich	SOT Conference - Speaker	8/5/2007	8/10/2007	\$2,800.00	NM
Phyllis Tarkington	Library Training and Consulting	9/1/2004	8/31/2007	\$95.90	F
Project Return, Inc.	Tennessee Bridges Pre-release Program	11/1/2006	10/31/2007	\$12,974.73	NFP
Project Return, Inc.	Change Is Possible Program	6/18/2007	6/30/2008	\$89,957.61	NFP
Project Return, Inc.	Case Management/ Facilitation - Transition	11/1/2007	10/31/2008	\$30,445.63	NFP
PTS of America, LLC	Interstate Transportation of Inmates	5/1/2006	6/30/2009	\$2,993.44	NM
Scott West, M.D.	Treatment Review Committee - Psychiatry	2/1/2004	1/31/2009	\$5,400.00	NM
Spectrum Health Systems, Inc.	Therapeutic Community	3/1/2006	12/31/2008	\$272,408.42	NFP
Spectrum Health Systems, Inc.	Therapeutic Community	7/1/2006	12/31/2008	\$372,588.04	NFP
Stop It Now!	SOT Conference - Speaker	8/5/2007	8/10/2007	\$630.46	NM
The Sexual Recovery Institute	SOT Conference - Speaker	8/5/2007	8/10/2007	\$2,159.88	S
William Scott West, MD	Mental Health Treatment Review	2/1/2004	1/31/2009	\$5,400.00	NM
Workforce Essentials	Employee Drug Testing	11/1/2006	10/31/2010	\$191,650.25	NM
You Have The Power	Victim Impact Classes	1/2/2008	12/31/2008	\$17,276.11	NFP
Young Women's Christian Association	New Start prerelease training program	7/1/2006	6/30/2007	\$174,774.24	NFP
Total			42 contracts	\$70,592,154.18	

* Contractor Minority Status: B - African American; O - Other Minority; S - Small Business; F - Female; NM - Non-minority/no disadvantaged status; H - Handicapped/Disabled; NFP - Not-for-Profit Corporation.

**Department of Correction Personnel by Title, Gender, Ethnicity
As of September 30, 2008**

Title	Gender		Ethnicity					
	Male	Female	Asian	Black	Hispanic	Indian	White	Other
Account Clerk	9	41	0	6	0	0	42	2
Accountant – Judicial Cost	0	1	0	0	0	0	1	0
Accounting Manager	7	1	0	0	0	0	8	0
Accounting Technician	2	33	1	4	0	0	30	0
Accountant	3	4	0	2	0	0	5	0
Assistant Commissioner	2	1	0	1	0	0	2	0
Administrative Assistant	4	12	0	3	0	0	13	0
Administrative Services Assistant	7	17	0	7	1	0	16	0
Administrative Secretary	0	25	0	4	0	0	21	0
Affirmative Action Officer	0	1	0	1	0	0	0	0
Architect	1	0	0	0	0	0	1	0
Associate Warden – Operations	5	2	0	0	0	0	7	0
Attorney	2	1	0	0	0	0	3	0
Auditor	3	2	0	1	0	0	4	0
Building Maintenance Worker	62	0	0	4	0	1	57	0
Boiler Operator	8	0	0	0	0	1	7	0
Boiler Operator Supervisor	1	0	0	0	0	0	1	0
Budget Analyst Coordinator	0	1	0	0	0	0	1	0
Budget Analyst – Correction	1	1	0	0	0	0	2	0
Chaplain	11	1	0	1	0	0	11	0
Clerk	7	46	0	11	0	0	42	0
Commissioner	1	0	0	1	0	0	0	0
Correctional Captain	55	3	0	13	0	0	45	0
Correctional Classification Coordinator – Adult Services	13	5	0	3	0	0	15	0
Correctional Clerical Officer	29	91	0	31	1	0	87	1
Correctional Counselor	98	72	0	38	1	0	131	0
Correctional Compliance Manager	2	11	0	2	0	0	11	0
Correctional Contract Monitor	2	1	0	0	1	0	2	0
Correctional Corporal	324	74	7	75	3	3	309	1

Title	Gender		Ethnicity					
	Male	Female	Asian	Black	Hispanic	Indian	White	Other
Correctional Facilities Construction Director	1	0	0	0	0	0	1	0
Correctional Health Administrator	3	2	0	0	0	0	5	0
Correctional Health Director	0	2	0	1	0	0	1	0
Correctional Internal Affairs Director	1	0	0	0	0	0	1	0
Correctional Internal Affairs Investigator	7	1	0	1	0	0	7	0
Correctional Instructor	17	2	0	0	0	0	19	0
Correctional Lieutenant	65	6	0	10	0	0	61	0
Correctional Officer	1654	688	12	537	17	7	1765	4
Correctional Program Director	14	9	0	7	0	0	16	0
Correctional Program Manager	3	4	0	2	0	0	5	0
Correctional Program Support Coordinator	5	1	0	2	0	0	4	0
Correctional Principal	5	2	0	2	0	0	5	0
Correctional Sergeant	146	35	0	42	1	0	138	0
Correctional Teacher	27	27	0	13	0	0	41	0
Correctional Teacher Supervisor	5	2	0	1	0	0	6	0
Correctional Unit Manager	27	9	0	10	0	0	26	0
Custodial Worker	1	6	0	1	0	0	6	0
Custodial Worker Supervisor	0	1	0	0	0	0	1	0
Data Entry Operator	0	2	0	0	0	0	2	0
Dental Assistant	0	9	0	2	0	0	7	0
Deputy Commissioner	0	1	0	0	0	0	1	0
Deputy Warden	9	2	0	5	0	0	6	0
Education Consultant	0	1	1	0	0	0	0	0
Electronics Technician	4	1	0	1	0	0	4	0
Equipment Mechanic	1	0	0	0	0	0	1	0
Executive Administrative Assistant	2	7	0	2	0	0	7	0
Executive Secretary	0	15	0	0	0	0	15	0
Facility Administrator	1	0	0	0	0	0	1	0
Facilities Construction Assistant Director	1	0	0	0	0	0	1	0
Facilities Construction	1	0	0	0	0	0	1	0

Title	Gender		Ethnicity					
	Male	Female	Asian	Black	Hispanic	Indian	White	Other
Specialist								
Facilities Manager	12	0	0	1	0	0	11	0
Facilities Safety Officer	12	0	0	1	0	0	11	0
Facilities Supervisor	10	0	0	0	0	0	10	0
Food Service Assistant Manager	5	9	0	4	0	0	10	0
Food Service Director	0	1	0	1	0	0	0	0
Food Service Manager	12	4	1	4	0	0	11	0
Food Service Steward	47	110	1	45	1	0	109	1
Food Service Worker	0	1	0	0	0	0	1	0
Fiscal Director	4	4	0	0	0	0	8	0
General Counsel	0	1	0	0	0	0	1	0
Heating and Refrigeration Mechanic	8	0	0	0	0	0	8	0
Health Information Manager	0	1	0	1	0	0	0	0
Human Resource Analyst	0	14	0	1	0	0	13	0
Human Resource Director	0	1	0	0	0	0	1	0
Human Resource Manager	2	5	0	2	0	0	5	0
Human Resource Technician	0	16	2	3	0	0	11	0
Human Resource Training Supervisor	0	1	0	0	0	0	1	0
Inmate Job Coordinator	4	11	0	0	0	0	15	0
Information Resource Support Specialist	21	3	1	4	0	0	19	0
Information Officer	0	1	0	1	0	0	0	0
Information Systems Analyst	4	4	0	2	0	0	6	0
Information Systems Analyst Supervisor	2	0	0	0	0	0	2	0
Information Systems Consultant	1	0	0	0	0	0	1	0
Information Systems Director	2	1	0	0	0	0	3	0
Information Systems Manager	3	0	0	0	0	0	3	0
Inmate Relations Coordinator	42	35	0	16	3	1	57	0
Laundry Manager	4	3	0	1	0	0	6	0
Laundry Supervisor	0	1	0	1	0	0	0	0

Title	Gender		Ethnicity					
	Male	Female	Asian	Black	Hispanic	Indian	White	Other
Laundry Worker	0	1	0	1	0	0	0	0
Licensed Practical Nurse	20	137	1	51	0	0	103	2
Medical Records Technician	0	3	0	3	0	0	0	0
Medical Records Assistant	0	15	0	0	0	0	15	0
Mental Health Program Specialist	9	15	0	9	0	0	14	1
Mental Health/Mental Retardation Institutional Program Director	3	0	1	2	0	0	0	0
Maintenance Carpenter	3	0	0	0	0	0	3	0
Maintenance Electrician	9	0	0	0	0	0	9	0
Maintenance Plumber	7	0	0	0	0	0	7	0
Nurse Assistant	0	5	0	2	0	0	3	0
Nurse Practitioner	3	7	1	2	0	0	6	1
Pharmacy Technician	0	1	0	0	0	0	1	0
Physical Therapy Technician	1	0	0	1	0	0	0	0
Physician	1	0	0	1	0	0	0	0
Physician's Assistant	2	3	0	0	0	0	5	0
Program Analyst	7	0	0	0	0	0	7	0
Program Analyst Supervisor	2	0	0	0	0	0	2	0
Procurement Officer	7	11	1	1	0	0	16	0
Property Officer	4	6	0	1	0	0	9	0
Psychiatric Social Worker	2	3	0	1	0	0	4	0
Psychologist	0	5	0	0	0	0	4	1
Psychologist Director	1	0	0	0	0	0	1	0
Psychologist Examiner	14	9	0	1	0	0	22	0
Recreation Assistant	4	1	0	1	0	0	4	0
Recreation Specialist	14	2	0	7	0	0	9	0
Recreation Therapist	2	0	0	2	0	0	0	0
Registered Nurse	22	103	5	39	2	0	76	3
Secretary	0	36	0	2	0	0	34	0
Security Guard	4	0	0	0	0	0	4	0
Sentence/Docking Analyst	0	7	0	3	0	0	4	0
Sentence/Docking Management Supervisor	0	2	0	2	0	0	0	0

Title	Gender		Ethnicity					
	Male	Female	Asian	Black	Hispanic	Indian	White	Other
Sentence/Docking Technician	2	15	1	12	0	0	4	0
Statistical Analyst Supervisor	1	0	0	0	0	0	1	0
Statistical Program Supervisor	0	2	0	1	0	0	1	0
Storekeeper	24	44	0	6	1	0	61	0
Stores Manager	10	6	0	0	0	0	16	0
Teacher Assistant – Correction	1	1	0	1	0	0	1	0
Telephone Operator	1	1	0	0	0	0	2	0
Training Academy Superintendent	2	0	0	0	0	0	2	0
Training and Curriculum Director	1	1	0	0	0	0	2	0
Training Officer	1	0	0	0	0	0	1	0
Training Specialist	3	8	0	2	0	0	9	0
Treatment Plant Operator	9	0	0	0	0	0	9	0
Vocational Instructor Per Specialty	51	15	0	5	1	0	60	0
Vocational Instructor FNL	1	0	0	0	0	0	1	0
Volunteer Services Director	2	0	0	2	0	0	0	0
Warden	9	2	0	3	0	0	8	0
Web Developer	0	1	0	0	0	0	1	0
X-Ray Technician	2	0	0	1	0	0	1	0
TOTALS	3,115	1,977	36	1,100	33	13	3,893	17