Oklahoma Board of Corrections

REGULAR MEETING

October 18, 2016

Lexington Assessment & Reception Center

Lexington, Oklahoma

OKLAHOMA BOARD OF CORRECTIONS
REGULAR MEETING

Lexington Assessment & Reception Center
15151 Highway 39
Lexington, Oklahoma
1:00 p.m., October 18, 2016

AGENDA

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

	ITEM	PRESENTER
1.	Call to Order and Roll Call	Michael W. Roach, Chair
2.	Welcome/Remarks	Jim Farris, Warden Lexington Assessment & Reception Center
3.	Old Business	Michael W. Roach, Chair
4.	Approval of Board of Corrections Meeting Minutes of Regular Meeting on September 13, 2016	Michael W. Roach, Chair
5.	Approval of Board of Corrections Policies: ▪ P-070100, Provision of Food Services ▪ P-080100, Mission and Management of Correctional Industries ▪ P-110100, Uniform Personnel Standards	Penny Brooksher, Administrator Auditing and Compliance
6.	Approval of Appointments: ▪ Casey Hamilton, Warden Northeast Oklahoma Correctional Center ▪ Jim Farris, Warden Jess Dunn Correctional Center ▪ Jeorld Braggs, Jr., Warden Lexington Assessment and Reception Center	David Parker, Division Manager East Institutions Greg Williams, Division Manager West Institutions
7.	Notification to Board of Corrections of Emergency Purchases Under $75,000 ▪ Repair or Replacement of Main Water Well Pump for Lexington Assessment & Reception Center and Joseph Harp Correctional Center *"The chief administrative officer of a public agency with a governing body shall notify the governing body within ten (10) days of the declaration of an emergency if the governing body did not approve the emergency. The notification shall contain a statement of the reasons for the action, and shall be recorded in the official minutes of the governing body." 61 O.S. § 130.B*	Joe M. Allbaugh, Director
8.	Monthly Update of FY 2017 Agency Budget	Ashlee Clemmons, Chief Administrator

Business Services

9. Approval of Expenditure of $10.1M Returned to the Oklahoma Department of Corrections — Joe M. Allbaugh, Director

10. Quarterly Update of Financial Internal Audits (April 1 – June 30, 2016) — Patrick Donnelly, Auditor Compliance & Auditing

11. Monthly Update of Offender Population — Laura Pitman, Ph.D., Division Manager Field Services

12. Legislative Update — Marilyn Davidson, Legislative Liaison

13. Committee Reports — Committee Chairs

Standing Committees:

- Audit/Finance – Chair Frazier Henke, Members Todd Holder and Kevin Gross
- Corrections/Criminal Justice Reform – Chair Irma Newburn, Members Gene Haynes and Adam Luck
- Public Policy/Affairs – Chair Gene Haynes, Members Frazier Henke and Irma Newburn
- Population/Private Prisons – Chair Todd Holder, Members Michael Roach and Adam Luck
- Executive – Chair Michael Roach, Members Frazier Henke and Kevin Gross

14. New Business — Michael W. Roach, Chair

15. Announcements — Michael W. Roach, Chair

16. Approval to Adjourn for Executive Session for: — David Cincotta, General Counsel

- Discussion of Pending Investigations and/or Lawsuits
  - *Homicide of Inmate John Vaughan #278519 at Dick Conner Correctional Center (case number IG 16-0133)*
  - *Suicide of Inmate Robert Bishop #180696 at John Lilley Correctional Center (case number IG 16-0145)*
  - *Homicide of Richard Wisener #721688 at Joseph Harp Correctional Center (case number IG 16-0151)*
  - *Savage v. Fallin, et al., US Court of Appeals for the Tenth Circuit, case number 16-6083; US District Court (Western District of Oklahoma) case number 15-CV-01194-HE*
  - *Tiffee v. Corrections Corporation of America, Inc., et al., Payne County District Court case number CJ-2016-378*

"Confidential communications between a public body and its attorney concerning a pending investigation, claim, or action if the public body, with the advice of its attorney, determines that disclosure will seriously impair the ability of the public body to process the claim or conduct a pending investigation, litigation, or proceeding in the public interest." 25 O.S. § 307.B.4.

17. Approval to Return from Executive Session — David Cincotta, General Counsel

18. Adjournment — Michael W. Roach, Chair

The next regular meeting of the Board of Corrections is scheduled for 1:00 p.m. on Thursday, November 17, 2016, at the James Crabtree Correctional Center in Helena, Oklahoma.

Updated on 10/13/2016 7:4 AM

Item #4

OKLAHOMA BOARD OF CORRECTIONS

REGULAR MEETING

Jess Dunn Correctional Center
601 South 124th Street W
Taft, Oklahoma
September 13, 2016

1. Call to Order and Roll Call **Michael W. Roach, Chair**

Chair Roach called the regular meeting of the Oklahoma Board of Corrections (BOC) to order at 1:05 p.m. on Tuesday, September 13, 2016, at the Jess Dunn Correctional Center in Taft, Oklahoma. The final agenda was posted at 11:33 a.m. on September 12, 2016 at the Oklahoma Department of Corrections (ODOC), which is at least twenty-four hours prior to the commencement of the meeting.

Chair Roach asked the clerk to call the roll:

Michael W. Roach, Chair	Present	Adam Luck, Member	Present
Gene Haynes, Member	Present	Irma Newburn, Member	Present
Frazier Henke, Secretary	Present	Michael Roach, Vice Chair	Present
Todd Holder, Member	Present		

Calling of the roll reflected a quorum was present.

2. Welcome/Remarks **David Parker, Division Manager East Institutions**

Mr. Parker greeted the BOC members and thanked all present for attending, noting his appreciation to the staff for their hard work in preparing for the meeting. Mr. Parker provided general information and historical data about the facility. There were no questions or comments from the members.

3. Old Business **Michael W. Roach, Chair**

There was no old business to discuss.

4. Approval of Board of Corrections Meeting Minutes from Regular Meeting on July 7, 2016 **Michael W. Roach, Chair**

Chair Roach stated the BOC had previously received the meeting minutes from July 7, 2016, for review and he would entertain a motion to approve. A copy of the meeting minutes is included in the BOC Packet for September 13, 2016.

Motion: Mr. Gross made a motion to approve the minutes and Ms. Newburn seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – abstain; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The minutes were approved by majority vote and there was no further discussion.

5. **Special Presentation and Recognition of Former Chair, Kevin J. Gross** — **Michael W. Roach, Chair**

Chair Roach provided historical information on Mr. Gross during his tenure with the BOC which included the past three year term as the BOC Chair. On behalf of the members, Chair Roach expressed his appreciation to Mr. Gross for his service to the BOC as well as to the ODOC. Mr. Gross was then presented with a gavel plaque to commemorate his dedication to and service as Chair of the Board of Corrections.

6. **Special Presentation and Recognition of Department of Corrections Staff:** — **Carl Gene Stewart, Resident Agent in Charge, U.S. Department of Justice**

- **Kenneth Yott, Fugitive Apprehension Agent, Office of Inspector General**
- **Tim Coppick, Fugitive Apprehension Agent, Office of Inspector General**
- **Chad Gilley, Chief of Security, Oklahoma State Penitentiary**
- **Michael Sudduth, Captain, Oklahoma State Penitentiary**
- **Shawn Horvat, Lieutenant, Oklahoma State Penitentiary**
- **Thomas McClellan, Lieutenant, Oklahoma State Penitentiary**
- **Kevin Major, Lieutenant, Oklahoma State Penitentiary**
- **Daniel Dixon, Sergeant, Oklahoma State Penitentiary**
- **Bruce Fry, Sergeant, Oklahoma State Penitentiary**
- **Kendall Ballew, Fugitive Apprehension Manager, Office of Inspector General**
- **Johnny Blevins, General Inspector**

On behalf of the Drug Enforcement Administration (DEA) in McAlester, Mr. Stewart recognized and thanked Director Allbaugh as well as multiple ODOC employees for their assistance and support of the DEA's mission. In August 2015, the DEA had identified an organization that was trafficking methamphetamine in southeastern Oklahoma but was being coordinated from inside the Oklahoma State Penitentiary. Once the identities of the individuals involved had been made, it took the coordinated efforts of fourteen law enforcement entities to put a case together which resulted in the successful dismantling of the organization.

The ODOC and each employee listed received a Certificate of Appreciation from the DEA for their cooperation and support during the endeavor.

7. **Approval of Board of Corrections Policies:** — **Michael W. Roach, Chair**

- **P-010200, Operating Procedures and Policies for the Oklahoma Board of Corrections**
- **P-010300, Mission and Organization of the Oklahoma Department of Corrections**
- **P-020600, Legislative Initiative Process**

- **P-030100, Provisions of Services/Inmate Rights and Responsibilities**
- **P-040100, Security Standards for the Oklahoma Department of Corrections**
- **P-090100, Provisions of Programs**
- **P-110300, Drug Free Workplace Program**
- **P-170100, Community Sentencing**

Chair Roach stated the BOC had previously received the policies for review and he would entertain a motion to approve. A copy of the policies are included in the BOC Packet for September 13, 2016.

Motion: Mr. Holder made a motion to approve the policies and Ms. Newburn seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – yes; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The policies were approved by majority vote and there was no further discussion.

8. Approval of Appointment of Terry Royal as Warden of the Oklahoma State Penitentiary — **David Parker, Division Manager East Institutions**

Mr. Parker presented summary on career and education of Mr. Royal before requesting approval from the BOC to appoint him as the warden of the Oklahoma State Penitentiary (OSP).

Motion: Mr. Gross made a motion to approve Terry Royal as warden of OSP and Mr. Holder seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – yes; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The appointment was approved by majority vote. Warden Royal thanked the director and members of the BOC for their approval and support of his appointment. There was no further discussion.

9. Notification to Board of Corrections of Emergency Purchase Under $75,000 — **Joe M. Allbaugh, Director**

- **Purchase of Materials to Cover Roof Damage Caused by Severe Storm at Jess Dunn Correctional Center**
- **Purchase of Materials to Repair Downed Power Lines Caused by Severe Storm at Eddie Warrior Correctional Center**
- **Repairs of Air Conditioning Units at Lawton Community Corrections Center**

Director Allbaugh notified the BOC of his authorization for emergency purchases at three separate locations. Due to roof damage and downed power lines caused by severe storms at the Jess Dunn Correctional Center and Eddie Warrior Correctional Center, respectively, Director Allbaugh has authorized emergency purchases to be made for repairs. Costs at this time are

unknown but are expected to be under $75,000 for each facility. Director Allbaugh has also authorized emergency purchases to repair the air conditioning units at the Lawton Community Corrections Center. Estimated costs are also expected to be under $75,000.

There was no further discussion.

10. Approval of Emergency Declaration Allowing the Director of Corrections to Request to Substitute an Emergency Project for any Other Project or Projects on the Approved Current Fiscal Year's Capital Improvement Plan List — **Joe M. Allbaugh, Director**

- **Replacement of Chiller/Boiler System for A and C Units at Oklahoma State Penitentiary**
- **Replacement of Water Treatment Plant at Mack Alford Correctional Center**

Director Allbaugh requests the approval of the BOC for an emergency declaration to amend the agency's list which was already submitted to the Capital Improvement Board. This would allow for the replacement of the chiller/boiler system on A and C Units at Oklahoma State Penitentiary and replacement of the water treatment plant at Mack Alford Correctional Center to be substituted as priority capital improvement request items.

Motion: Mr. Haynes made a motion to approve the emergency declaration as presented and Mr. Holder seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – yes; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The emergency declaration was approved by majority vote. There was no further discussion.

11. Monthly Update of Agency Budget — **Ashlee Clemmons, Chief Administrator Business Services**

- **FY 2016 (Final Report)**
- **FY 2017**

Ms. Clemmons provided the agency's final FY 2016 budget update as of June 30, 2016 and the FY 2017 budget update as of July 31, 2016. A copy of the updates are included in the BOC Packet for September 13, 2016. Director Allbaugh noted that State leadership had recently returned $10.1 million to the agency. Director Allbaugh advised the BOC members that he and staff will be researching how to distribute the funds that would be beneficial to ODOC employees and he will present a final recommendation at the BOC meeting in October 2016. There was no further discussion.

12. Quarterly Update of FY 2016 Oklahoma Correctional Industries and Agri-Services Budget (April 1 – June 30, 2016) — **La Nita Hilgenfeld, Business Services Coordinator Oklahoma Correctional Industries and Agri-Services**

Ms. Hilgenfeld provided the final quarterly FY2016 budget update for the Oklahoma Correctional Industries and Agri-Services as of June 30, 2016. A copy of the updates are included in the BOC Packet for September 13, 2016. There was no further discussion.

13. Monthly Update of Offender Population **Laura Pitman, Ph.D., Division Manager Field Services**

Dr. Pitman provided the agency's population update as of July 29, 2016. A copy of the update is included in the BOC Packet for September 13, 2016. There was no further discussion.

14. Update on North Fork Correctional Center Transition **Edward L. Evans, Associate Director Field Operations**

Mr. Evans was unable to attend the meeting and Dr. Pitman provided the update on his behalf. She advised the BOC members of the current North Fork Correctional Center (NFCC) inmate population and staffing as well as changes throughout the system with the removal of temporary beds from several facilities. Efforts are ongoing to move inmates out of day rooms and unsecure housing areas.

Dr. Pitman noted she was pleased with the progress of the movements and getting programs into place. The BOC members also expressed their appreciation for efforts of staff in this matter. Director Allbaugh commended the division managers, Greg Williams and David Parker, and their staff for their assistance with the inmate movements from the now-closed work centers to the Oklahoma State Reformatory (OSR) as well as from the OSR to NFCC.

15. Committee Reports **Committee Chairs**

Chair Roach asked the committee chairs for their reports.

- **Audit/Finance Committee**
  The committee met on September 13, 2016 and reviewed the reports presented this date for the budgets. There was nothing further to add to those reports.
- **Corrections/Criminal Justice Reform Committee**
  The committee met to discuss changing the focus of the Female Offender Committee to the Criminal Justice Reform Committee. The committee agreed that the needs of the female offenders within the ODOC are being met by the members of the Population/Private Prisons Committee. The committee also agreed on the new language presented in P-010200, Operating Procedures and Policies for the Oklahoma Board of Corrections, which details the responsibilities of this committee.

  Director Allbaugh noted that the committee Chair, Ms. Newburn, will also serve on Governor Fallin's Criminal Justice Reform Taskforce.
- **Public Policy/Public Affairs Committee**
  The committee did not meet this month.
- **Population/Private Prisons Committee**
  The committee met on September 1, 2016, but there was nothing further to add from this meeting.
- **Executive Committee**
  The committee met on September 23, 2016 to set the agenda for the meeting this date. There was nothing further to report from this meeting.

16. New Business **Michael W. Roach, Chair**

There was no new business to discuss.

17. Announcements **Michael W. Roach, Chair**

Director Allbaugh thanked the warden and staff at JDCC for hosting the meeting this date and providing a tour to the BOC members prior to the meeting.

18. Approval to Adjourn for Executive Session for: **David Cincotta, General Counsel**

- **Discussion of Pending Investigations:**
  - ***Unattended death of inmate Chad Coffey #232211 at Oklahoma State Penitentiary (Case number IG 16-0094)***
  - ***Suicide of inmate James Frosig #202868 at Lexington Assessment and Reception Center (Case number IG 16-0100)***
  - ***Homicide of inmate Gregory Smith #518433 at Mack Alford Correctional Center (Case number IG 16-0108)***

Mr. Cincotta advised the items listed on the agenda would require adjournment to Executive Session for engaging in confidential communications between the BOC and its attorney. He recommended Chair Roach entertain a motion to adjourn.

Motion: Ms. Newburn made a motion to adjourn to Executive Session and Mr. Haynes seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – yes; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The adjournment to Executive Session was approved by majority vote and the BOC adjourned at 1:54 p.m.

19. Approval to Return from Executive Session **David Cincotta, General Counsel**

The BOC returned to the meeting room at 2:22 p.m. and Mr. Cincotta advised the BOC of the approval needed to return from Executive Session.

Motion: Ms. Newburn made a motion to return from Executive Session and Mr. Haynes seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – yes; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The return was approved by majority vote and the BOC resumed the meeting at 2:22 p.m.

20. Adjournment **Michael W. Roach, Chair**

There being no further business to come before the BOC, Chair Roach requested a motion to adjourn the meeting.

Motion: Mr. Holder made a motion to adjourn the meeting and Mr. Gross seconded the motion. The results of the roll call were: Mr. Gross – yes; Mr. Haynes – yes; Mr. Holder – yes; Mr. Luck – yes; Ms. Newburn – yes; Mr. Roach – yes.

The adjournment was approved by majority vote and the meeting ended at 2:25 p.m.

Submitted to the Board of Corrections by:

Kimberley Owen, Minutes Clerk	Date

I hereby certify that these minutes were duly approved by the Board of Corrections on the eighteenth day of October 2016, in which a quorum was present and voting.

Approved by:

John T. Holder, Secretary Board of Corrections	Date

Item #5

Provision of Food Services

In order to provide a healthy environment for incarcerated inmates, the Oklahoma Department of Corrections (ODOC) has established a food service system that meets the standards of the Oklahoma State Department of Health (OSDH). Standardized diets will meet or exceed the recommended dietary allowance as approved by a qualified nutritionist or dietitian. (4-4316M, 2-CO-4C-01)

I. Food Service Standards

Written procedures will be developed for the implementation of the following standards pertaining to food services.

A. Dietary Standards

Recommended dietary standards will be followed regarding the provision of nutritionally adequate, properly prepared, and appropriately delivered meals. (4-4316M)

B. Safety and Sanitation

Safety and sanitation standards will be enforced through inspections and continual monitoring to ensure adequate health protection for staff and inmates. (4-4324M, 4-4325)

C. Supplies and Equipment

A system for procurement and budgeting practices will be established to assure the availability of adequate food supplies and equipment. (4-4314)

D. Records Management

Record keeping and reporting procedures will be implemented to continually evaluate the delivery of services. (4-4315)

E. Delivery of Meal Service

Meals will be provided at least three times a day (including two hot meals) during regular meal times each 24 hour period, ensuring no more than 14 hours between the evening meal and breakfast. Meals will be served under conditions to minimize regimentation and provide for direct supervision by staff members. (4-4326, 4-4328)

F. Diet Modification, Variations and Alternate Meal Service

Diet modifications, meal variations and alternate meal service require adherence to basic nutritional requirements. Meal service for those in segregated housing will not be withheld nor will the standard diet be varied as a disciplinary measure. (4-4320, 4-4328)

G. Training

Staff and inmates who work in food service will be trained in the appropriate use of equipment and safety procedures. (4-4321-1)

II. References

57 O.S. § 533

III. Action

The director is responsible for compliance with this policy.

The director is responsible for the annual review and revisions.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-070100 entitled “Provision of Food Services” dated June 11, 2014

Distribution: Policy and Operations Manuals
Agency Website

Mission and Management of Correctional Industries

The Oklahoma Department of Corrections (ODOC) correctional industries programs provide skills training and work opportunities for inmates in accordance with state statutes. (4-4456) Oklahoma correctional industries programs contribute to reducing, both directly and indirectly, the cost of incarceration.

For the purpose of this policy, the following terms will apply:

Oklahoma Correctional Industries (OCI) is the official title of the correctional industries program responsible for the production of manufactured products and services. Agri-Services is the official title of the correctional industries program responsible for the production of agricultural products. “Correctional Industries” is inclusive of both programs.

The term “inmate” will apply to anyone under the authority, custody or care of a prison or a community-based facility operated by or contracted with the Oklahoma Department of Corrections.

I. Correctional Industries Programs

The primary mission of correctional industries is to maintain a self-sufficient organization that addresses and encompasses best practices to improve inmate successful reentry. (2-CO-5A-01, 4-4458)

A. Industries Goals

1. Provide inmates with the opportunity to develop job skills and work ethics as a means of improving employability after release. (4-4451) The workday for those inmates assigned shall approximate that of the community. (4-4454)

2. Maintain cost effective operations that provide constructive work opportunities and support the development of work ethics for a maximum number of inmates. (4-4452)

3. Reduce the direct and indirect cost of incarceration through the production of necessary goods and services required by the state correctional system at a competitive price.

4. Generate revenues sufficient to continue the growth of the organization.

B. Operations

The operational and business plans will be reviewed on an annual basis and updated as necessary. Plans will address the following:

1. The written operational plans will address the efficient and effective operational management of industries programs, ensuring that all required safety and environmental standards are met. (4-4455M)

2. The written business plan will address subject matter including, but not limited to: planned new product and/or service introductions; development and/or expansion of physical and human resources; an overview of the industries revolving fund cash flow; planned private partnership growth, current and anticipated revenue growth rates; and inmate employment rates. (4-4458)

C. Establishment of Industries

Correctional industries staff consult periodically with peers in the private and public sectors to develop products and/or services and related job skills that are relevant to current employment demand. (4-4453, 4-4467, 4-4468, 4-4469) New correctional industries operations, products and/or services will meet the mission of correctional industries as stated in this policy.

D. Long-Range Planning and Evaluation

Each correctional industries program is responsible for the establishment of a written long-range plan. Plans will be updated annually and submitted to the affected division manager for approval approximately 60 days prior to the effective date of the plan. (4-4107)

II. Private Sector Prison Industries

Correctional industries will recruit within the private sector for the purpose of establishing operations at state owned or privately owned correctional facilities. The purpose of such industry operations will be to provide skills training and work opportunities for inmates.

Appropriate ODOC staff members will be consulted and utilized in the establishment of private sector prison industry operations. The Prison Industry Enhancement Certification Program Guidelines (as published in the Federal Register, April 7, 1999, Volume 64, Number 66, pages 17000-17014) must be followed by any private entity desiring to establish an industry which utilizes inmate labor. Private sector prison industry operations will also adhere to OP-080201 entitled “Private Sector Correctional Industry Standards.”

A. Private Sector Prison Industries Goals

1. Inmate participation in private sector prison industry programs (PIECP) will provide inmates the opportunity to contribute financially

to incarceration costs, victim compensation funds, inmate savings accounts, family support and provide funds for personal use.

2. Programs will also provide inmates with the opportunity to develop skills training and work ethics as a means of improving employability after release. (4-4451)

B. Contract Approval

Contracts for the establishment of private sector prison industries, at private prisons or state owned correctional facilities, will be submitted to the Oklahoma Board of Corrections for approval.

III. References

OP-080201 entitled “Private Sector Correctional Industry Standards”

57 OS § 504.(b)(2), 549-549.2

PIECP Guidelines

IV. Action

The director is responsible for compliance with this policy.

The director is responsible for the annual review and revisions.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-080100 entitled “Mission and Management of Correctional Industries” dated July 17, 2014

Distribution: Policy and Operations Manual
Agency Website

Uniform Personnel Standards

The Oklahoma Department of Corrections (ODOC) creates and administers procedures which ensure the agency's human resources practices comply with all applicable state and federal laws. These procedures establish a professional and ethical standard for the recruitment, selection, retention and promotion of qualified individuals and also serve as a guide for the appropriate management of employee services, benefits, and relations. (2-CO-1C-01, 2-CO-1C-24)

I. Merit System of Employment

The agency's human resources procedures and practices adhere to the principles and guidelines of the Oklahoma Personnel Act and the Merit Rules for Employment pertinent to the rights and responsibilities of employees, supervisors and applicants for employment. The agency employs and promotes qualified staff on the basis of merit, ability, and capacity. (2-CO-1A-29, 2-CO-1C-03, 2-CO-1C-07, 2-CO-1C-08, 2-CO-1C-09, 2-CO-1C-13, 2-CO-1C-14)

II. Equitable Administration

The agency's procedures are equitably administered and enforced, practiced with consistency, and support a non-discriminatory work environment and equal employment opportunity. The agency ensures that employees have access to an internal grievance process consistent with applicable law and rule. (2-CO-1C-02, 2-CO-1C-03, 2-CO-1C-09, 2-CO-1C-10, 2-CO-1C-11, 2-CO-1C-14)

III. Code of Conduct

The agency adheres to professional and ethical standards that will govern its relationships with the public, employees, and inmates/offenders; promotes a safe and humane work environment; affords courteous and respectful treatment; requires diligent performance; and the responsible use of state resources. The agency establishes and enforces rules consistent with such standards. (2-CO-1A-29, 2-CO-1C-04, 2-CO-1C-14, 2-CO-1C-24)

IV. Benefit and Compensation Administration

The agency adopts procedures to ensure that employees have access to all benefit programs to which they are entitled and establishes compensation practices consistent with applicable law and rule. (2-CO-1B-11, 2-CO-1C-05)

V. References

74 O.S. § 840 et seq

Merit Rules for Employment

VI. Action

The director is responsible for compliance with this policy.

The director is responsible for the annual review and revisions.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-110100 entitled "Uniform Personnel Standards" dated January 15, 2015

Distribution: Policy and Operations Manual
Agency Website

Item #6

Casey Q. Hamilton

Education

Spring 2005-2006 **Northeastern State University**
Tahlequah, Oklahoma

◆ Graduation May 2006; Bachelor of General Studies

Spring 2000-Fall 2001 **Kilgore Junior College**
Kilgore, Texas

◆ Graduation December 2001; Associate's Degree in Kinesiology

Employment Experience

April 2015-Present **Oklahoma Department of Corrections**
Helena, Oklahoma

- Deputy Warden II

- Responsible for secondary accountability of the operational and/or administrative aspects of a correctional facility which may include, but are not limited to: security and custodial care, classification, food service, health services, physical plant maintenance, inmate programmatic activities, religious activities, education, laundry, mail, canteen, correctional industries, agri-services. Conducting Criminal and Administrative Investigations within the Oklahoma Department of Corrections.

- Assists the warden in preparing the facility's budget and a variety of correspondence, reports, and recommendations concerning the facility's programs to departmental officials.

- Serves as the primary assistant to the Warden in managing the facility budget, staff and other resources.

- Provides guidance and information as approved by the Warden relating to the interpretation, applications of laws, rules and regulations pertaining to operation of a correctional institution; assists the warden in developing, implementing, and applying department policies and procedures to ensure compliance with statutory and applicable regulatory agencies.

- Provides oversight to contract service providers as appropriate; serves on special project committees on various department related operational activities.

- Serves as a public relations contact for the facility as needed/required.

July 2012-April 2015 **Oklahoma Department of Corrections**
Tulsa, Oklahoma

- Fugitive Apprehension Agent
- Investigator
- Conducting Criminal and Administrative Investigations within the Oklahoma Department of Corrections
- Conducting fugitive apprehension operations within the Oklahoma Department of Corrections

November 2008-July 2012 **Oklahoma Department of Corrections**
Tulsa, Oklahoma

- Probation and Parole Officer
- Supervising Generic and GPS caseloads

September 2007-November 2008 **Tulsa County Sheriff's Department**
Tulsa, Oklahoma

- Detention Officer/Booking Officer
- Supervision of offenders in housing units
- Processing offenders into the facility and releasing offenders from the facility

August 2006-August 2007 **Rusk State Hospital**
Rusk, Texas

- Assignments include interaction, and management of patients
- Supervision of patients daily medication administration
- To oversee patients daily rehabilitation activities

August 2004-November 2004 **Manpower**
Nacogdoches, Texas

- Assignments included the machining of parts
- Quality control of manufactured parts
- Packaging of properly machined parts

September 2003-January 2004 **Texas Department of Criminal Justice**
Livingston, Texas

- Assignments included coordination with coworkers to properly ensure proper offender supervision

- Administration of searches among offenders for contraband

- Maintaining unit security through grounds and cell searches

Awards and Honors

- Northeastern State University- Athletic Scholarship
- University of New Mexico- Athletic Scholarship
- Kilgore Junior College- Athletic Scholarship
- 2013-14 Oklahoma Department of Corrections Employee of the Year

Certifications

- American Red Cross First Aid and CPR Certified
- Cleet Basic Peace Officer Certification
- TASER Certified Instructor
- NRA Handgun Instructor
- Certified Glock Armorer

Jim Farris

Education

1987 – 1990 Southeastern Oklahoma State University Durant, OK
Bachelor of Arts Criminal Justice

1986 – 1987 Murray State College Tishomingo, OK
General Education

1982 – 1986 Coalgate Public School Coalgate, OK
High School Diploma

Work Experience

Lexington Assessment & Reception Center, Lexington, OK 2012 - Present
Warden

- Responsible for the overall operational and administrative functions of the facility which includes security, custodial care, classification, food service, health care, physical plant, inmate programs, religious activities, education, laundry, mail, canteen, correctional industries, and agri-services.
- Ensure facility compliance with departmental policies and procedures. Responsible for interpretation and application of laws, rules and regulations pertaining to operations of a facility.
- Provides facility operational oversight to ensure all security, administrative, and programmatic functions are being carried out effectively, efficiently, and in accordance with departmental guidelines.
- Manages the budget, staff, and physical resources for the facility.
- Provides oversight to contract service providers as appropriate; serves on special project committees regarding a variety of departmental related operations.
- Plans, organizes, and directs all activities of the facility applying the theories, technique, and trends of good correctional administration.

Howard McLeod Correctional Center, Atoka, OK 2011 - 2012
Deputy Warden

- Responsible for secondary accountability of the operational and/or administrative aspects of a correctional facility which may include, but are not limited to: security and custodial care, classification, food service, health services, physical plant maintenance, inmate programmatic activities, religious activities, education, laundry, mail, canteen, correctional industries, agri-services.

- Assists the warden in preparing the facility's budget and a variety of correspondence, reports, and recommendations concerning the facility's programs to departmental officials.
- Serves as the primary assistant to the warden in managing the facility budget, staff and other resources.
- Provides guidance and information as approved by the warden relating to the interpretation, applications of laws, rules and regulations pertaining to operation of a correctional institution; assists the warden in developing, implementing, and applying department policies and procedures to ensure compliance with stator and applicable regulatory agencies.
- Provides oversight to contract service providers as appropriate; serves on special project committees on various department related operational activities.
- Serves as a public relations contact for the facility as needed/required.

Mack Alford Correctional Center, Stringtown, OK 2008 - 2011
Unit Manager

- Supervises and evaluates the performance of unit staff members: provides on the job training to staff members as required, monitor case management activities, maintains a clean, safe, humane, and secure environment.
- Provides for the maintenance, security and control of inmate records assigned to the unit.
- Serves as chairperson of the Unit Disciplinary and Classification Committee, may serve as a member of the institutional Disciplinary Committee.
- Acts as a liaison with private and public agencies such as the courts, and the Pardon and Parole Board, elected officials, etc.
- Submits reports as needed to the warden and deputy warden covering data such as incident reports, food served, leisure time, activities, and other significant events.
- Consults with institutional administration, security personnel and inmates as necessary in their resolution of emergency or extraordinary correctional problems.
- Responsible for administration of unit/work center programs as well as planning, developing, and implementing group/individual programs tailored to the needs of the inmates.

Mack Alford Correctional Center, Stringtown, OK 2006 - 2008
Warden's Assistant

- Supervise areas to include property, laundry, switchboard, law library and Marshall County Jail.
- Prepare all grievances and appeals for MACC.
- Serve as the facility PIO.
- Prepare and serve all legal documents that involve MACC.
- Prepare all reports assigned by the warden including special reports.
- Prepare all letters and memos that the warden assigns.
- Investigate Medium Security PC inmates.

Mack Alford Correctional Center, Stringtown, OK 2001 - 2006
Correctional Case Manager II

- Assigned inmate custody levels, work assignments, transfer packets, adjustment reviews, and new arrival reviews.
- Provide inmate programs such as Transitional Living and Thinking for A Change.
- Served as Disciplinary Chairperson
- Served as Unit Manager in the absence of the Unit Manager.

Mack Alford Correctional Center, Stringtown, OK 1992 – 2000
Correctional Counselor

- Serves as a member of the Unit Classification Team which determines each inmates assigned custody level, work assignment, transfer consideration, release planning, program needs and other considerations pertaining to the inmate's incarceration.
- Serves as a disciplinary chairman and disciplinary investigator.
- Provides written evaluations and recommendations for each on assigned case load.
- Provide inmate programs such as Moral Recognition Therapy and Transitional Living.
- Responsible for unit sanitation and the supervision of inmates.
- Conducts drug testing of inmates assigned to the unit.
- Serves as the Special Olympics Coordinator for the facility.
- Serves as Unit Manager in the absence of the Unit Manager.

Mack Alford Correctional Center, Stringtown, OK
Detailed Unit Manager A-Unit, B-Unit, and SHU
January 1999 – June 1999, January 2000 – August 2000, January 2006 – August 2006

- Supervises and evaluates the performance of unit staff members: provides on the job training to staff members as required, monitor case management activities, maintains a clean, safe, humane, and secure environment.
- Provides for the maintenance, security and control of inmate records assigned to the unit.
- Serves as chairperson of the Unit Disciplinary and Classification Committee, may serve as a member of the institutional Disciplinary Committee.
- Acts as a liaison with private and public agencies such as the courts, and the Pardon and Parole Board, elected officials, etc.
- Submits reports as needed to the warden and deputy warden covering data such as incident reports, food served, leisure time, activities, and other significant events.

- Consults with institutional administration, security personnel and inmates as necessary in their resolution of emergency or extraordinary correctional problems.
- Responsible for administration of unit/work center programs as well as planning, developing, and implementing group/individual programs tailored to the needs of the inmates.

1991 – 1992 Oklahoma State Penitentiary, McAlester, OK
1992 – 1993 Mack Alford Correctional Center, Stringtown, OK

Correctional Officer I

- Performs inmate counts.
- Performs routine duties in the maintenance of proper discipline and security of inmates.
- Responsible for the sanitation of assigned posts.

Special Duties

- NIC Media Relations Training (2006 – 2007)
- PIO - HMCC Correctional Center
- Quality Assurance Facilitator
- Thinking for A Change Instructor
- Correctional Leadership Training
- Duty Officer
- Member of OCA and SSCA

JEORLD BRAGGS, JR.

PROFESSIONAL EXPERIENCE

CCA- CORRECTIONAL CORPORATION OF AMERICA - CIMARRON CORRECTIONAL FACILITY – CUSHING, OKLAHOMA

Assistant Warden of Operations/Programs- 2014 to Present

Key Responsibilities

- Managed the correctional facility by overseeing the maintenance of buildings, properties and equipment
- Planned and assigned and supervised the work of others
- Responds to emergency situations and directed the placement of staff in the event of riots, escapes and other emergencies
- Oversaw the preparation and documentation of work assignments, classification committee, rehabilitative records and reports on offenders
- Audit all areas of the Prison Unit and write findings with recommendations
- Conduct follow-up Audits on all areas of prison unit
- Attend De- Briefings from Auditors from Executive Office and Unit Compliance office
- Respond to findings in writing and address any corrective actions that were recommended
- Provide supervision of Treatment Programs
- Manage the Prison Rape Elimination Act Program on Facility

FORT BEND COUNTY — Richmond, TX

Substance Abuse Aftercare Caseload Officer, 2012 to 2014

Key Responsibilities:

- Targeted offenders who are high risk who abuse alcohol or drugs
- Conducted assessment on each offender to establish appropriateness for caseload
- Supervised plan on offender that addresses their criminogenic needs
- Supervised and document the offender placed in aftercare programs
- Conducted face to face contacts per month
- Conducted Urinalysis/Drug/Hair testing when needed

- Attended pre-trail services
- Data Entry, Filing
- Write Violations
- Conduct Pre-Sentence Investigations

Probation Officer Misdemeanor I, 2010 - 2012

Key Responsibilities:

- Data Entry
- Conducted field site visits
- Conducted assessment on each offender
- Administered drug tests
- Started process for probation violations
- Made sure offenders follow guidelines and rules for probation
- Write Violations

PROFESSIONAL EXPERIENCE *(CONTINUED)*

TEXAS DEPARTMENT OF CRIMINAL JUSTICE — Richmond, TX

Assistant Warden, 2004 – 2010-RETIRED

Key Responsibilities:

- Directed the execution of correctional policies, procedures, rules and regulations
- Managed the correctional facility by overseeing the maintenance of buildings, properties and equipment
- Planned and assigned and supervised the work of others
- Planned and directed procedures and practices relating to the security of offenders
- Responds to emergency situations and directed the placement of staff in the event of riots, escapes and other emergencies
- Oversaw the preparation and documentation of work assignments, classification committee, rehabilitative records and reports on offenders
- Directed inspections of the living accommodations of offenders for proper sanitation and determined whether improvements were necessary
- Audit all areas of the Prison Unit and write findings with recommendations
- Conduct follow-up Audits on all areas of prison Unit
- Prepare the Prison Unit for American Correctional Association National Audit

- Attend De- Briefings from Auditors from Executive offices, National ACA office, Regional Office and Unit Compliance office
- Respond to findings in writing and address any corrective actions that were recommended
- Provide supervision of Treatment Programs

PROFESSIONAL EXPERIENCE *(CONTINUED)*

TEXAS DEPARTMENT OF CRIMINAL JUSTICE — Rosharon, TX

Program Administrator I – Region III Office, 1994 - 2004

Key Responsibilities:

- Conducted program analysis of statistical data submitted by field offices
- Developed and recommended new procedures for field offices
- Reviewed and consolidated field reports for analysis
- Audit food service/laundry department/inmate/officer dining room equipment
- Inspection of serving lines
- Audit state jails/private/TDCJ units in region III
- Developed lesson plans for field office operations within Region III
- Served as Region III budget committee member
- Inspection of Law Libraries

EDUCATION & CERTIFICATIONS

TEXAS SOUTHERN UNIVERSITY — Houston, TX

Bachelor of Science in Public Affairs & Minor Business Administration 1995

FORT SCOTT COMMUNITY COLLEGE — Fort Scott, KS

Associate of Applied Science in General Business 1981

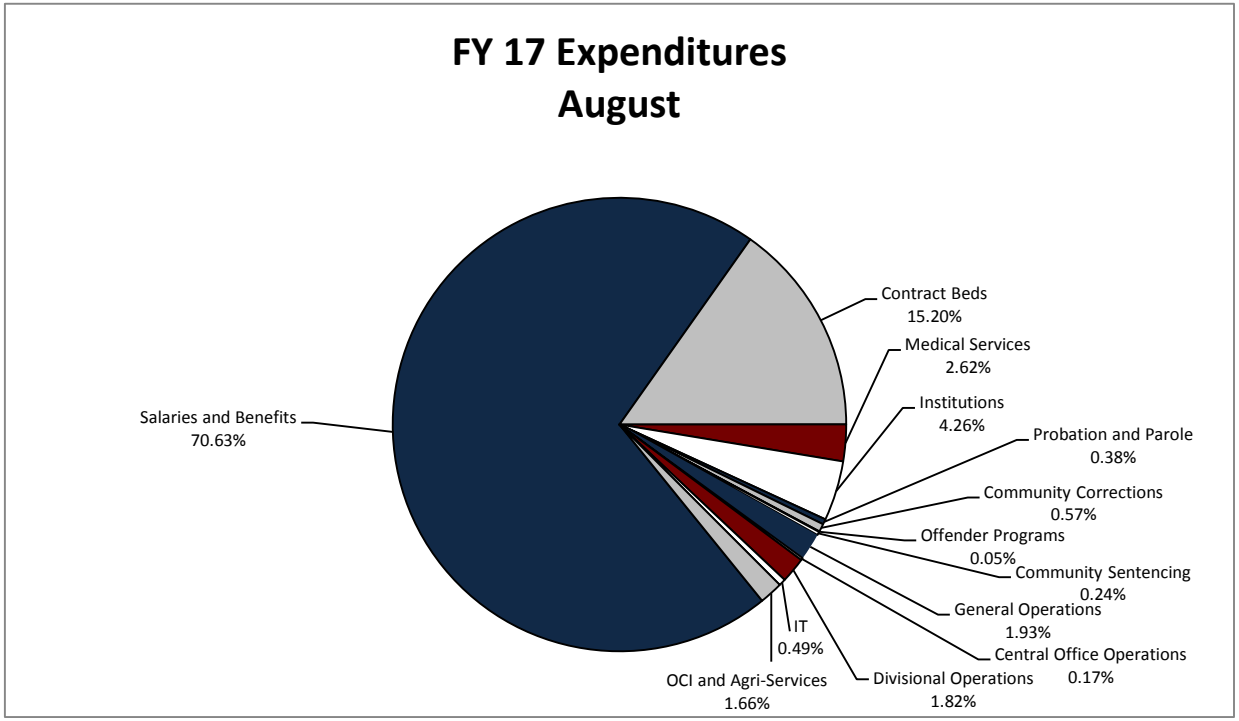
CERTIFICATIONS/TRAINING

- Firearm/ACA Certified
- Psychological Training
- Substance Abuse Training
- Special Needs Training
- Faith Base Training
- Drug/Hair Testing Training
- ACA Training
- SAFPF (Substance Abuse Treatment) Training
- Laundry/Food Service Training
- ServeSafe Food Protection Manager Certification
- PREA –Prison Rape Elimination Act Compliance Manger

Item #8

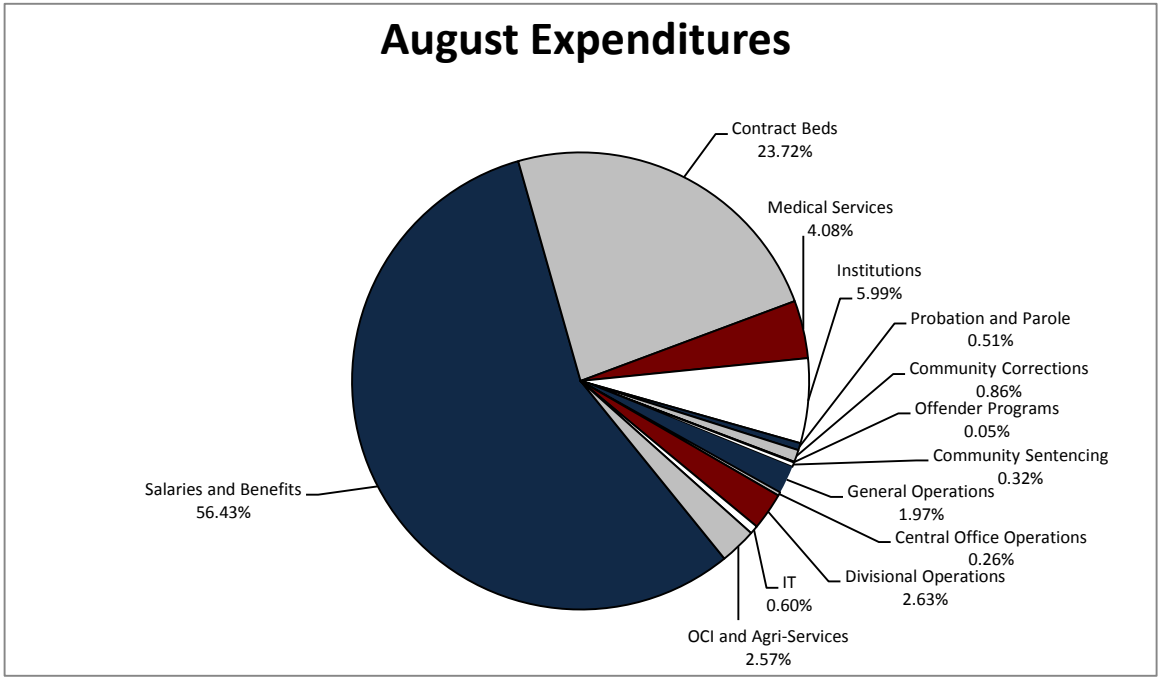
Three Year Expenditure Comparison

	FY 17 August	% Change from FY 16	FY 16 August	% Change from FY 15	FY 15 August
Salaries and Benefits	$ 42,419,173	-0.45%	$ 42,611,245	0.45%	$ 42,421,762
Contract Beds	9,126,340	-14.61%	10,687,847	343.31%	2,410,944
Medical Services	1,571,121	-48.12%	3,028,383	42.31%	2,128,037
Institutions	2,558,980	-10.04%	2,844,464	14.59%	2,482,287
Probation and Parole	228,703	4.43%	219,001	-1.23%	221,736
Community Corrections	340,009	-29.31%	480,956	47.40%	326,290
Offender Programs	27,559	-70.79%	94,338	4.49%	90,287
Community Sentencing	144,025	-37.83%	231,677	25.86%	184,075
General Operations	1,158,849	28.39%	902,606	-17.57%	1,095,061
Central Office Operations	101,106	82.19%	55,495	-9.86%	61,562
Divisional Operations	1,090,243	-7.97%	1,184,603	7.45%	1,102,424
IT	294,275	-56.42%	675,233	9.73%	615,361
OCI and Agri-Services	999,252	9.77%	910,288	-19.24%	1,127,102
	$ 60,059,635	-6.05%	$ 63,926,136	17.80%	$ 54,266,928



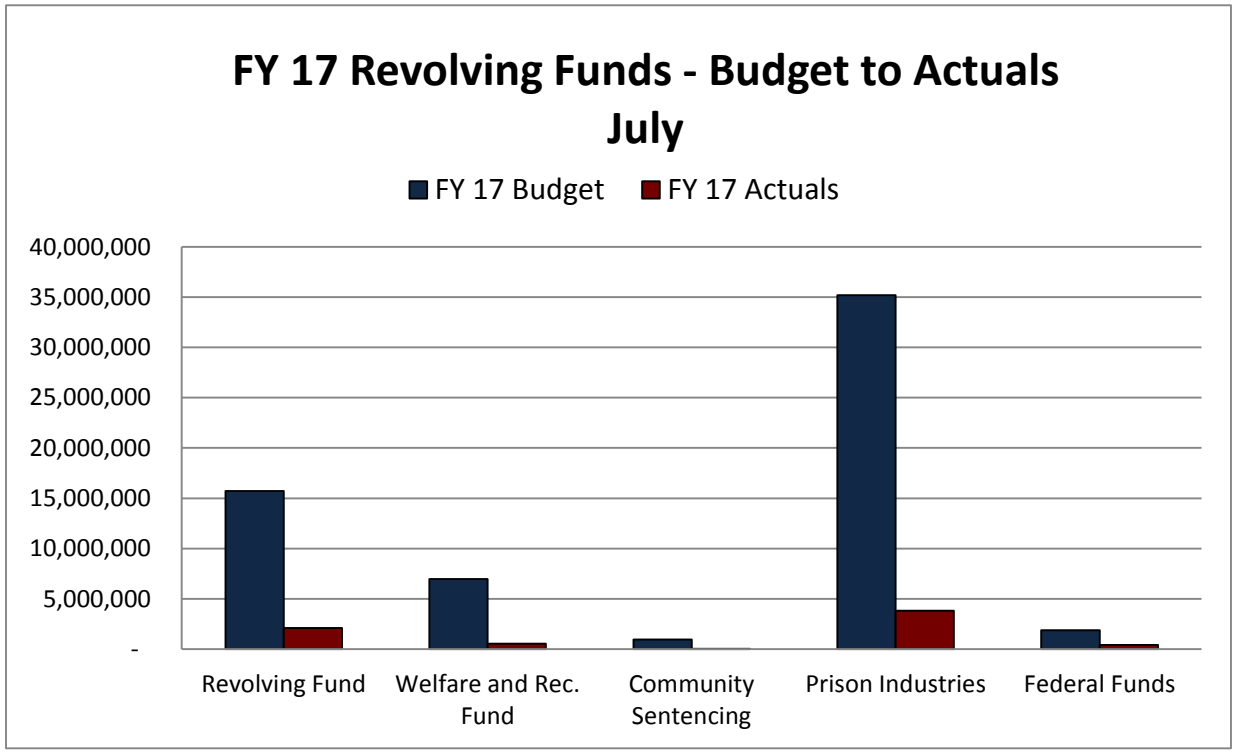
August/July Expenditure Comparison

	FY 17 August	FY 17 July	$ Net Change
Salaries and Benefits	$ 21,711,366	$ 20,707,807	$ 1,003,559
Contract Beds	9,126,340	-	9,126,340
Medical Services	1,571,121	-	1,571,121
Institutions	2,303,344	255,636	2,047,708
Probation and Parole	194,325	34,378	159,947
Community Corrections	330,920	9,089	321,831
Offender Programs	20,559	7,000	13,559
Community Sentencing	123,880	20,145	103,735
General Operations	758,331	400,518	357,813
Central Office Operations	99,091	2,015	97,076
Divisional Operations	1,013,131	77,112	936,019
IT	231,185	63,090	168,095
OCI and Agri-Services	989,777	9,475	980,302
	$ 38,473,370	$ 21,586,265	$ 16,887,105



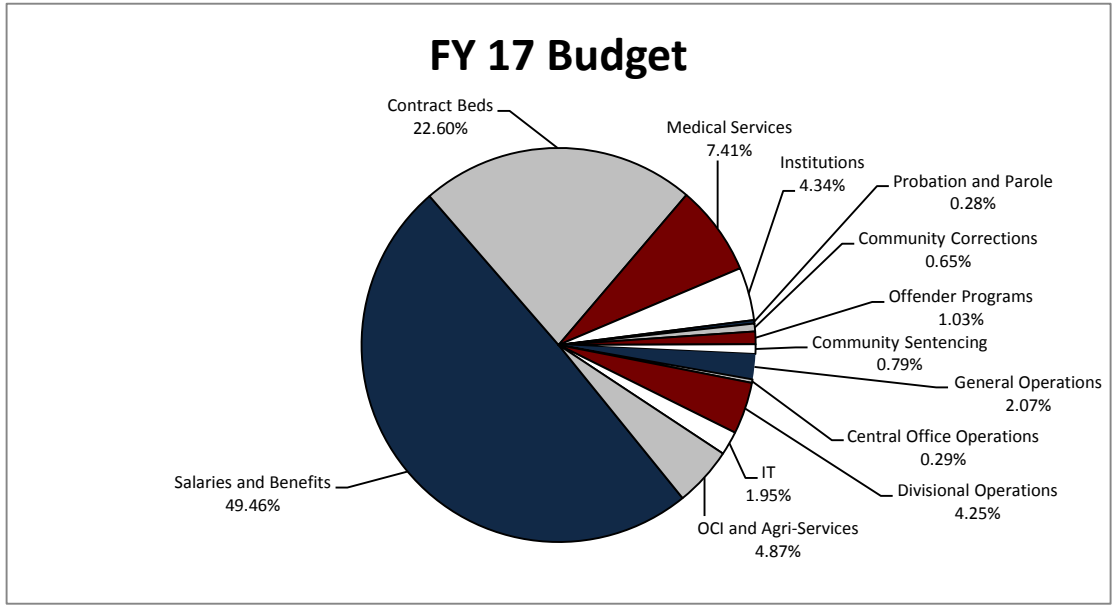
Three Year Revolving Fund Comparison

	FY 17 Budget	FY 17 July	% Change from FY 16	FY 16 July	% Change from FY 15	FY 15 July
Revolving Fund	$ 15,718,213	$ 2,088,997	-22.66%	$ 2,701,121	-0.66%	$ 2,719,070
Welfare and Rec. Fund	6,963,020	526,729	-46.87%	991,325	-48.14%	1,911,511
Community Sentencing	949,297	26,566	-41.94%	45,754	-22.58%	59,101
Prison Industries	35,187,432	3,816,179	-7.27%	4,115,374	-2.28%	4,211,472
Federal Funds	1,865,139	404,708	25.90%	321,464	-11.69%	364,035
	$ 60,683,101	$ 6,863,179	-16.05%	$ 8,175,038	-11.77%	$ 9,265,189



FY 17 Budget Work Program

	Current Budget	Expenditures	Forecasted Expenditures	Balance
Salaries and Benefits	$ 269,113,228	$ 42,419,173	$ 223,477,603	$ 3,216,452
Contract Beds	122,976,935	9,126,340	117,638,748	(3,788,153)
Medical Services	40,305,399	1,571,121	37,650,705	1,083,573
Institutions	23,621,637	2,558,980	28,148,780	(7,086,123)
Probation and Parole	1,532,356	228,703	2,515,733	(1,212,080)
Community Corrections	3,510,937	340,009	3,740,099	(569,171)
Offender Programs	5,618,798	27,559	303,149	5,288,090
Community Sentencing	4,299,491	144,025	1,584,275	2,571,191
General Operations	11,248,813	1,158,849	12,747,339	(2,657,375)
Central Office Operations	1,574,462	101,106	1,112,166	361,190
Divisional Operations	23,135,419	1,090,243	11,992,673	10,052,503
IT	10,629,461	294,275	3,237,025	7,098,161
Outstanding Encumbrances				-
Total	$ 517,566,936	$ 59,060,383	$ 444,148,295	$ 14,358,258
OCI and Agri-Services	26,517,108	999,252	10,991,772	14,526,084
Outstanding Encumbrances				(6,751,372)
Grand Total	$ 544,084,044	$ 60,059,635	$ 455,140,067	$ 22,132,970



Oklahoma Department of Corrections

FY 2017 Appropriated Operating Budget through August 2016

Account Code		Budgeted	Expenditures	Encumbered	Pre-Encumbered	Committed	Total Balance
11,12,13	Payroll, Insurance, FICA and Retirement	$ 262,390,559.00	$ 40,736,766.72	3,612,000.00		$ 44,348,766.72	$ 218,041,792.28
15	Professional Services	128,842,652.00	8,898,960.54	108,381,885.60	541,700.00	117,822,546.14	11,020,105.86
17	Moving Expenses	-		5,219.00		5,219.00	(5,219.00)
19	Flexible Benefits	121,501.00	12,609.75	120,890.25		133,500.00	(11,999.00)
21, 22	Travel	404,051.00	70,603.65	104,095.84		174,699.49	229,351.51
31	Miscellaneous Administrative Expenses	15,835,769.00	1,155,376.35	11,929,609.41		13,084,985.76	2,750,783.24
32	Rent Expense	3,924,170.00	456,048.21	1,811,170.73		2,267,218.94	1,656,951.06
33	Maintenance & Repair Expense	5,472,858.00	393,697.87	1,825,951.75	3,468.00	2,223,117.62	3,249,740.38
34	Specialized Supplies and Materials	34,931,595.00	2,149,407.09	25,244,782.16		27,394,189.25	7,537,405.75
35	Production, Safety and Security	943,940.00	10,509.56	1,259,585.04		1,270,094.60	(326,154.60)
36	General Operating Expenses	574,893.00	20,950.40	68,408.40		89,358.80	485,534.20
37	Shop Supplies	1,665,686.00	142,936.86	827,224.57		970,161.43	695,524.57
41	Property Furniture and Equipment	683,073.00	54,700.38	80,651.70	99,030.06	234,382.14	448,690.86
42	Library Equipment and Resources	2,027.00				-	2,027.00
43	Lease Purchase - OCIA bond payments	2,267,551.00	529,115.85	1,697,051.61		2,226,167.46	41,383.54
44	Live Stock – Poultry					-	-
45,46,47	Building Construction and Renovation	189,648.00		10,190.55		10,190.55	179,457.45
48	Bond Payment – ODFA Bonds	3,084,252.00	497,049.20	2,494,983.37		2,992,032.57	92,219.43
51	Offender Pay and Health Services	2,759,295.00	174,077.54	2,341,401.38		2,515,478.92	243,816.08
52	Scholarships, Tuition and other incentives	6,226.00	565.23			565.23	5,660.77
53	Refunds, Indemnities, and Restitution	204,155.00				-	204,155.00
54	Jail Back Up and others	8,349,180.00	764,505.00	3,391,995.00		4,156,500.00	4,192,680.00
55,59	Assistance Payments to Agencies					-	-
60	Authority Orders			8,112,672.79		8,112,672.79	(8,112,672.79)
61	Loans, Taxes, and other Disbursements	2,201.00	184.46			184.46	2,016.54
62	Transfers – Inmate Medical Payments	10,657,336.00	951,387.18	10,048,612.82		11,000,000.00	(342,664.00)
64	Merchandise for Resale	88,325.00				-	88,325.00
		$ 483,400,943.00	$ 57,019,451.84	$ 183,368,381.97	$ 644,198.06	$ 241,032,031.87	$ 242,368,911.13

Funding							
19730	GRF - Duties	$ 423,430,930.00	$ 49,000,245.49	$ 131,417,588.32	$ 644,198.06	181,062,031.87	$ 242,368,898.13
57602	Duties	44,970,013.00	8,019,206.35	36,950,793.65		44,970,000.00	13.00
57603	Duties	15,000,000.00		15,000,000.00		15,000,000.00	-
	TOTAL	$ 483,400,943.00	$ 57,019,451.84	$ 183,368,381.97	$ 644,198.06	$ 241,032,031.87	$ 242,368,911.13
						Remaining Payroll	217,867,170.71
							$ 24,501,740.42

Oklahoma Department of Corrections

Statement of Revenues, Expenditures and Changes in Fund Balances

Non- Appropriated Funds

July 1, 2016 through August 31, 2016

Revenue Code		200 Fund	205 Fund	280 Fund	Funds
	Revenues				
	Current:				
331	Other Fines, Forfeits, Penalties	$ 30,480.56	$ -	$ -	$ 30,480.56
431	Rent from Land	8,762.74			8,762.74
520	Reimbursement for Administrative Expense	127,178.16			127,178.16
521	Reimbursement for Data Processing Expense	3,040.00			3,040.00
522	Reimbursement for Telecommunication Exp.				-
530	Reimbursement for Travel Expense				-
541	Reimbursement of Funds Spent				-
552	Reimbursement of Federal Payroll				-
556	Federal Funds from Other State Agency				-
581	Reimbursement for Funds Expended	349,991.77			349,991.77
711	Farm Products General			1,375,346.29	1,375,346.29
731	Laboratory and Medical Services	35,051.62			35,051.62
741	Canteen and Concession Income	2,584.02	526,728.58	2,388,003.31	2,917,315.91
791	Other Sales and Services	461.14			461.14
811	Offender Medical Co-pays and Judgments	643,994.81			643,994.81
821	Deposits by Patients and Offenders	871,222.76		52,829.54	924,052.30
836	Sale of Salvage	16,159.55			16,159.55
881	Purchase Card Payments	69.63			69.63
	Total Revenues	2,088,996.76	526,728.58	3,816,179.14	6,431,904.48
Account Code	**Expenditures**				
	Current:				
11,12,13	Payroll	62,320.47		997,956.23	1,060,276.70
15	Professional Services	13,496.37	88,403.65	119,573.35	221,473.37
21, 22	Travel	351.30		3,356.64	3,707.94
31	Misc. Admin. Expenses	33,271.17	31,053.02	184,488.05	248,812.24
32	Rent	8,718.88	33,161.97	3,056.03	44,936.88
33	Maintenance and Repair	79,195.74	30,865.02	168,848.72	278,909.48
34	Specialized Supplies and Materials	55,508.55	159,658.31	98,848.94	314,015.80
35	Production, Safety and Security	69,196.66	4,108.59	37,438.19	110,743.44
36	General Operating Expenses	10,173.75	15,201.96	3,696.29	29,072.00
37	Shop Expense	74,241.14	4,033.61	269,476.43	347,751.18
41	Furniture and Equipment	44,528.27	17,212.93	20,000.00	81,741.20
42	Library Equipment and Resources				-
43	Lease Purchases				-
44	Livestock and Poultry				-
45	Land and Right-of-way				-
46, 47	Building, Construction and Renovation	15,650.00			15,650.00
48	Debt Service				-
51	Offender Pay and Health Services	34,313.20	52,003.45	294,329.37	380,646.02
52	Tuitions, Awards and Incentives		291.98		291.98
53	Refunds and Restitutions				-
54	Jail Backup, County Jails and Other	(406,800.70)			(406,800.70)
55	Payment to Gov. Sub-Division				-
59	Assistance Payments to Agencies	57,813.28			57,813.28
61	Loans, Taxes and other Disbursements				-
62	Transfers - Out Sourced Health Care	6,142.44	33,777.73		39,920.17
64	Merchandise for Resale	558.71		1,519,365.65	1,519,924.36
	Total Expenditures	158,679.23	469,772.22	3,720,433.89	4,348,885.34
	Excess of Revenues Over (Under) Expenditures	1,930,317.53	56,956.36	95,745.25	2,083,019.14
	Special and Extraordinary Items				
	Carried Over Cash				-
	Total Special and Extraordinary Items	-	-	-	-
	Net Change in Fund Balances	1,930,317.53	56,956.36	95,745.25	2,083,019.14
	Cash				
	Beginning Cash Balance	3,592,257.27	1,286,823.04	4,158,533.63	9,037,613.94
	Revenue Received this Year	2,088,996.76	526,728.58	3,816,179.14	6,431,904.48
	Expenditures made this Year	(158,679.23)	(469,772.22)	(3,720,433.89)	(4,348,885.34)
	Beginning Change in Liabilities	-	-	-	-
	Transfers	-	-	-	-
	Adjustments	-	-	-	-
	Ending Cash Balance	$ 5,522,574.80	$ 1,343,779.40	$ 4,254,278.88	$ 11,120,633.08

Oklahoma Department of Corrections

Statement of Revenues, Expenditures and Changes in Fund Balances

Non- Appropriated Funds

For the Month of August, 2016

Revenue Code		200 Fund	205 Fund	280 Fund	Funds
	Revenues				
	Current:				
331	Other Fines, Forfeits, Penalties	$ 22,744.71	$ -	$ -	$ 22,744.71
431	Rent from Land	4,888.88	-	-	4,888.88
520	Reimbursement for Administrative Expense	72,508.53	-	-	72,508.53
521	Reimbursement for Data Processing Expense	1,520.00	-	-	1,520.00
522	Reimbursement for Telecommunication Exp.	-	-	-	-
530	Reimbursement for Travel Expense	-	-	-	-
541	Reimbursement of Funds Spent	-	-	-	-
552	Reimbursement of Federal Payroll	-	-	-	-
556	Federal Funds from Other State Agency	-	-	-	-
581	Reimbursement for Funds Expended	346,058.74	-	-	346,058.74
711	Farm Products General	-	-	363,584.77	363,584.77
731	Laboratory and Medical Services	14,082.81	-	-	14,082.81
741	Canteen and Concession Income	1,116.05	493,574.75	1,147,392.72	1,642,083.52
791	Other Sales and Services	105.82	-	-	105.82
811	Offender Medical Co-pays and Judgments	301,185.95	-	-	301,185.95
821	Deposits by Patients and Offenders	376,301.51	-	-	376,301.51
836	Sale of Salvage	11,041.09	-	-	11,041.09
881	Purchase Card Payments	40.92	-	-	40.92
	Total Revenues	1,151,595.01	493,574.75	1,510,977.49	3,156,147.25
Account Code	**Expenditures**				
	Current:				
11,12,13	Payroll	485,103.99	-	527,429.09	1,012,533.08
15	Professional Services	(780,257.97)	64,177.40	69,908.74	(646,171.83)
21, 22	Travel	69.30	-	2,346.64	2,415.94
31	Misc. Admin. Expenses	5,886.99	20,921.90	103,034.59	129,843.48
32	Rent	8,499.88	9,966.44	2,395.17	20,861.49
33	Maintenance and Repair	15,963.99	9,961.64	89,194.14	115,119.77
34	Specialized Supplies and Materials	35,596.01	173,010.29	25,377.67	233,983.97
35	Production, Safety and Security	46,615.33	2,260.32	15,485.45	64,361.10
36	General Operating Expenses	5,218.53	6,557.82	1,441.57	13,217.92
37	Shop Expense	3,295.48	1,113.65	118,873.26	123,282.39
41	Furniture and Equipment	17,428.57	3,420.27	20,000.00	40,848.84
42	Library Equipment and Resources	-	-	-	-
43	Lease Purchases	-	-	-	-
44	Livestock and Poultry	-	-	-	-
45	Land and Right-of-way	-	-	-	-
46, 47	Building, Construction and Renovation	-	-	-	-
48	Debt Service	-	-	-	-
51	Offender Pay and Health Services	13,236.49	46,986.61	142,931.98	203,155.08
52	Tuitions, Awards and Incentives	-	291.98	-	291.98
53	Refunds and Restitutions	-	-	-	-
54	Jail Backup, County Jails and Other	(408,060.70)	-	-	(408,060.70)
55	Payment to Gov. Sub-Division	-	-	-	-
59	Assistance Payments to Agencies	44,036.06	-	-	44,036.06
61	Loans, Taxes and other Disbursements	-	-	-	-
62	Transfers - Out Sourced Health Care	260.23	33,777.73	-	34,037.96
64	Merchandise for Resale	-	-	755,663.52	755,663.52
	Total Expenditures	(507,107.82)	372,446.05	1,874,081.82	1,739,420.05
	Excess of Revenues Over (Under) Expenditures	1,658,702.83	121,128.70	(363,104.33)	1,416,727.20
	Special and Extraordinary Items				
	Carried Over Cash				
	Total Special and Extraordinary Items	-	-	-	-
	Net Change in Fund Balances	1,658,702.83	121,128.70	(363,104.33)	-
	Cash				
	Beginning Cash Balance	4,088,003.65	1,230,208.70	4,655,869.81	9,974,082.16
	Revenue Received this Year	1,151,595.01	493,574.75	1,510,977.49	3,156,147.25
	Expenditures made this Year	507,107.82	(372,446.05)	(1,874,081.82)	(1,739,420.05)
	Beginning Change in Liabilities	(224,131.68)	(7,558.00)	(38,486.60)	(270,176.28)
	Transfers	-	-	-	-
	Adjustments	-	-	-	-
	Ending Cash Balance	$ 5,522,574.80	$ 1,343,779.40	$ 4,254,278.88	$ 11,120,633.08

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
July 1, 2015 through August 31, 2016

		410 Fund	430 Fund	Funds
Revenue Code	**Revenues**			
	Current:			
556	Federal Funds Rec'd from Non-Gov. Ag.	$ -	$ -	$ -
561	Private Grants and Donations for Opns.	232,515.15	172,193.38	404,708.53
581	Reimbursements	-	-	-
	Total Revenues	232,515.15	172,193.38	404,708.53
Account Code	**Expenditures**			
	Current:			
11,12,13	Payroll	6,597.03	1,232.73	7,829.76
15	Professional Services	44,287.24	164,675.56	208,962.80
21, 22	Travel	9,892.20	1,413.80	11,306.00
31	Misc. Admin. Expenses		435.75	435.75
32	Rent	1,069.46		1,069.46
33	Maintenance and Repair	3,466.52		3,466.52
34	Specialized Supplies and Materials			-
35	Production, Safety and Security			-
36	General Operating Expenses	5,955.77		5,955.77
37	Shop Expense			-
41	Furniture and Equipment	41,056.06	34,820.70	75,876.76
42	Library Equipment and Resources			-
43	Lease Purchases			-
44	Livestock and Poultry			-
45	Land and Right-of-way			-
46	Building, Construction and Renovation			-
48	Debt Service			-
51	Offender Pay and Health Services			-
52	Tuitions, Awards and Incentives			-
53	Refunds and Restitutions			-
54	Jail Backup, County Jails and Other		4,747.30	4,747.30
55	Payment to Gov. Sub-Division			-
59	Assistance Payments to Agencies		8,740.50	8,740.50
61	Loans, Taxes and Other Disbursements			-
62	Transfers - Out Sourced Health Care			-
64	Merchandise for Resale			-
	Total Expenditures	112,324.28	216,066.34	328,390.62
	Excess of Revenues Over (Under) Expenditures	120,190.87	(43,872.96)	76,317.91
	Special and Extraordinary Items			
	Carried Over Cash	-	-	-
	Total Special and Extraordinary Items	-	-	-
	Net Change in Fund Balances	120,190.87	(43,872.96)	76,317.91
	Cash			
	Beginning Cash Balance	124,307.79	186,184.03	310,491.82
	Revenue Received this Year	232,515.15	172,193.38	404,708.53
	Expenditures made this Year	(112,324.28)	(216,066.34)	(328,390.62)
	Beginning Change in Liabilities		-	-
	Transfers	-	-	-
	Adjustments	-	-	-
	Ending Cash Balance	$ 244,498.66	$ 142,311.07	$ 386,809.73

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
For the Month of August 2016

Revenue Code		410 Fund	430 Fund	Funds
	Revenues			
	Current:			
556	Federal Funds Rec'd from Non-Gov. Ag.	$ -	$ -	$ -
561	Private Grants and Donations for Opns.	232,515.15	139,544.15	372,059.30
581	Reimbursements	-	-	-
	Total Revenues	232,515.15	139,544.15	372,059.30
Account Code	**Expenditures**			
	Current:			
11,12,13	Payroll	6,597.03	1,166.32	7,763.35
15	Professional Services	44,287.24	142,675.56	186,962.80
21, 22	Travel	9,892.20	1,413.80	11,306.00
31	Misc. Admin. Expenses	-	380.67	380.67
32	Rent	1,069.46	-	1,069.46
33	Maintenance and Repair	3,376.39	-	3,376.39
34	Specialized Supplies and Materials	-	-	-
35	Production, Safety and Security	-	-	-
36	General Operating Expenses	5,955.77	-	5,955.77
37	Shop Expense	-	-	-
41	Furniture and Equipment	40,865.28	-	40,865.28
42	Library Equipment and Resources	-	-	-
43	Lease Purchases	-	-	-
44	Livestock and Poultry	-	-	-
45	Land and Right-of-way	-	-	-
46	Building, Construction and Renovation	-	-	-
48	Debt Service	-	-	-
51	Offender Pay and Health Services	-	-	-
52	Tuitions, Awards and Incentives	-	-	-
53	Refunds and Restitutions	-	-	-
54	Jail Backup, County Jails and Other	-	4,747.30	4,747.30
55	Payment to Gov. Sub-Division	-	-	-
59	Assistance Payments to Agencies	-	6,243.50	6,243.50
61	Loans, Taxes and Other Disbursements	-	-	-
62	Transfers - Out Sourced Health Care	-	-	-
64	Merchandise for Resale	-	-	-
	Total Expenditures	112,043.37	156,627.15	268,670.52
	Excess of Revenues Over (Under) Expenditures	120,471.78	(17,083.00)	103,388.78
	Special and Extraordinary Items			
	Carried Over Cash	-	-	-
	Total Special and Extraordinary Items	-	-	-
	Net Change in Fund Balances	120,471.78	(17,083.00)	103,388.78
	Cash			
	Beginning Cash Balance	124,026.88	159,394.07	283,420.95
	Revenue Received this Month	232,515.15	139,544.15	372,059.30
	Expenditures made this Month	(112,043.37)	(156,627.15)	(268,670.52)
	Beginning Change in Liabilities		-	-
	Transfers	-	-	-
	Adjustments	-	-	-
	Ending Cash Balance	$ 244,498.66	$ 142,311.07	$ 386,809.73

Item #10

Oklahoma Department of Corrections
Internal Audit Summary Report
Fourth Quarter FY16

Reporting Period: 4th Quarter of FY16

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

In this reporting period, the financial internal audit unit closed and submitted 14 compliance audit reports to Director Allbaugh for his review and approval. The approved reports were submitted to the State Auditor and to the Board of Corrections.

Audited Facilities/Units – Date of Audit

1. Oklahoma Correctional Industries at James Crabtree Correctional Center – 02/17/16
2. Employee Development – 03/24/16*
3. Southeast District – 04/06/16*
4. Mabel Bassett Correctional Center – 04/19/16
5. Oklahoma Correctional Industries at Mabel Bassett Correctional Center – 04/20/16*
6. Northeast District – 04/26/16*
7. Northwest District – 05/10/16
8. Joseph Harp Correctional Center – 06/07/16
9. Oklahoma Correctional Industries at Joseph Harp Correctional Center – 06/14/16
10. Oklahoma Correctional Industries at Lexington Assessment and Reception Center – 06/15/16
11. Cimarron Correctional Facility – 06/21/16*
12. Davis Correctional Facility – 06/22/16*
13. Lawton Correctional Facility – 06/29/16*
14. Oklahoma Correctional Industries at Lawton Correctional Facility – 06/29/16*

Of the 14 facilities/units audited in the 4th quarter of FY16, eight had no reportable noncompliance or internal control findings (identified above (*)).

Summary of Noncompliance Findings in accordance with Fiscal Management Policy

ACCOUNTS PAYABLES

- Joseph Harp Correctional Center

Summary of Findings:

- Invoices paid after (45) days from the date it was received at the facility business office.

Summary of Actions Taken:

- Staff have been put in place to oversee both Joseph Harp and LARC.
- Accounts payable has adjusting workflow on each processors desk to ensure the unit to process invoices within a few days of receipt.

ACCOUNTS RECEIVABLES

- Oklahoma Correctional Industries at Lexington Assessment and Reception Center (LARC) and
- Oklahoma Correctional Industries at James Crabtree Correctional Center JCCC)

Summary of Findings:

- Contractor failed to pay invoices as outlined in the contract.

Summary of Action Taken:

- The OCI Administrator, Operations Coordinator, and Business Services Coordinator met with the contractor On April 11, 2016, resulting in payments of $242,361.94.
- The contractor will pay the largest invoice plus an additional sum of $25,000 monthly.
- The Business Services Coordinator will monitor the account closely until the account is current.

TRUST FUNDS

- Northwest District
- Mabel Bassett Correctional Center

Summary of Findings:

- Facility staff failing to notify the agency's internal budget unit to submit the required paperwork to OMES to void checks
- Twenty disbursements were not made available for audit.

Summary of Action Taken

- Staff had been advised of the process but failed to complete required paperwork.
- Detailed information for handling voided checks will be added to Operating Procedures.
- Job duties assigned to central office.

PURCHASE CARDS

- Oklahoma Correctional Industries at Joseph Harp Correctional Center
- Oklahoma Correctional Industries at Lexington Assessment and Reception Center
- Mabel Bassett Correctional Center

Summary of Findings:

- P-Card transactions and supporting documentation were not received by the agency purchase card accountant by the final working day of the following month.
- P-Card statements were not signed by an approving official.

Summary of Action Taken

- Informal staff discipline included advising of the requirements of the Operating Procedures for P-Card statements and actions that may be taken in the event of future noncompliance.
- Staff responsible are no longer with the agency.
- A system for collection and approval of the purchase card information is in place.

CANTEEN

- Mabel Bassett Correctional Center

Summary of Findings:

- Items on hand in the canteen were not in agreement with the closing inventory balance.

Summary of Action Taken:

- A system is in place to ensure deliveries are verified, inventories are conducted, and prompt recording of discrepancies/loss.

FIXED ASSETS INVENTORY SYSTEM

- Joseph Harp Correctional Center

Summary of Findings:

- An asset found that was not listed on the facility's Fixed Assets Inventory System prior to the auditor's departure.

Summary of Action Taken

- The PIC form was completed and the asset was added to the agency inventory system.

SUMMARY OF INTERNAL CONTROL WEAKNESSES

EXPRESS CHECKS

- Mabel Bassett Correctional Center check issued by Eddie Warrior Correctional Center and check issued by Finance and Accounting Unit

Summary of Findings:

- A check for the amount of $75.00 was signed by two signors but neither name appeared on the signature card on file at the Office of the State Treasurer.

Summary of Action Taken

- Instructions to ensure transactions are entered for one facility, when possible. In the event two facilities must be involved in creating of one transaction, documentation should be stored in both facilities records.
- Signatures on the check should be from the facility where the check was printed.
- Job duties have been moved to central office.

TRUST FUNDS

- Northwest District

Summary of Findings:

- Agency checks require two authorized signatures.

Summary of Action Taken:

- A process for ensuring there are two signatures checks prior to issuance is in place.
- An electronic process for check approval/printing is in the process.

Item #11

Population Update

Population Information as of August 31, 2016

Compared to August 31, 2015

Total System Committed Offender Population	Females	Males	Total
Current Population	3,009	24,013	27,022
Population Last Year	2,986	25,072	28,058
Change from last year	**23**	**(1,059)**	**(1,036)**

DOC Facilities	Females	Males	Total
Current Population	2,668	16,358	19,026
Population Last Year	2,626	17,149	19,775
Change	**42**	**(791)**	**(749)**

Private Prisons	Females	Males	Total
Current Population	0	5,914	5,914
Population Last Year	0	5,844	5,844
Change	**0**	**70**	**70**

County Jail Contracts	Females	Males	Total
Current Population	0	313	313
Population Last Year	0	594	594
Change	**0**	**(281)**	**(281)**

Halfway Houses	Females	Males	Total
Current Population	292	1,064	1,356
Population Last Year	316	1,093	1,409
Change	**(24)**	**(29)**	**(53)**

Out Count	Females	Males	Total
Current Population	49	364	413
Population Last Year	44	392	436
Change	**5**	**(28)**	**(23)**

Total System Community Supervised Offender Population	Females	Males	Total
Current Population	7,468	24,370	31,838
Population Last Year	6,659	21,812	28,471
Change from last year	**809**	**2,558**	**3,367**

Probation Supervision	Females	Males	Total
Current Population	5,864	18,997	24,861
Population Last Year	5,364	17,006	22,370
Change	**500**	**1,991**	**2,491**

Parole Supervision	Females	Males	Total
Current Population	389	2,193	2,582
Population Last Year	414	2,492	2,906
Change	**(25)**	**(299)**	**(324)**

GPS	Females	Males	Total
Current Population	220	443	663
Population Last Year	217	538	755
Change	**3**	**(95)**	**(92)**

Community Sentencing	Females	Males	Total
Current Population	995	2,718	3,713
Population Last Year	654	1,710	2,364
Change	**341**	**1,008**	**1,349**

EMP	Females	Males	Total
Current Population	0	8	8
Population Last Year	0	18	18
Change	**0**	**(10)**	**(10)**

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

Community Program Failures	Females	Males	Total
Current Population	0	10	10
Population Last Year	10	47	57
Change	**(10)**	**(37)**	**(47)**

Total System Population	Females	Males	Total
Current System Population	10,477	48,383	58,860
Population Last Year	9,645	46,884	56,529
Change	**832**	**1,499**	**2,331**

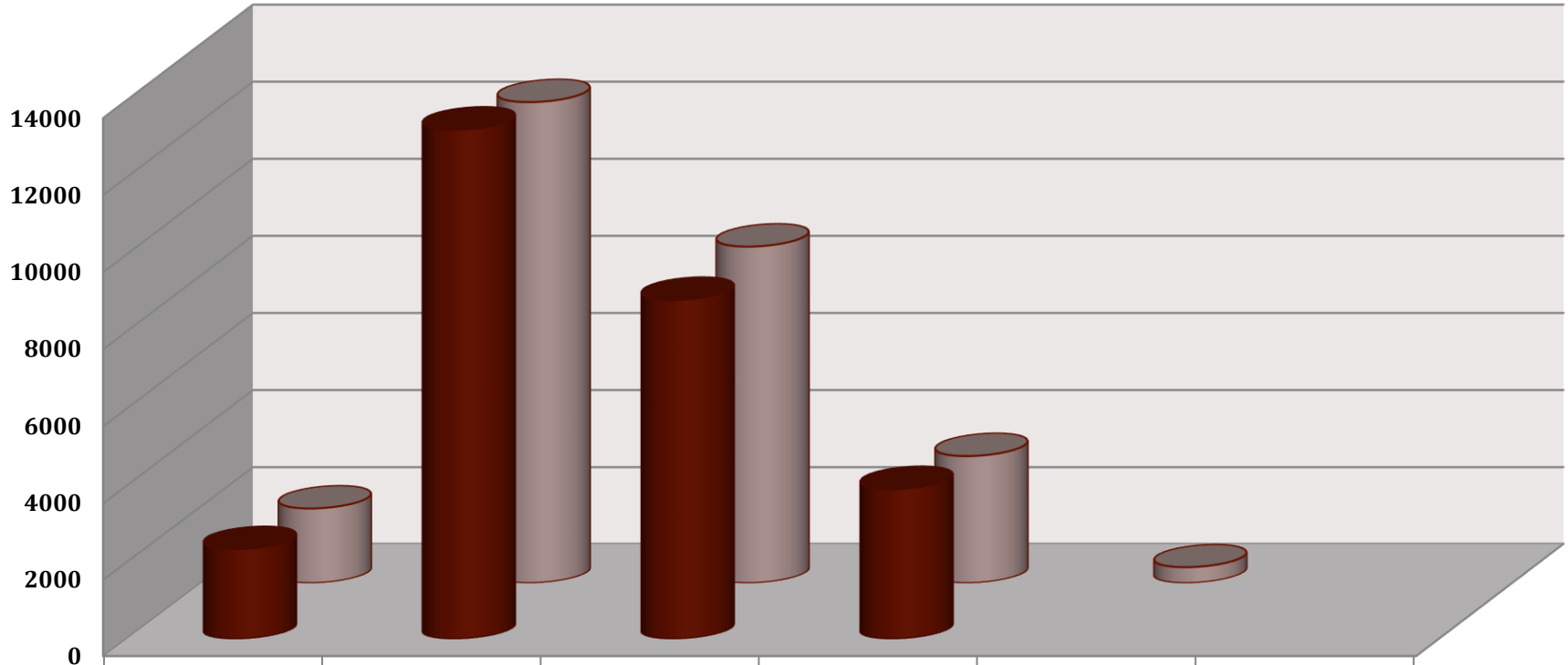
County Jail Inmate Backup	Females	Males	Total
August 31, 2016	226	1,290	1,516
Population Last Year	46	279	325
Change	**180**	**1,011**	**1,191**

Facility Capacity Percentages	Rated Operating Capacity	Inside Total Inmate Committed Population	Inside Total as a Percent of Rated Operating Capacity
Assessment & Reception Centers	620	581	94%
In Transit	N/A	95	N/A
Institutions	15,060	16,391	109%
Community Corrections Centers	1,223	1,303	107%
Work Centers	999	656	66%
TOTAL STATE	17,902	19,026	106%
Private Prisons	5,946	5,914	99%
Contracted County Jails	335	313	93%
Halfway Houses	1,527	1,356	89%
TOTAL CONTRACT	7,808	7,583	97%
SYSTEM TOTAL	**25,710**	**26,609**	**103%**

Pardon & Parole Board Results Month: August 2016	Females	Males	Total
Considered	15	207	222
Denied	7	176	183
Recommended	8	31	39
Percentage Recommended	53.33%	14.98%	17.57%

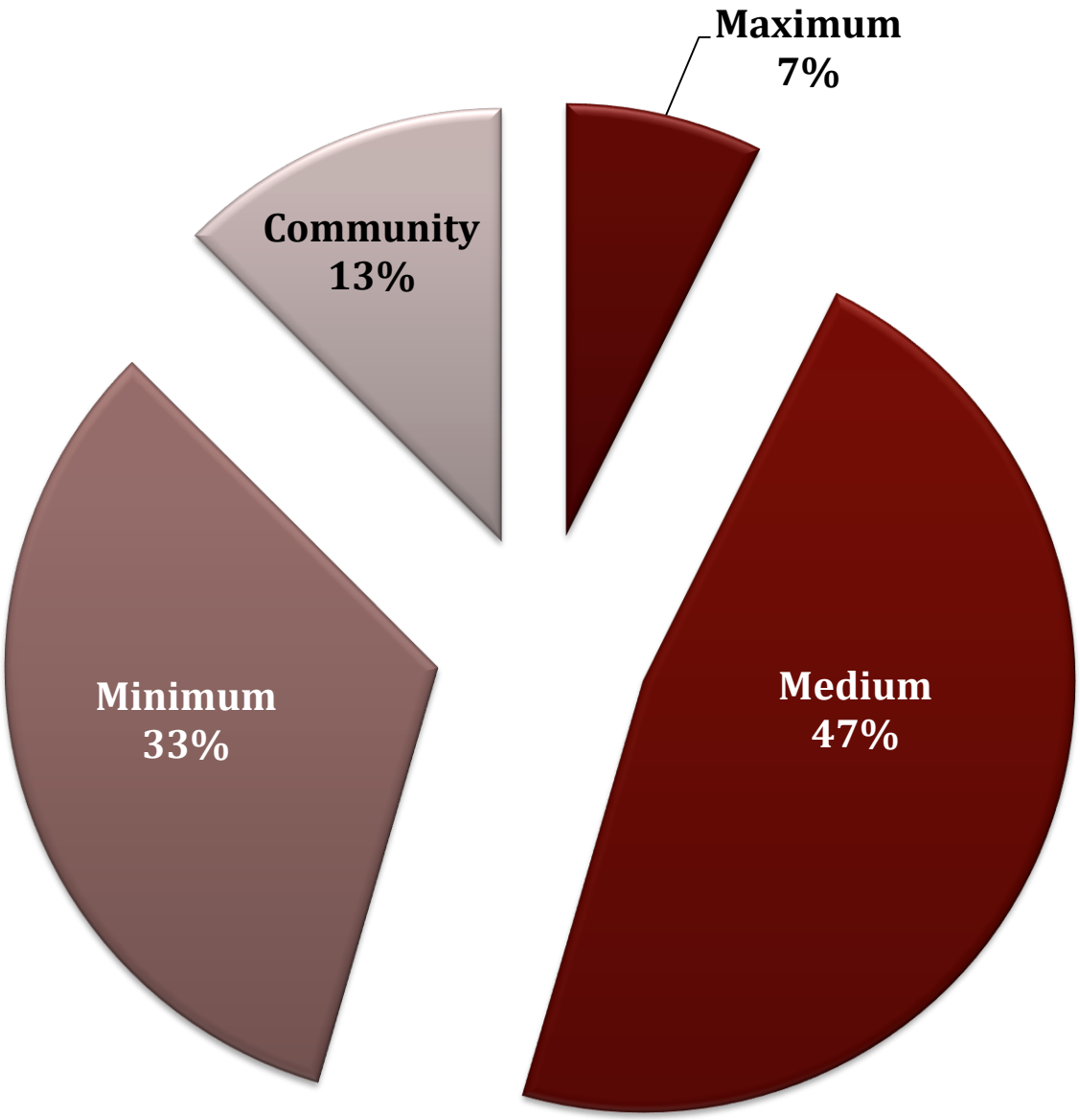
Governor's Actions Month: August 2016	Females	Males	Total
Reviewed	0	0	0
Approved	0	0	0
Denied	0	0	0
Percentage Approved	0.00%	0.00%	0.00%

Offender and Bed Distribution
August 31, 2016

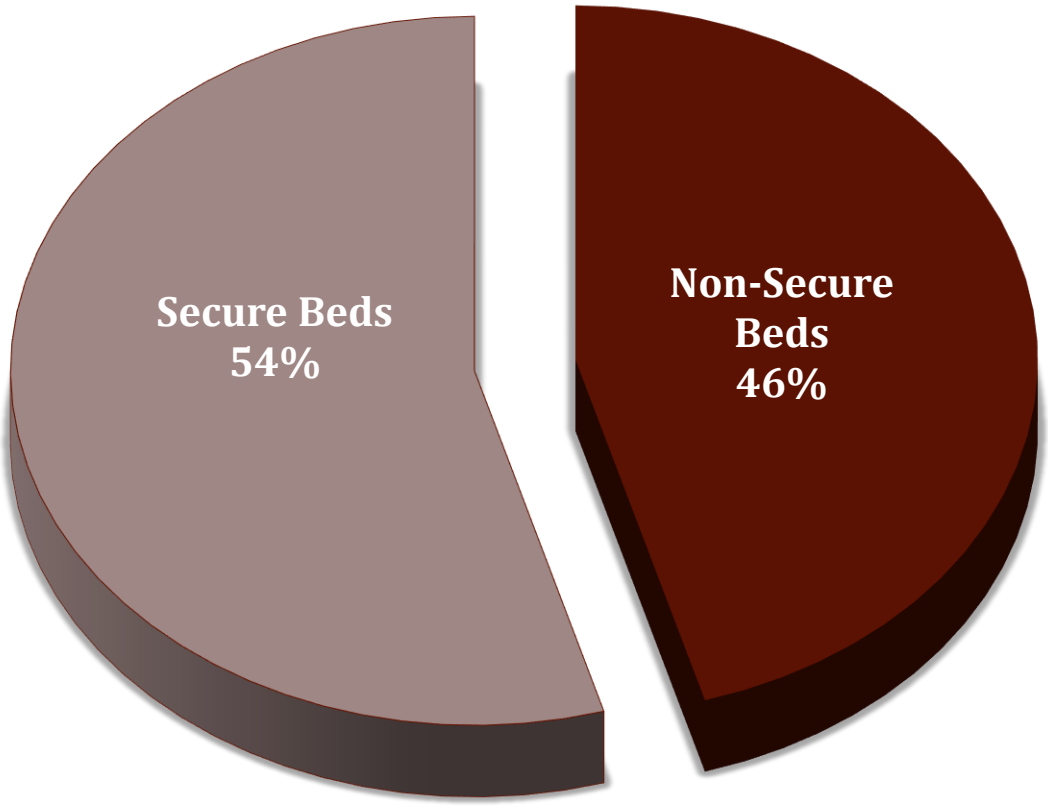


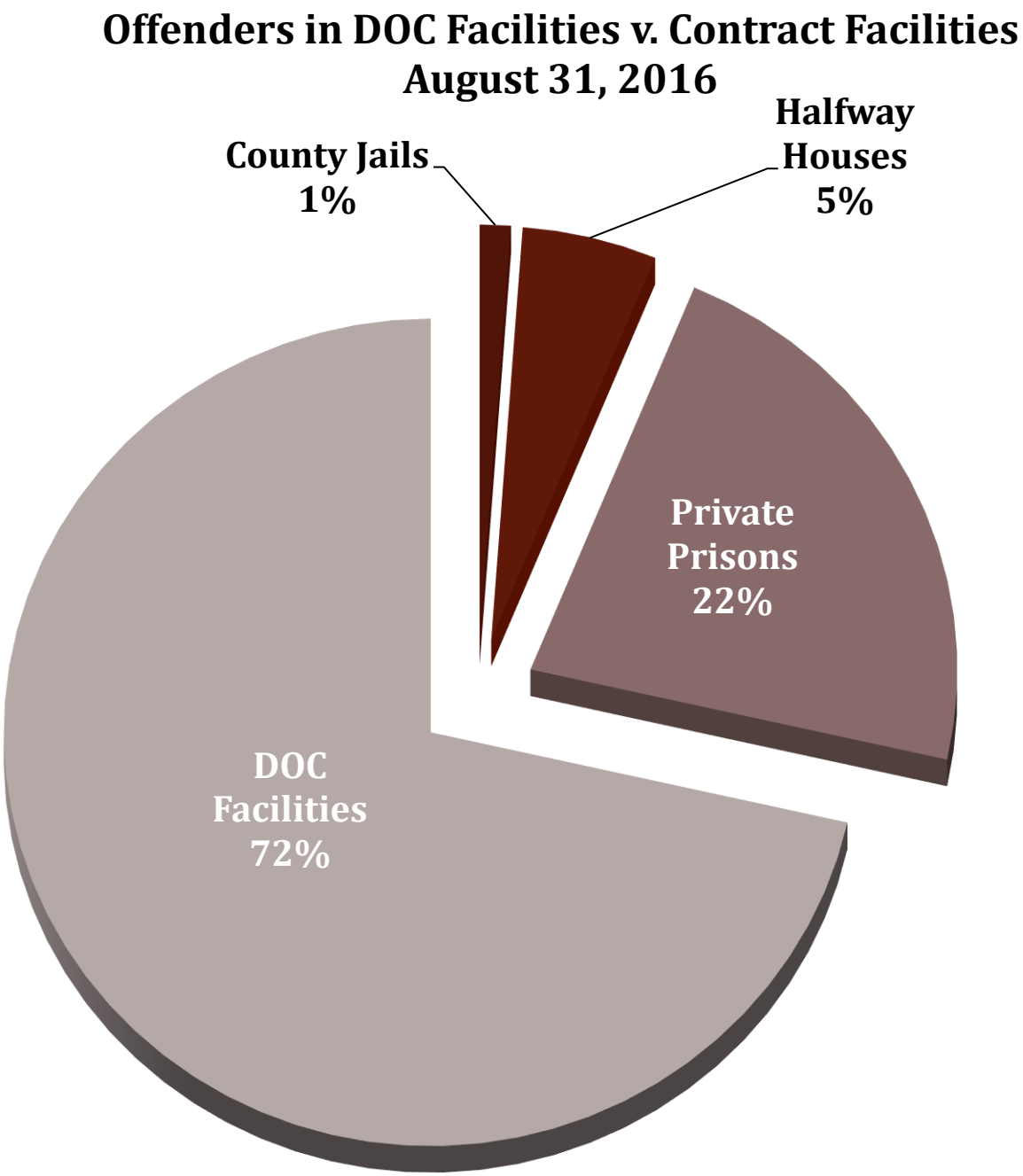
	Maximum	Medium	Minimum	Community	Outcount	
Beds	2362	13254	8836	3929		
Offenders	1953	12497	8749	3315	413	

Offender Distribution by Security Level
August 31, 2016



Percentage of Offenders in Secure and Non-Secure Beds August 31, 2016




Offenders in DOC Facilities v. Contract Facilities
August 31, 2016
County Jails
1%
Halfway
Houses
5%
Private
Prisons
22%
DOC
Facilities
72%