



Oklahoma Board of Corrections

REGULAR MEETING

September 9, 2020

Howard McLeod Correctional Center
Atoka, Oklahoma

OKLAHOMA BOARD OF CORRECTIONS
REGULAR MEETING AGENDA
HOWARD McLEOD CORRECTIONAL CENTER
19603 E. Whippoorwill Lane
Atoka, OK 74525-8415
1:00 PM on September 9, 2020

ITEM	PRESENTER
1. Call to Order: <ul style="list-style-type: none">A. Pledge of AllegianceB. Roll Call	T. Hastings Siegfried Chair
2. Approval of Board of Corrections Special Meeting Minutes for: <ul style="list-style-type: none">A. July 15, 2020	T. Hastings Siegfried Chair
3. Director's Comments: <ul style="list-style-type: none">A. ODOC Response to County OperationsB. Introduction of Inspector General Theodore WoodheadC. Emergency Purchase Pursuant to 61 O.S. § 130, 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.<ul style="list-style-type: none">I. Emergency purchase of lift station pump at William S. Key Correctional Center on July 20, 2020.	Scott Crow Director
4. COVID-19 Update	Millicent Newton-Embry Offender Services Director
5. Inmate/Offender Population Update	Jason Bryant Classification and Population Director
6. Legislative Update	Jessica Brown Chief of Strategic Engagement
7. Agency Budget Update: <ul style="list-style-type: none">A. FY2021 Budget UpdateB. FY2021 BOC Budget ReportsC. FY2021 July Statement Revolving FundsD. FY2021 July Statement Federal FundsE. FY2021 Appropriated Operating Budget	Ashlee Clemmons Chief Financial Officer

8. Approval of Board of Corrections Policy: Penny Lewis
Chief Compliance Officer
- A. P-010100 entitled "System of Manuals, Handbooks and Monitoring Procedures"
 - B. P-020600 entitled "Legislative Initiative Process"
 - C. P-020700 entitled "Oklahoma Department of Corrections Data System Management"
 - D. P-020800 entitled "Guidelines for Research and Research-Related Activities"
 - E. P-030100 entitled "Provisions of Services/Inmate Rights and Responsibilities"
 - F. P-040100 entitled "Security Standards for the Oklahoma Department of Corrections"
 - G. P-050100 entitled "Emergency Plans for the Oklahoma Department of Corrections"
 - H. P-070100 entitled "Provisions of Food Service"
 - I. P-080100 entitled "Mission and Management of Correctional Industries"
9. Internal Audit Summary Reports: Penny Lewis
Chief Compliance Officer
- A. FY 2020 3rd Quarter Summary
 - B. FY 2020 4th Quarter Summary
10. Unit Spot Light: Brad Bailey
Agri-Services Director
- A. Agri-Services Overview
11. Committee Reports – Standing Committees: Committee Chairs
- A. Executive – Chair Hastings Siegfried, Members Lynn Haueter and Dr. Kathryn LaFortune
 - B. Population/Security/Private Prison – Chair Hastings Siegfried, Members Dr. Kathryn LaFortune and Calvin Prince
 - C. Public Policy/Affairs/Criminal Justice – Chair Betty Gesell, Members Joe Griffin, Dr. Kathryn LaFortune, Stephan Moore
 - D. Audit/Finance/Technology – Chair Lynn Haueter, Members Randy Chandler and Daryl Woodard
12. Adjournment T. Hastings Siegfried
Chair

The next regular meeting of the Board of Corrections will be held at 1:00 PM on Wednesday, October 14, 2020, at the Mabel Bassett Correctional Center

Updated on 9/2/2020 3:47:59 PM

**OKLAHOMA BOARD OF CORRECTIONS
SPECIAL MEETING MINUTES**

July 15, 2020

1. Call to Order

Chairman Hastings Siegfried called the Special meeting of the Oklahoma Board of Corrections (BOC) to order at 1:03 p.m., on Wednesday, July 15, 2020, at Kate Barnard Correctional Center, Ted Logan Center, 3300 North Martin Luther King Avenue, Oklahoma City, Oklahoma 73111.

The meeting was preceded by advance notice of the date, time and place, filed with the Oklahoma Secretary of State on July, 1, 2020. An announcement was also given at least forty-eight (48) hours in advance by posting notice of the date, time, place and agenda of the meeting at 9:50 a.m., on Monday, July 13, 2020, at the principal office of the Oklahoma Department of Corrections (ODOC), located at 3400 North Martin Luther King Avenue in Oklahoma City, Oklahoma and at Kate Barnard Correctional Center, Ted Logan Center, 3300 North Martin Luther King Avenue, Oklahoma City, Oklahoma 73111.

A. Pledge of Allegiance

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

B. Roll Call

Chairman Siegfried asked the clerk to call roll:

Randy Chandler	Present	Stephan Moore	Absent – Present at 2:00 p.m.
Betty Gesell	Present	Calvin Prince	Present
Joseph Griffin	Absent	T. Hastings Siegfried	Present
Lynn Haueter	Present	Daryl Woodard	Absent – Present at 1:05 p.m.
Dr. Kathryn LaFortune	Present		

Calling of the roll reflected a quorum was present.

Daryl Woodard arrived to the meeting at 1:05 p.m.

2. Approval of Board of Corrections Regular Meeting Minutes

Chairman Siegfried requested approval of the meeting minutes as presented to members in the BOC packet for July 15, 2020.

A. June 24, 2020

Motion: Mr. Prince made motion to approve the minutes. Dr. LaFortune seconded the motion.

Randy Chandler	Approve	Stephan Moore	Absent
Betty Gesell	Approve	Calvin Prince	Approve

Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

Meeting minutes for June 24, 2020 were approved by majority vote. There was no further discussion.

3. Director’s Comments

Director Crow welcomed everyone to the meeting and recognized staff for all their hard work and dedication during the COVID-19 pandemic.

A. COVID-19 Update

Director Crow indicated that the information he was about to provide was current as of yesterday, July 14, 2020. ODOC has a total of eleven (11) positive inmates out of the four thousand, two-hundred and forty (4,240) that have been tested. This is an increase of two (2) inmates since July 7, 2020. ODOC has a total of twenty-five (25) employees who have tested positive out of the two-hundred and twenty-nine (229) employees who have reported receiving a test. This is an increase of eight (8) since July 7, 2020. Up until recently ODOC was able to maintain 2 positive inmates and approximately 10 positive employees. As positive numbers rise in the public, ODOC is experiencing an increase as well. Fortunately for ODOC, all but two (2) of the inmates have been asymptomatic. Many of the inmate positive tests have been from discharging inmates. ODOC continues to test each discharging inmate.

Director Crow indicated inmates that test positive are placed in isolation, and the housing unit where they reside is placed on quarantine status. Testing of all inmates on the unit is initiated to ensure there is not an outbreak, and contact tracing is initiated. An interesting observation is test results from the other inmates housed on the unit typically come back negative.

As of to date, none of the inmates that have tested positive received visitation, therefore it does not appear that visitation is an issue at this time.

ODOC continues to look for ways to mitigate the issue and improve on the agency’s response to the pandemic. ODOC continues to utilize the staff screening tool. Director Crow indicated he maintains communication with Governor Stitt and his team to ensure ODOC is doing what is necessary and to provide agency updates.

B. Operational Updates

Director Crow indicated as he mentioned previously, he created a COVID response team and he met with them yesterday, July 14, 2020 to review operations and statistics to ensure we are following best practices and to improve on practices where needed.

Visitation, internal transfers, and county jail transfers have resumed. All transfers have screening and quarantine protocols in place to prevent the spread of COVID. During visitation, social distancing is being adhered to as

recommended by the CDC. Masks are mandatory during visitation.

The agency has placed a high importance on sanitation. Early on teams were established to provide quality control to ensure all screening and sanitation protocols are being adhered. Sanitation foggers have been purchased to aid in the sanitation efforts. The health department has assisted greatly with Personal Protective Equipment (PPE). The agency provides inmates and staff with masks every three days.

Director Crow indicated he was confident staff were adhering to the protocols and commended them on their dedication during this time.

Director Crow stated his updates were complete and asked if there were any comments.

Dr. LaFortune indicated that a family visiting their son in a facility complimented ODOC on their response to the pandemic.

Board Members requested information pertaining to Comanche County. Director Crow indicated that Comanche County was an extremely serious situation and he indicated that Chief of Operations (COO) Mike Carpenter and the response team stayed in through the course of mitigating that situation. One of the issues with Comanche County was their population numbers, relieving their population numbers was beneficial and increasing sanitation efforts was key to resolving the issue. ODOC provided Comanche County with resources and information to assist with future issues. Three (3) weeks ago the agency was able to remove the team and the county is back to normal operations.

Director Crow indicated as he has several times that ODOC success is due to staff and their dedication.

4. Approval of Appointments

A. Deon Clayton as Warden of Howard McLeod Correctional Center (HMCC)

Chief of Operations Mike Carpenter requested approval to appoint Deon Clayton as Warden of The HMCC. A copy of Mr. Clayton's Biography and resume was included in the BOC packet for July 15, 2020.

Chairman Siegfried spoke about his meeting with Mr. Clayton and provided his support for Mr. Clayton to be appointed Warden of HMCC.

Motion: Chairman Siegfried made motion to approve the appointment of Deon Clayton as Warden of HMCC. Mr. Woodard seconded the motion.

Randy Chandler	Approve	Stephan Moore	Absent
Betty Gesell	Approve	Calvin Prince	Approve

Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

Appointment of Deon Clayton as Warden of HMCC was approved by majority vote.

Deon Clayton thanked the Board Members and provided a short speech detailing his experience and goals moving forward.

There was no further discussion.

5. Inmate/ Offender Population Update

Classification and Population Coordinator Justin Hysmith provided an overview of the inmate/ offender population as of June 30, 2020. A copy of the overview was included in the BOC packet for July 15, 2020.

There was no further discussion.

Stephan Moore arrived to the meeting at 2:00 p.m.

6. Agency Budget Update

A. Board Reports July – May 2020 - Detailed

Chief Financial Officer (CFO) Ashlee Clemmons provided an overview of the Board Reports July-April 2020-Detailed. A copy of the overview was included in the BOC packet for July 15, 2020.

B. FY 2022 Capital Outlay Request

Chief Financial Officer (CFO) Ashlee Clemmons provided an overview of the FY 2022 Capital Outlay Request. A copy of the overview was included in the BOC packet for July 15, 2020.

Motion: Mr. Woodard made motion to approve the FY2022 Capital Outlay Request. Mr. Prince seconded the motion.

Randy Chandler	Approve	Stephan Moore	Approve
Betty Gesell	Approve	Calvin Prince	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

The FY2022 Capital Outlay Request was approved by majority vote.

C. FY 2020 Statement – Appropriated Operating Budget

Chief Financial Officer (CFO) Ashlee Clemmons provided an overview of the FY 2020 Statement – Appropriated Operating Budget. A copy of the overview

was included in the BOC packet for July 15, 2020.

D. Statement of Revolving Funds July – May

Chief Financial Officer (CFO) Ashlee Clemmons provided an overview of the Statement of Revolving Funds July – May. A copy of the overview was included in the BOC packet for July 15, 2020.

E. Statement of Federal Funds July – May

Chief Financial Officer (CFO) Ashlee Clemmons provided an overview of the Statement of Federal Funds July – May. A copy of the overview was included in the BOC packet for July 15, 2020.

F. FY 2021 Budget Work Program

Chief Financial Officer (CFO) Ashlee Clemmons provided an overview of the FY 2021 Budget Work Program. A copy of the overview was included in the BOC packet for July 15, 2020.

Motion: Chairman Siegfried made motion to approve the FY2021 Budget Work Program. Mr. Prince seconded the motion.

Randy Chandler	Approve	Stephan Moore	Approve
Betty Gesell	Approve	Calvin Prince	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

The FY2021 Budget Work Program was approved by majority vote.

During the Budget update Board members requested information on the Construction and Maintenance Bond Summary. The summary was included in the BOC packet for July 15, 2020. CFO Clemmons provided an overview of the process, indicating the projects are on schedule and are being managed by the Construction and Maintenance Director. Bond projects must be complete and money spent by November 2021. The Construction and Maintenance Director has monthly meetings with CAP.

Director Crow provided examples of projects that were covered by the bond money.

CFO Clemmons stated her updates were complete and asked if there were any comments.

There was no further discussion.

7. Committee Reports – Standing Committees:

G. Executive

Chairman Hastings Siegfried

Members Lynn Haueter and Dr. Kathryn LaFortune

Members in this committee discussed the proposed agenda for the board meeting. The committee also discussed the budget and how to process the budget to ensure the budget goal was met.

There was no further discussion.

H. Population/ Security/ Private Prisons

Chairman Hastings Siegfried

Members Dr. Kathryn LaFortune and Calvin Prince

Members in this committee discussed in detail the proposed private prison contract.

There was no further discussion.

I. Public Policy/ Affairs/ Criminal Justice

Chairwoman Betty Gesell

Members Joe Griffin, Dr. Kathryn LaFortune, Stephan Moore

No update.

J. Audit/ Finance/ Technology

Chairman Lynn Haueter

Members Randy Chandler and Daryl Woodard

Vice Chairman Haueter indicated he was interviewed by the state auditors, and that the interview went well. Vice Chairman Haueter indicated there was a lot of work going on in the technology unit. He indicated that Mike Carpenter is highly involved in the OMS project and is staying on schedule. Vice Chairman Haueter discussed the timekeeping project and discussed possibilities of OMES moving away from peoplesoft. Vice Chairman Haueter discussed sharepoint and the importance of developing a sharepoint site.

There was no further discussion.

8. Approval to Enter into Executive Session

Pursuant to 25 O.S. § 307(B)(10), discussing contract negotiations involving contracts requiring approval of the Board of Corrections, which shall be limited to members of the public body, the attorney for the public body, and the immediate staff of the public body. No person who may profit directly or indirectly by a proposed transaction which is under consideration may be present or participate in the executive session.

A. Discussion of contract negotiations of Correctional Services Contract with Corrections Corporation of America (CoreCivic).

Chairman Siegfried requested a motion to enter into Executive Session.

Motion: Chairman Siegfried made motion to enter into Executive Session. Mr. Woodard seconded the motion.

Randy Chandler	Approve	Stephan Moore	Approve
Betty Gesell	Approve	Calvin Prince	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

Entering into Executive Session was approved by majority vote at 2:40 p.m.

9. Approval to Return from Executive Session

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

Randy Chandler	Approve	Stephan Moore	Approve
Betty Gesell	Approve	Calvin Prince	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

Returning from Executive Session was approved by majority vote at 3:10 p.m.

10. Discussion and Approval of Correctional Services Contract with Corrections Corporation of America (Core Civic).

Motion: Chairman Siegfried made motion to approve Correctional Services Contract with Core Civic. Mr. Woodard Seconded the Motion

Randy Chandler	Approve	Stephan Moore	Approve
Betty Gesell	Approve	Calvin Prince	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

Correctional Services Contract with Core Civic was approved by majority vote.

There was no further discussion.

11. Adjournment

Motion: Mr. Woodard made motion to adjourn meeting. Chairman Siegfried seconded the motion.

Randy Chandler	Absent	Stephan Moore	Approve
Betty Gesell	Approve	Calvin Prince	Approve
Joseph Griffin	Absent	T. Hastings Siegfried	Approve
Lynn Haueter	Approve	Daryl Woodard	Approve
Dr. Kathryn LaFortune	Approve		

There being no further business to discuss, adjournment of the meeting was approved by majority vote at 3:16 p.m.

Submitted to the Board of Corrections By:

Tasha Parker, Minutes Clerk

Date

I hereby certify that these minutes were duly approved by the Board of Corrections on September 9, 2020, in which a quorum was present and voting.

X

Dr. Kathryn LaFortune, Secretary
Board of Corrections

Incarcerated Inmate Grand Total	Females	Males	Total
Current Population	2,182	19,809	21,991
Population Last Year	2,798	23,079	25,877
Change from last year	(616)	(3270)	(3886)

State Facilities	Females	Males	Total
Current Population	2,099	15,245	17,344
Population Last Year	2,763	16,145	18,908
Change	(664)	(900)	(1564)

Private Prisons	Females	Males	Total
Current Population	0	4,235	4,235
Population Last Year	0	5,845	5,845
Change	0	(1610)	(1610)

County Jail Contracts	Females	Males	Total
Current Population	0	11	11
Population Last Year	0	9	9
Change	0	2	2

Halfway Houses	Females	Males	Total
Current Population	60	63	123
Population Last Year	0	773	773
Change	60	(710)	(650)

Out Count	Females	Males	Total
Current Population	23	255	278
Population Last Year	35	307	342
Change	(12)	(52)	(64)

Community Supervision Offender Grand Total	Females	Males	Total
Current Population	7,052	23,701	30,753
Population Last Year	7,759	24,410	32,169
Change from last year	(707)	(709)	(1,416)

Probation Supervision	Females	Males	Total
Current Population	5,508	18,601	24,109
Population Last Year	6,038	19,083	25,121
Change	(530)	(482)	(1,012)

Parole Supervision	Females	Males	Total
Current Population	505	2,286	2,791
Population Last Year	438	2,077	2,515
Change	67	209	276

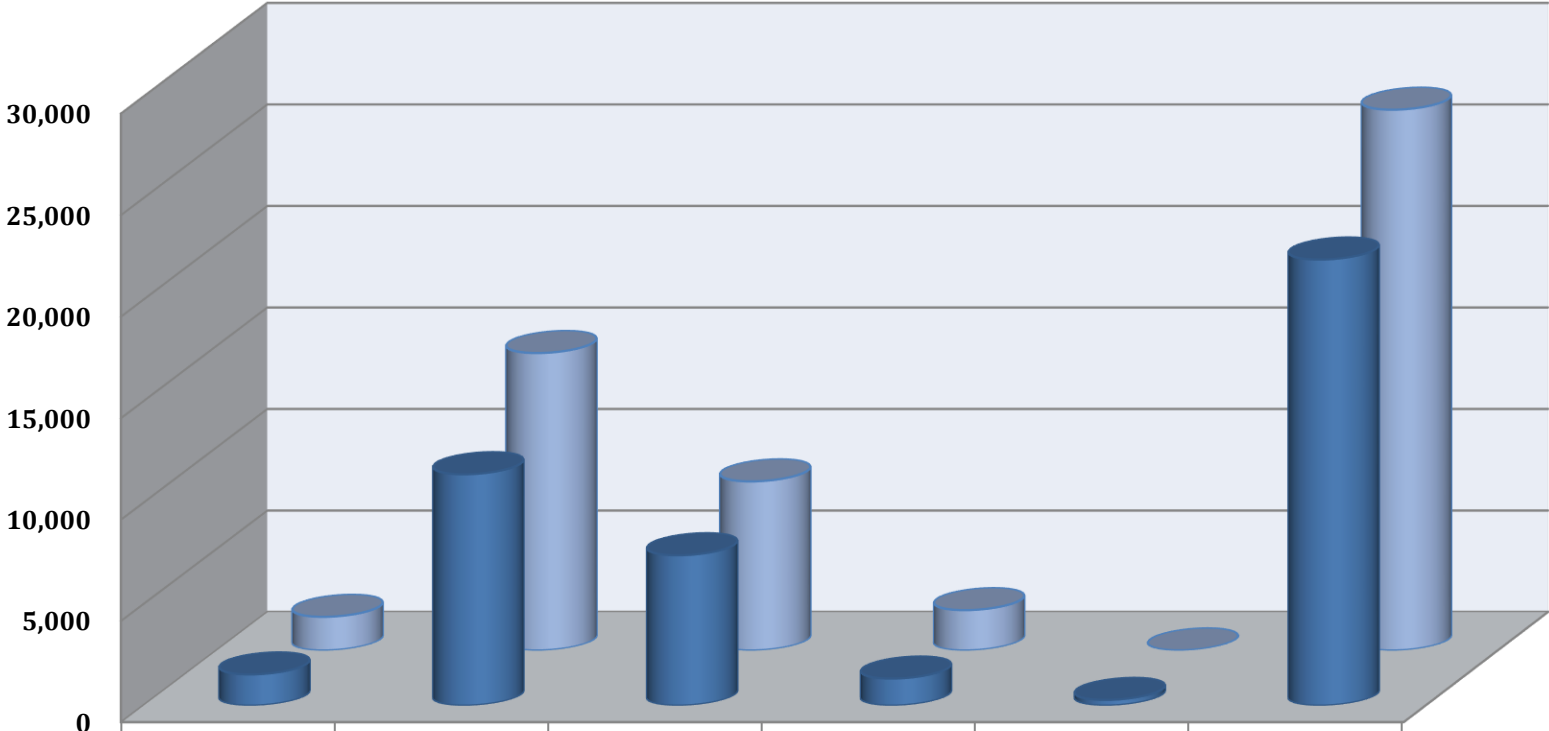
GPS	Females	Males	Total
Current Population	115	342	457
Population Last Year	361	810	1,171
Change	(246)	(468)	(714)

Community Sentencing	Females	Males	Total
Current Population	924	2,472	3,396
Population Last Year	922	2,437	3,359
Change	2	35	37

County Jail Transfers Pending	Females	Males	Total
Current Population	126	1132	1258
Population Last Year	58	642	700
Change	68	490	558

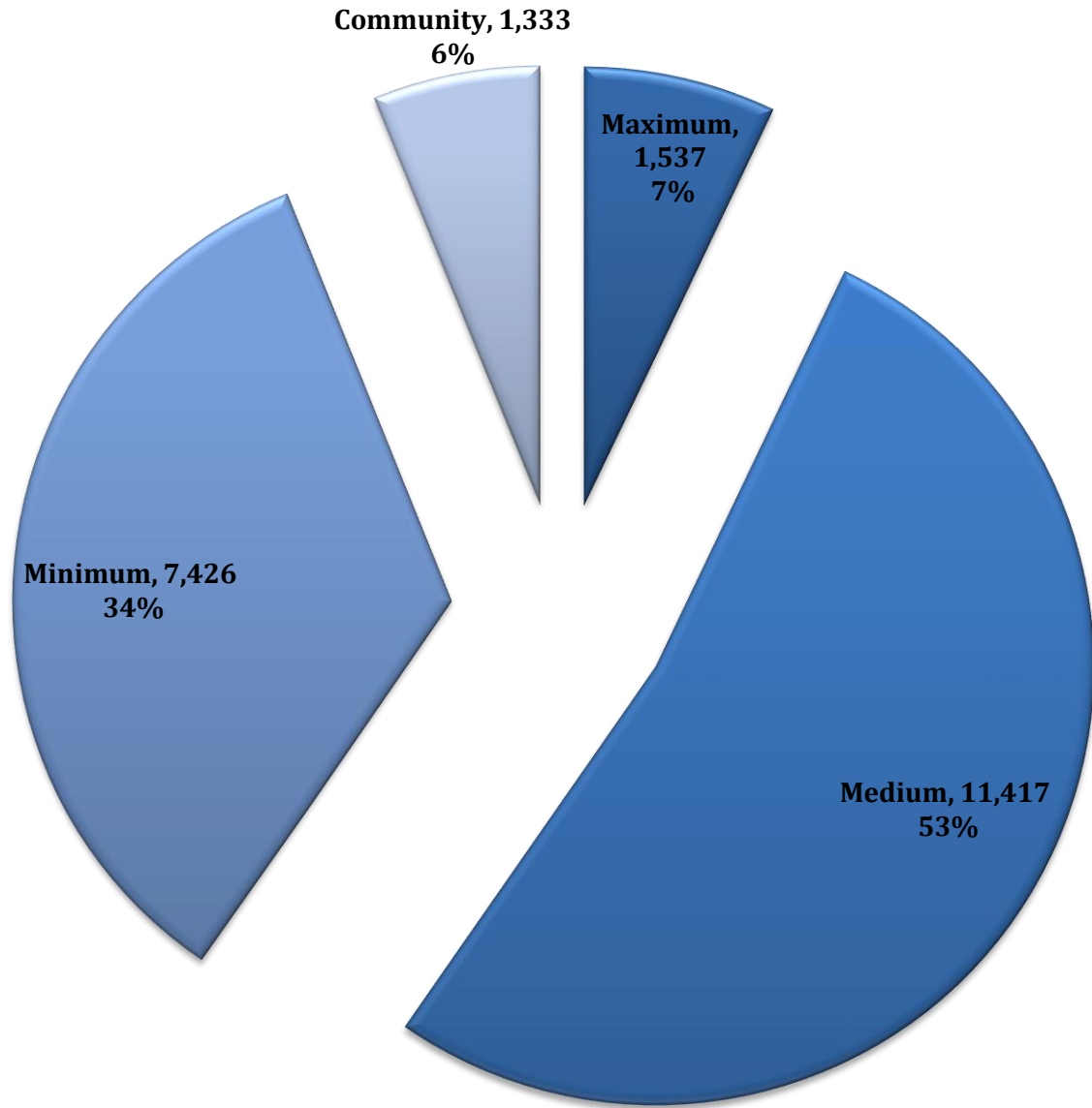
Total System Population	Females	Males	Total
Current System Population	9,360	44,642	54,002
Population Last Year	10,615	48,131	58,746
Change	(1,255)	(3,489)	(4,744)

Inmate and Bed Distribution August 31, 2020

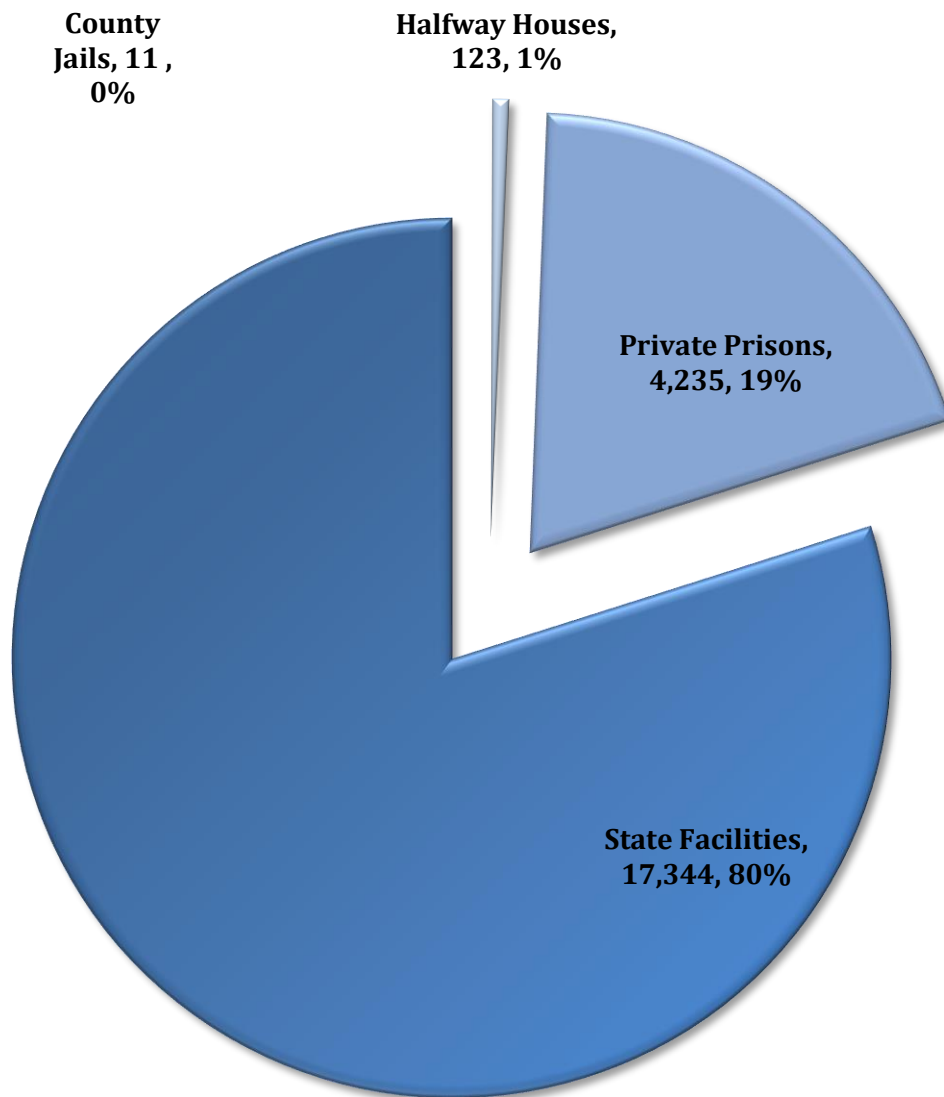


	Maximum	Medium	Minimum	Community	Outside Total	Total
Inmates	1,537	11,417	7,426	1,333	278	21,991
Rated + Temporary Beds	1,658	14,661	8,339	1,987	0	26,645

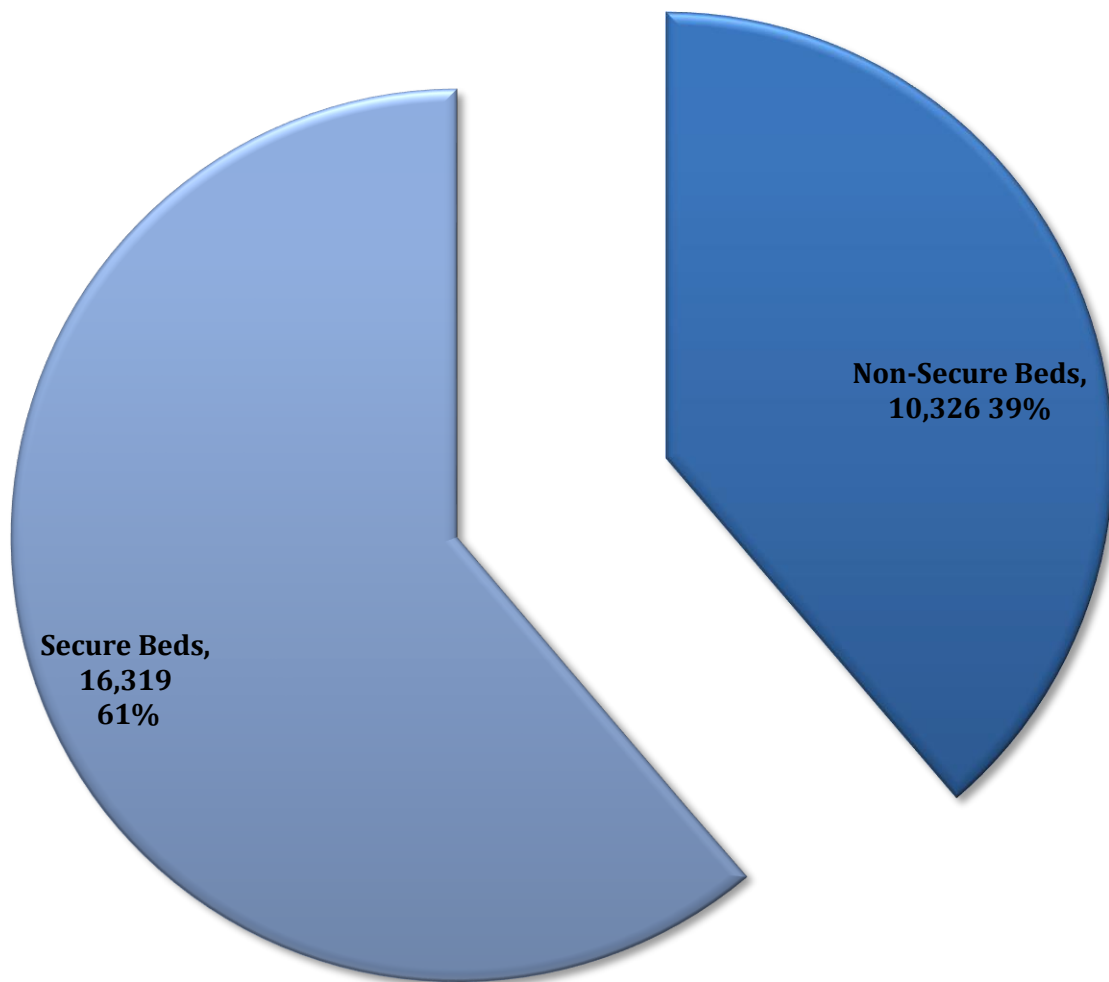
**Inmate Distribution by Security Level
August 31, 2020**



**INMATES IN STATE FACILITIES VS. CONTRACT FACILITIES
AUGUST 31, 2020**

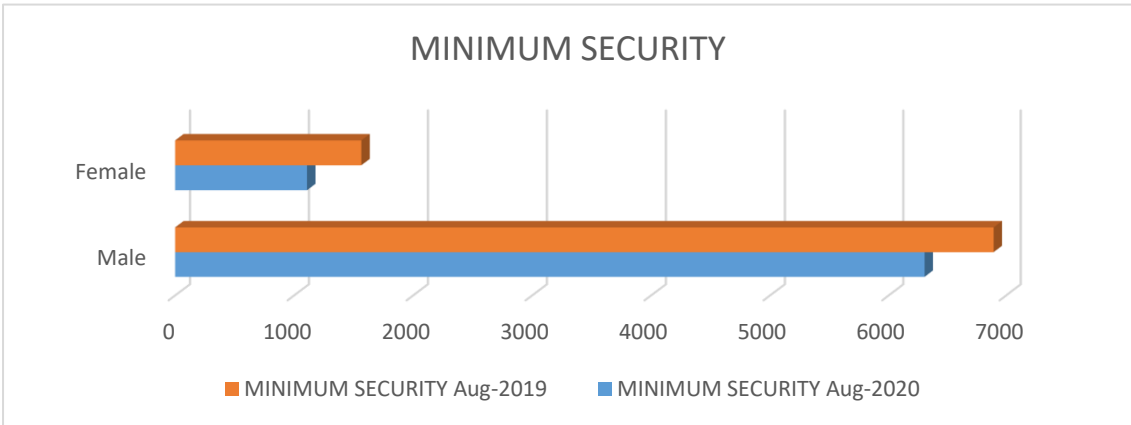
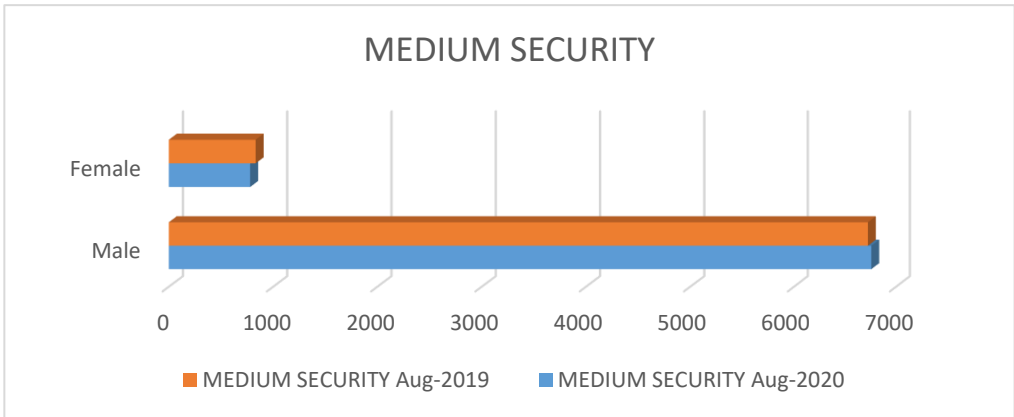
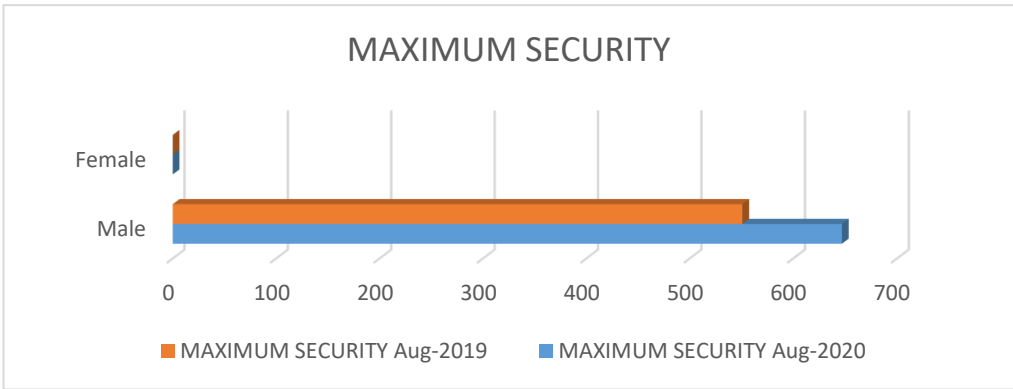
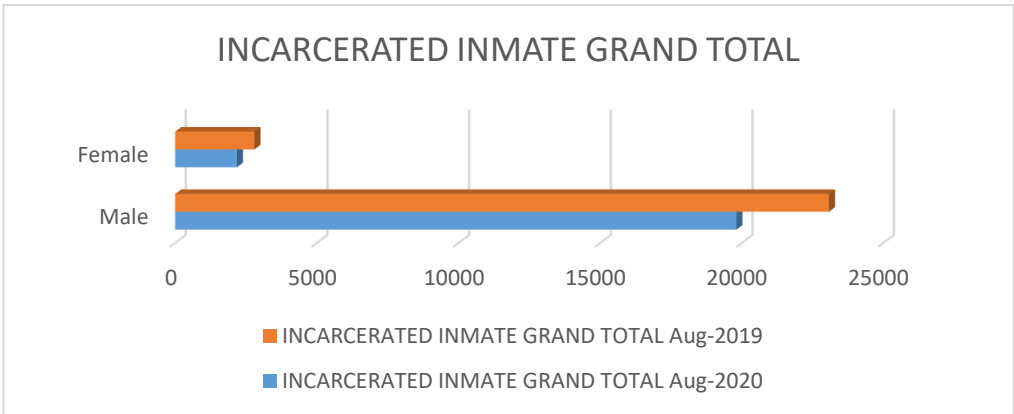


Percentage of Inmates in Secure and Non-Secure Beds August 31, 2020



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

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

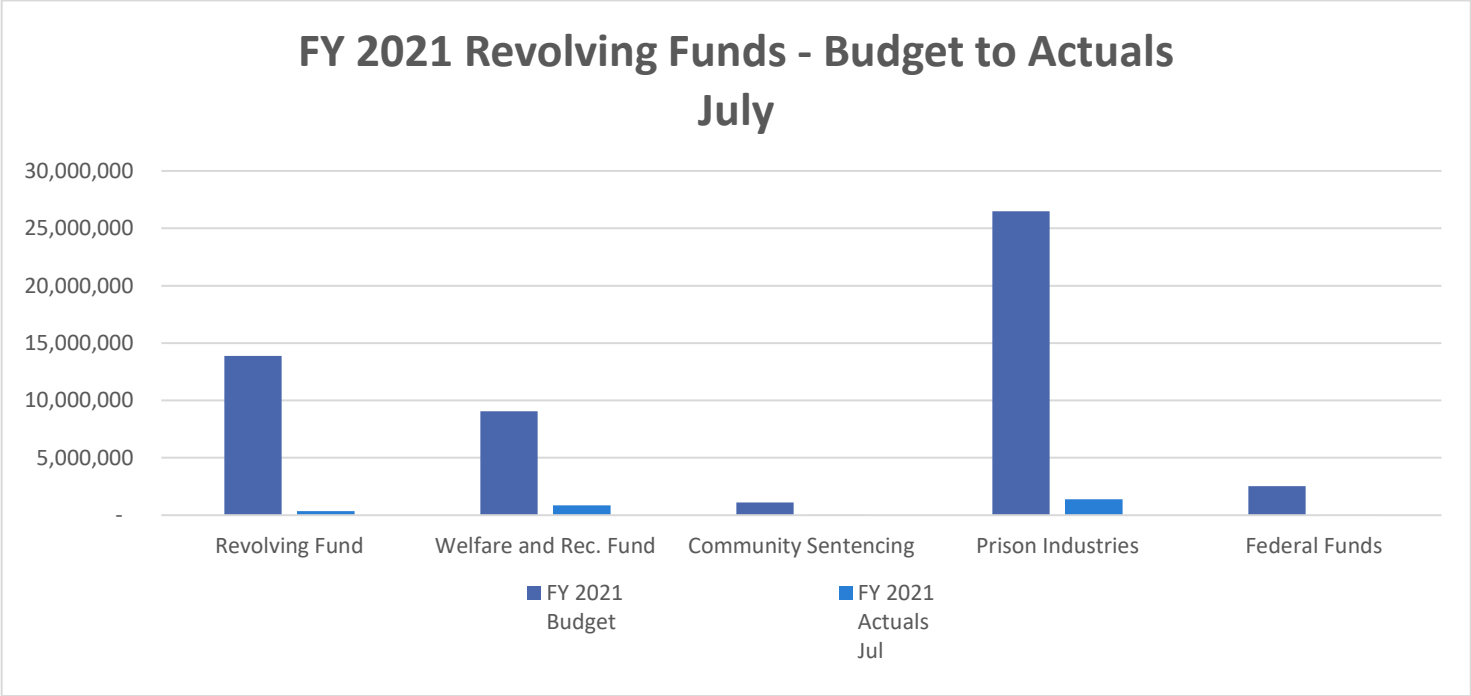


Three Year Expenditure Comparison

	FY 21 Jul	% Change from FY 20	FY 20 Jul	% Change from FY 19	FY 19 Jul
Salaries and Benefits					
Salaries	\$ 15,296,027	1.09%	\$ 15,130,850	8.57%	\$ 13,935,933
Overtime	(443)	-165.85%	673	-85.80%	4,736
Insurance	3,970,216	1.74%	3,902,125	-2.24%	3,991,681
Retirement	3,647,514	1.29%	3,601,188	8.50%	3,319,115
Contract Beds	-		-		-
Private Prisons	-		-		-
Halfway Houses	-		-		-
Contracted County Jails	-		-		-
Jail Backup	-		-		-
Jail Backup Transportation Reim	-		-		-
Medical Services	-	-100.00%	16,277		-
Hep C Treatment	-		-		-
Institutions	3,250	-99.20%	408,188	11199.33%	3,613
Probation and Parole	-	-100.00%	44,288	2049.91%	2,060
Community Corrections	500	-70.36%	1,687	237.39%	500
Inmate Programs	-		-	-100.00%	212
Community Sentencing	-		-		-
General Operations	937,992	-13.38%	1,082,901	258.32%	302,213
NFCC Lease	1,000,000		-	-100.00%	833,333
Central Office Operations	1,407	-39.06%	2,310	1293.42%	166
Divisional Operations	9,338	-92.67%	127,433	31057.32%	409
IT	-	-100.00%	30,894	9629.45%	318
Offender Management System	-		-		-
OCI / Agri-Services	24,197	28.88%	18,774		-
	<u>\$ 24,889,999</u>	<u>2.14%</u>	<u>\$ 24,367,588</u>	<u>8.81%</u>	<u>\$ 22,394,288</u>

Three Year Revolving Fund Comparison

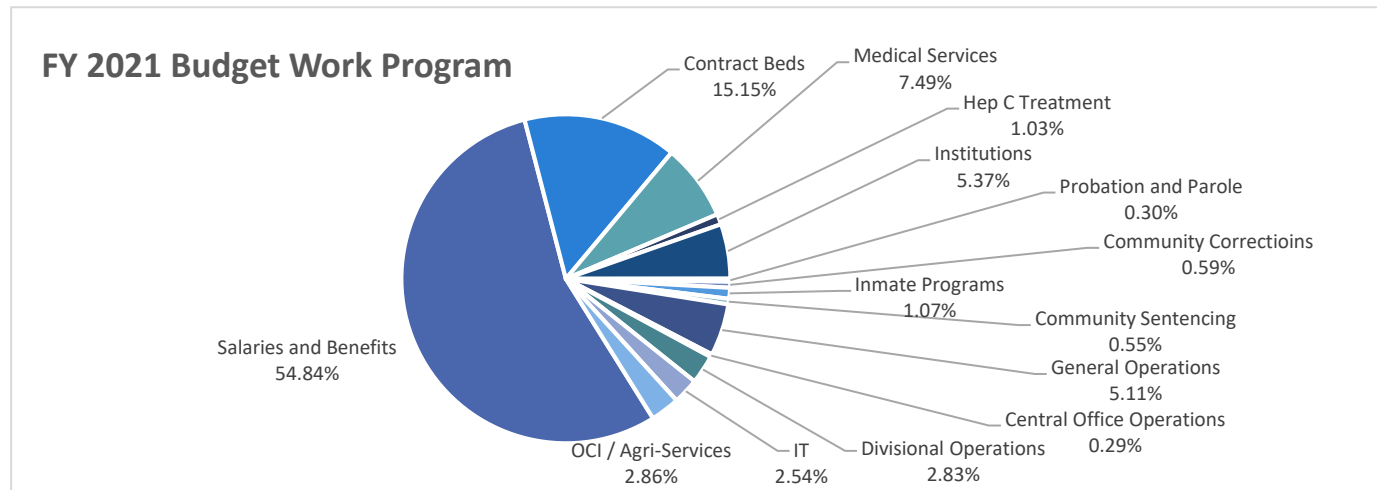
		FY 2021 Budget	FY 2021 Actuals Jul	% Change from FY 20	FY 20 Jul	% Change from FY 19	FY 19 Jul
200	Revolving Fund	13,893,991	368,275	-28.43%	514,574	-39.63%	852,366
205	Welfare and Rec. Fund	9,066,289	853,123	2.80%	829,887	173.30%	303,649
210	Community Sentencing	1,100,725	1,131	-89.51%	10,780	-28.62%	15,102
280	Prison Industries	26,473,847	1,375,981	-37.89%	2,215,355	-28.67%	3,105,913
410 & 430	Federal Funds	2,527,529	29,807	-72.10%	106,845	-68.47%	338,897
		<u>\$ 53,062,381</u>	<u>\$ 2,628,317</u>		<u>\$ 3,677,440</u>		<u>\$ 4,615,927</u>



FY 2021 Budget Work Program

	Current Budget	Expenditures	Encumbrances	Balance
Salaries and Benefits	\$ 320,791,924	\$ 22,913,314	\$ 86,483,890	\$ 211,394,720
Contract Beds	88,587,957	-	86,483,890	2,104,067
Medical Services	43,827,284	-	40,929,052	2,898,232
Hep C Treatment	6,000,000	-	-	6,000,000
Institutions	31,415,423	3,250	21,314,573	10,097,600
Probation and Parole	1,759,032	-	1,209,828	549,204
Community Corrections	3,425,282	500	2,072,960	1,351,822
Inmate Programs	6,276,336	-	5,168,251	1,108,085
Community Sentencing	3,192,915	-	58,852	3,134,063
General Operations	29,871,008	1,937,992	237	27,932,779
Central Office Operations	1,683,617	1,407	1,013,333	668,877
Divisional Operations	16,534,448	9,338	14,473,396	2,051,714
IT	14,828,152	-	3,889,846	10,938,306
OCI / Agri-Services	16,731,250	24,197	6,702,940	10,004,113
Grand Total	\$ 584,924,628	\$ 24,889,999	\$ 269,801,048	\$ 290,233,582

FY 2021 Budget Work Programs includes all funding sources.



Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Non-Appropriated Funds
July 1, 2020 through July 31, 2020

Revenue Code	200 Fund	205 Fund	210 Fund	225 Fund	280 Fund	Funds
Revenues						
428199 Disbursement Fees	\$ 1,134.86	\$ -	\$ -	\$ -	\$ -	\$ 1,134.86
433147 Bank Charge Back / Returned Check Fee	-	-	-	-	-	-
433199 Other Fines, Forfeits, Penalties (Admin. Fees, Inst. Debts)	11,973.58	-	1,131.00	-	-	13,104.58
443103 Rent from Land & Buildings	2,513.25	-	-	-	-	2,513.25
451101 Insurance and Other Reimbursement for Damages	-	-	-	-	-	-
452005 Reimbursement for Administrative Expense (PPWP)	178.79	-	-	-	-	178.79
452117 Reimbursement of Data Processing Fees	-	-	-	-	-	-
453003 Reimbursement for Travel Expense	-	-	-	-	-	-
455201 Federal Reimbursements	-	-	-	-	-	-
456101 Federal Funds Rec'd from Non-Gov. Ag.	-	-	-	-	-	-
458101 Refunded Money Previously Disbursed - Goods & Services	-	-	-	-	-	-
458105 Reimbursement for Funds Expended (Refunds - Payroll Reim.)	3,097.93	-	-	-	-	3,097.93
459171 Program Income (Dog Programs)	-	-	-	-	-	-
459199 Other Grants, Refunds and Reimbursements (P-card Rebate)	-	-	-	-	-	-
471122 Farm Products General	-	-	-	-	608,907.54	608,907.54
473105 Charge for Service - (Water Treatment Plant)	1,591.50	-	-	-	-	1,591.50
473176 Laboratory and Medical Services	17,851.86	-	-	-	-	17,851.86
474105 Sale of Documents (Copies)	1,136.00	-	-	-	-	1,136.00
474131 Sale of Merchandise	-	-	-	-	754,098.80	754,098.80
474124 Canteen and Concession Income	-	853,123.48	-	-	-	853,123.48
478105 Registration Fees	-	-	-	-	-	-
479121 Paper & Other Recyclable Materials	-	-	-	-	-	-
479131 Notification of Confinement - Social Security Admin	800.00	-	-	-	-	800.00
481102 Contributions - Patients & Inmates	2,457.35	-	-	-	-	2,457.35
481121 Probation & Parole Fees, DNA Fees, GPS Fees, Restitution Fees	257,273.76	-	-	-	-	257,273.76
482101 Deposits by Patients and Offenders (Program Fees - Work Release)	67,414.50	-	-	-	12,974.71	80,389.21
483607 Sale of Salvage	851.66	-	-	-	-	851.66
488191 Purchase Card Refunds	-	-	-	-	-	-
Total Revenues	368,275.04	853,123.48	1,131.00	-	1,375,981.05	2,598,510.57
Account Code						
Expenditures						
11,12,13 Payroll	5,886.19	-	-	-	683,628.41	689,514.60
15 Professional Services	963,415.22	212,861.00	370.50	-	79,490.22	1,256,136.94
21, 22 Travel	-	63,691.45	159.99	-	1,488.50	65,339.94
31 Misc. Admin. Expenses	586.87	5,105.84	-	-	36,267.27	41,959.98
32 Rent	6,748.25	6,388.05	-	-	2,557.50	15,693.80
33 Maintenance and Repair	235,421.35	69,608.09	-	-	62,860.93	367,890.37
34 Specialized Supplies and Materials	16,904.35	128,742.88	-	-	38,821.82	184,469.05
35 Production, Safety and Security	-	2,451.75	-	-	39,551.76	42,003.51
36 General Operating Expenses	1,366.74	14,776.72	-	-	10,442.57	26,586.03
37 Shop Expense	7,825.38	66,928.82	-	-	120,231.62	194,985.82
41 Furniture and Equipment	30,569.07	108,375.36	-	-	56,775.93	195,720.36
42 Library Equipment and Resources	-	8,837.20	-	-	-	8,837.20
43 Lease Purchases	-	-	-	-	-	-
44 Livestock and Poultry	-	-	-	-	-	-
45 Land and Right-of-way	-	-	-	-	-	-
46, 47 Building, Construction and Renovation	-	-	-	-	9,018.60	9,018.60
48 Debt Service	-	-	-	-	-	-
51 Inmate Pay and Health Services	50.22	202,895.53	-	-	147,027.04	349,972.79
52 Tuitions, Awards and Incentives	-	460.00	-	-	-	460.00
53 Refunds and Restitutions	-	-	-	-	-	-
54 Jail Backup, County Jails and Other	-	-	-	3,956.00	-	3,956.00
55 Payment to Gov. Sub-Division	-	-	-	-	-	-
59 Assistance Payments to Agencies	-	-	-	-	-	-
61 Loans, Taxes and other Disbursements	-	-	-	-	-	-
62 Transfers - Out Sourced Health Care	1,502.48	-	-	-	-	1,502.48
64 Merchandise for Resale	1,420.68	-	-	-	1,198,053.77	1,199,474.45
Total Expenditures	1,271,696.80	891,122.69	530.49	3,956.00	2,486,215.94	4,653,521.92
Cash						
Beginning Cash Balance	9,626,488.59	1,047,461.43	1,121,504.27	765,707.66	6,866,701.62	19,427,863.57
Revenue Received this Year	368,275.04	853,123.48	1,131.00	-	1,375,981.05	2,598,510.57
Expenditures made this Year	(1,271,696.80)	(891,122.69)	(530.49)	(3,956.00)	(2,486,215.94)	(4,653,521.92)
Beginning Change in Liabilities	(188,180.58)	(1,974.51)	-	-	(69,768.08)	(259,923.17)
Transfers	2,483,337.46	-	-	-	-	2,483,337.46
Adjustments	-	-	-	-	-	-
Ending Cash Balance	\$ 11,018,223.71	\$ 1,007,487.71	\$ 1,122,104.78	\$ 761,751.66	\$ 5,686,698.65	\$ 19,596,266.51

Oklahoma Department of Corrections
Statement of Revenues, Expenditures and Changes in Fund Balances
Federal Funding
July 1, 2020 through July 31, 2020

Revenue	410 Fund	430 Fund	Funds
Revenues			
Code Current:			
556 Federal Funds Rec'd from Non-Gov. Ag.	\$ -	\$ -	\$ -
561 Private Grants and Donations for Opns.	-	29,806.70	29,806.70
581 Reimbursements	-	-	-
<i>Total Revenues</i>	<u>-</u>	<u>29,806.70</u>	<u>29,806.70</u>
Expenditures			
Account Code Current:			
11,12,13 Payroll	19,661.51	15,056.73	34,718.24
15 Professional Services	-	2,794.71	2,794.71
21, 22 Travel	-	-	-
31 Misc. Admin. Expenses	-	-	-
32 Rent	47.47	-	47.47
33 Maintenance and Repair	16.00	25,080.00	25,096.00
34 Specialized Supplies and Materials	-	-	-
35 Production, Safety and Security	-	-	-
36 General Operating Expenses	7,459.93	-	7,459.93
37 Shop Expense	-	3,232.50	3,232.50
41 Furniture and Equipment	47,819.81	41,734.80	89,554.61
42 Library Equipment and Resources	-	-	-
43 Lease Purchases	-	-	-
44 Livestock and Poultry	-	-	-
45 Land and Right-of-way	-	-	-
46 Building, Construction and Renovation	-	-	-
48 Debt Service	-	-	-
51 Inmate Pay and Health Services	-	-	-
52 Tuitions, Awards and Incentives	-	-	-
53 Refunds and Restitutions	-	-	-
54 Jail Backup, County Jails and Other	-	-	-
55 Payment to Gov. Sub-Division	-	-	-
59 Assistance Payments to Agencies	-	-	-
61 Loans, Taxes and Other Disbursements	-	-	-
62 Transfers - Out Sourced Health Care	-	-	-
64 Merchandise for Resale	-	-	-
<i>Total Expenditures</i>	<u>75,004.72</u>	<u>87,898.74</u>	<u>162,903.46</u>
Cash			
Beginning Cash Balance	209,851.66	161,922.57	371,774.23
Revenue Received this Year	-	29,806.70	29,806.70
Expenditures made this Year	(75,004.72)	(87,898.74)	(162,903.46)
Beginning Change in Liabilities	-	-	-
Transfers	-	-	-
Adjustments	-	-	-
<i>Ending Cash Balance</i>	<u>\$ 134,846.94</u>	<u>\$ 103,830.53</u>	<u>\$ 238,677.47</u>

Oklahoma Department of Corrections
FY 2021 Appropriation for the Month of July 2020

Account Code	Budgeted	Expenditures	Encumbered	Pre-Encumbered	Committed	Balance
11,12,13 Payroll, Insurance, FICA and Retirement	\$ 311,214,305.00	\$ 22,202,584.34	\$ -	\$ -	\$ 22,202,584.34	\$ 289,011,720.66
15 Professional Services	99,651,878.00	-	92,257,254.63	-	92,257,254.63	7,394,623.37
17 Moving Expenses	-	-	-	-	-	-
19 Flexible Benefits	310,000.00	-	-	-	-	310,000.00
21, 22 Travel	451,757.00	835.36	57,214.00	-	58,049.36	393,707.64
31 Miscellaneous Administrative Expenses	16,089,692.00	10,982.02	13,018,693.00	-	13,029,675.02	3,060,016.98
32 Rent Expense	16,380,083.00	1,001,802.73	2,010,573.30	-	3,012,376.03	13,367,706.97
33 Maintenance & Repair Expense	7,077,358.90	-	1,447,041.99	-	1,447,041.99	5,630,316.91
34 Specialized Supplies and Materials	38,372,684.60	-	30,976,127.25	-	30,976,127.25	7,396,557.35
35 Production, Safety and Security	2,402,083.00	-	838,408.24	-	838,408.24	1,563,674.76
36 General Operating Expenses	620,707.00	-	38,670.03	851.10	39,521.13	581,185.87
37 Shop Supplies	5,256,743.50	-	1,384,346.00	-	1,384,346.00	3,872,397.50
41 Property Furniture and Equipment	3,113,703.00	-	116,314.16	-	116,314.16	2,997,388.84
42 Library Equipment and Resources	3,330.00	-	-	-	-	3,330.00
43 Lease Purchase	112,500.00	2,865.31	-	-	2,865.31	109,634.69
44 Live Stock – Poultry	-	-	-	-	-	-
45,46,47 Building Construction and Renovation	1,000.00	-	-	-	-	1,000.00
48 Bond Payment	12,106,252.00	935,127.05	-	-	935,127.05	11,171,124.95
49 Inter-Agency Payments	-	-	-	-	-	-
51 Inmate Pay and Health Services	1,200,000.00	-	800,100.00	-	800,100.00	399,900.00
52 Scholarships, Tuition and other incentives	2,500.00	-	-	-	-	2,500.00
53 Refunds, Indemnities, and Restitution	50,000.00	-	-	-	-	50,000.00
54 Jail Back Up and others	3,804,000.00	-	3,804,600.00	-	3,804,600.00	(600.00)
55,59 Assistance Payments to Agencies	-	-	-	-	-	-
60 Authority Orders	-	-	6,972,353.09	-	6,972,353.09	(6,972,353.09)
61 Loans, Taxes, and other Disbursements	2,670.00	-	1,500.00	-	1,500.00	1,170.00
62 Transfers – Inmate Medical Payments	12,889,000.00	-	9,000,000.00	-	9,000,000.00	3,889,000.00
64 Merchandise for Resale	-	-	-	-	-	-
TOTAL	\$ 531,112,247.00	\$ 24,154,196.81	\$ 162,723,195.69	\$ 851.10	\$ 186,878,243.60	\$ 344,234,003.40

Funding	Budgeted	Expenditures	Encumbered	Pre-Encumbered	Committed	Balance
10501 Duties	50,052,383.00	-	45,052,383.00	851.10	45,053,234.10	4,999,148.90
19003 Duties	3,052,677.00	-	3,052,677.00	-	3,052,677.00	-
19101 Duties	476,427,473.00	24,154,196.81	114,618,135.69	-	138,772,332.50	337,655,140.50
38301 Opioid Lawsuit Settlement Fund	1,579,714.00	-	-	-	-	1,579,714.00
TOTAL	\$ 531,112,247.00	\$ 24,154,196.81	\$ 162,723,195.69	\$ 851.10	\$ 186,878,243.60	\$ 344,234,003.40

Section-01 Organization	P-010100	Page: 1	Effective Date: 09/29/2020
System of Manuals, Handbooks and Monitoring Procedures	ACA Standards: 2-CO-1A-05, 2-CO-1A-16, 2-CO-1A-17, 2-CO-1A-21, 5-ACI-1A-12, 5-ACI-1A-14, 5-ACI-3A-01, 4-ACRS-7B-07, 4-ACRS-7B-08, 4-APPFS-3D-05		
T. Hastings Siegfried, Chair Oklahoma Board of Corrections			

System of Manuals, Handbooks and Monitoring Procedures

The Oklahoma Board of Corrections (BOC) will maintain a system of coordinated manuals of policies, procedures, and administrative rules that govern the agency, and are made available to all employees and, as applicable, the inmates/offenders and the public. (2-CO-1A-16, 5-ACI-1A-12, 5-ACI-3A-01, 4-ACRS-7B-07) In accordance with the Oklahoma Open Records Act, this information, except for confidential and security related information, will be made available to the public upon written request at a cost of 25 cents per page and from the Oklahoma Department of Corrections (ODOC) website at <http://doc.ok.gov>. (2-CO-1A-16)

I. Manuals and Handbooks

Procedures will govern the process for creation, approval, annual review and issuance of policies, procedures, administrative rules, management manuals, handbooks and forms used by the agency. (2-CO-1A-17, 5-ACI-1A-12, 4-ACRS-7B-08, 4-APPFS-3D-05)

A. Organization

A uniform system will ensure that topics are grouped by management category or like topics and duplication is eliminated.

B. Forms

A process for the development, authorization, annual review, issuance, and control of agency forms will be established to ensure updates are available.

C. Compliance Monitoring

A system to monitor compliance with policies, procedures, administrative rules, applicable statutes and standards will be outlined to ensure monitoring instruments are available. (2-CO-1A-21)

II. Responsibility for Adoption of Policies and Procedures (2-CO-1A-05)

Adoption of policies and procedures will occur in the following manner:

A. Board Policy

The BOC will be responsible for the adoption of policy statements during regularly scheduled open meetings. Upon the approval of the Board and the signature of the chairperson, the agency will ensure policies are disseminated to designated staff, volunteers and, when appropriate,

inmates prior to implementation and are made accessible to the public and all staff as indicated by the effective date of the policy. (5-ACI-1A-14, 4-ACRS-7B-08)

B. Agency Operational Procedures

The agency director will be responsible for the adoption of operational procedures. Upon approval and signature of the agency director, procedures will be made accessible through the agency internet website, distributed to manual holders and available upon request (4-ACRS-7B-08). Guidelines for distribution and access of confidential and security related procedures will be established. (5-ACI-3A-01)

III. References

51 O.S. § 24 A.5

57 O.S. § 504(b) (1)

57 O.S. § 507(b)

IV. Action

The agency director is responsible for compliance with this policy.

The agency director is responsible for annual review and revisions if needed.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-010100 entitled "System of Manuals, Handbooks and Monitoring Procedures" dated February 22, 2019

Distribution: Policy and Operations Manual
Agency Website

Section-01 Organization	P-010100	Page: 1	Effective Date: draft 02/22/2019
System of Manuals, Handbooks and Monitoring Procedures	ACA Standards: 2-CO-1A-05, 2-CO-1A-16, 2-CO-1A-17, 2-CO-1A-21, 4-4012 5-ACI-1A-12, 5-ACI-1A-14 4-4014, 5-ACI-3A-01 4-4174, 4-ACRS-7B-07, 4-ACRS-7B-08, 4-APPFS-3D-05		
<u>T. Hastings Siegfried</u> Frank X. Henke, IV , Chair			
Oklahoma Board of Corrections			

System of Manuals, Handbooks and Monitoring Procedures

The Oklahoma Board of Corrections (BOC) will maintain a system of coordinated manuals of policies, procedures, and administrative rules that govern the agency, and are made available to all employees and, as applicable, the inmates/offenders and the public. (2-CO-1A-16, ~~4-4012~~ 5-ACI-1A-12, ~~5-ACI-3A-01~~ 4-4174, 4-ACRS-7B-07) In accordance with the Oklahoma Open Records Act, this information, except for confidential and security related information, will be made available to the public upon written request at a cost of 25 cents per page and from the Oklahoma Department of Corrections (ODOC) website at <http://doc.ok.gov>. (2-CO-1A-16)

I. Manuals and Handbooks

Procedures will govern the process for creation, approval, annual review and issuance of policies, procedures, administrative rules, management manuals, handbooks and forms used by the agency. (2-CO-1A-17, ~~5-ACI-1A-12~~ 4-4012, 4-ACRS-7B-08, 4-APPFS-3D-05)

A. Organization

A uniform system will ensure that topics are grouped by management category or like topics and duplication is eliminated.

B. Forms

A process for the development, authorization, annual review, issuance, and control of agency forms will be established to ensure updates are available.

C. Compliance Monitoring

A system to monitor compliance with policies, procedures, administrative rules, ~~—~~ applicable statutes and standards will be outlined to ensure monitoring instruments are available. (2-CO-1A-21)

II. Responsibility for Adoption of Policies and Procedures (2-CO-1A-05)

Adoption of policies and procedures will occur in the following manner:

A. Board Policy

The Board of Corrections will be responsible for the adoption of policy statements during regularly scheduled open meetings. Upon the approval of the Board and the signature of the chairperson, the agency will ensure

policies are distributed and are made accessible. ([5-ACI-1A-14-4-4014](#), 4-ACRS-7B-08)

B. Agency ~~Policy and~~ Procedures

The agency director will be responsible for the adoption of operational ~~policy and~~ procedures. Upon approval and signature of the agency director, ~~policy and~~ procedures will be made accessible through the agency internet website, distributed to manual holders and available upon request (4-ACRS-7B-08). Guidelines for distribution and access of confidential and security related procedures will be established. ([5-ACI-3A-01-4-4174](#))

III. References

51 O.S. § 24 A.5

57 O.S. § 504(b) (1)

57 O.S. § 507(b)

IV. Action

The agency director is responsible for compliance with this policy.

The agency director is responsible for annual review and revisions if needed.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-010100 entitled "System of Manuals, Handbooks and Monitoring Procedures" dated ~~February 22, 2019~~November 8, 2017

Distribution: Policy and Operations Manual
Agency Website

~~AR 10/23/19 CR~~

~~SR 12/10/19 CR~~

~~Ready for Proofing 12/30/19 CR~~

Section-02 Information Management	P-020600	Page: 1	Effective Date: 09/29/2020
Legislative Initiative Process	ACA Standards: 2-CO-1A-15, 2-CO-1A-21, 2-CO-1F-07, 5-ACI-1A-01		
T. Hasting Siegfried, Chair Oklahoma Board of Corrections			

Legislative Initiative Process

I. Board Approval of Department Legislative Initiatives

A. Legislative Initiatives (5-ACI-1A-01)

The Oklahoma Department of Corrections (ODOC) evaluates its operations within the context of current law, statutes, and court rulings; ODOC may propose legislation to enhance operations, facilitate court decisions, implement new programs and functions, enhance fiscal operations, establish incarceration strategies and policy, and maintain constitutional compliance in meeting the mission of the agency.

B. Presentation

The director of the Oklahoma Department of Corrections, or designee, will present to the Board of Corrections (BOC), for their approval any recommendations for legislative initiatives for the next regularly scheduled session of the Oklahoma Legislature no later than the November BOC meeting.

C. Board Committee

The BOC chair will select members to serve on the Public Policy/Affairs Committee to work with agency staff in preparing the agency's legislative initiatives for the ensuing legislative session. The committee will meet as needed and submit its recommendations to the BOC no later than the November BOC meeting.

D. Board Consideration and Approval

If available, the BOC will consider for approval a draft of the proposed language of all legislative initiatives in the context of its mission, strategic plans, agency operations, fiscal impact, and the goals of the BOC and agency.

II. Executive and Legislative Cooperation (2-CO-1A-15, 2-CO-1F-07)

The BOC recognizes the value of the service provided by the agency to the Governor's Office and other executive offices, to the Oklahoma Legislative members, committees and subcommittees, and the staff of both the Senate and House, regarding the various bills introduced each year that may impact the agency. All bills introduced and pending will be analyzed as to whether they impact the operation, budget, staff or inmate/offender population of the agency.

III. Legislative Team Designation

The agency director will designate or appoint staff to communicate and work with the Oklahoma Legislature in achieving the legislative initiatives.

IV. Reports (2-CO-1A-21)

A. Monthly Updates

Continuing monthly throughout the legislative session, the director or designee will report progress to the BOC on each of the agency's legislative initiatives, as well as other identified legislation of significance, to the agency.

B. Final Report

In June of each year, the agency director or designee will report the final results of the agency's legislative initiatives including other bills that were enacted and signed by the Governor that impact the agency.

V. Action

The agency director is responsible for compliance with this policy.

The agency 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-020600 entitled "Legislative Initiative Process" dated October 10, 2018

Distribution: Policy and Operations Manual
Agency Website

Section-02 Information Management	P-020600	Page: 1	Effective Date: draft 10/10/2018
Legislative Initiative Process	ACA Standards: 2-CO-1A-15, 2-CO-1A-21, 2-CO-1F-07, 5- <u>ACI-1A-01</u>		
<u>T. Hasting Siegfried</u> Frank X. Henke, IV , Chair			
Oklahoma Board of Corrections			

Legislative Initiative Process

I. Board Approval of Department Legislative Initiatives

A. Legislative Initiatives ~~(5-ACI-1A-01)~~

The Oklahoma Department of Corrections (ODOC) evaluates its operations within the context of current law, statutes, and court rulings; ODOC may propose legislation to enhance operations, facilitate court decisions, implement new programs and functions, enhance fiscal operations, establish incarceration strategies and policy, and maintain constitutional compliance in meeting the mission of the agency.

B. Presentation

The director of the Oklahoma Department of Corrections, or designee, will present to the Board of Corrections (BOC), for their approval any recommendations for legislative initiatives for the next regularly scheduled session of the Oklahoma Legislature no later than the November BOC meeting.

C. Board Committee

The BOC chair will select members to serve on the Public Policy/Affairs Committee to work with agency staff in preparing the agency's legislative initiatives for the ensuing legislative session. The committee will meet as needed and submit its recommendations to the BOC no later than the November BOC meeting.

D. Board Consideration and Approval

If available, the BOC will consider for approval a draft of the proposed language of all ~~new~~ legislative initiatives in the context of its mission, strategic plans, agency operations, fiscal impact, and the goals of the BOC and agency.

II. Executive and Legislative Cooperation (2-CO-1A-15, 2-CO-1F-07)

The BOC recognizes the value of the service provided by the agency to the Governor's Office and other executive offices, to the Oklahoma Legislative members, committees and subcommittees, and the staff of both the Senate and House, regarding the various bills introduced each year that may impact the agency. All bills introduced and pending will be analyzed as to whether they impact the

operation, budget, staff or inmate/offender population of the agency.

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IV. Reports (2-CO-1A-21)

A. Monthly Updates

Continuing monthly throughout the legislative session, the director or designee will report progress to the BOC on each of the agency's legislative initiatives, as well as other identified legislation of significance, to the agency.

B. Final Report

In June of each year, the agency director or designee will report the final results of the agency's legislative initiatives including other bills that were enacted and signed by the Governor that impact the agency.

V. Action

The agency director is responsible for compliance with this policy.

The agency 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-020600 entitled "Legislative Initiative Process" dated ~~October 10, 2018~~~~August 22, 2017~~

Distribution: Policy and Operations Manual
Agency Website

~~AR 11/20/19 CR~~

~~SR 12/18/19 CR~~

~~Pending proofing 1/6/20 CR~~

Section-02 Information Management	P-020700	Page: 1	Effective Date: 09/29/2020
Information System	ACA Standards: 2-CO-1F-01, 2-CO-1F-02, 2-CO-1F-03, 2-CO-1F-06, 5-ACI-1F-01, 5-ACI-1F-02, 5-ACI-1F-03, 5-ACI-1F-06, 5-ACI-1F-07, 4-ACRS-7D-05, 4-APPFS-3D-30, 4-APPFS-3D-31		
T. Hastings Siegfried, Chair Oklahoma Board of Corrections			

Oklahoma Department of Corrections Data System Management

It is the policy of the Oklahoma Board of Corrections that the Oklahoma Department of Corrections (ODOC) maintains standards for the operation of the automated information system. This policy ensures that uniform standards for all aspects of the system are implemented throughout the agency.

I. Implementation and Responsibility

The agency director will ensure that an automated information system, utilizing agency goals and objectives as guidelines, is implemented and monitored. (2-CO-1F-02, 2-CO-1F-03, 5-ACI-1F-01, 4-ACRS-7D-05, 4-APPFS-3D-30)

II. Format and Procedures

The format of all electronic files is standardized in accordance with a specific format and procedures are developed to ensure the timely generation of electronic reports.

A. Standards

Procedure standards for the data system will include the following (5-ACI-1F-02):

1. Collecting, recording, organizing, processing, storing, retrieving and reporting of all automated information; (2-CO-1F-01, 2-CO-1F-03, 4-ACRS-7D-05, 4-APPFS-3D-31)
2. Security of the information and data collection system will be maintained; to include the coding, entering all information into the automated system, verification of data, access to such data, and protection of the privacy of inmates/offenders and staff; (2-CO-1F-06, 5-ACI-1F-03, 5-ACI-1F-07)
3. Maintenance and utilization of computer hardware is established for the central Information Technology Unit and for other locations; and
4. Standardized equipment configurations and software systems are in place to ensure compatibility and connectivity to include the telecommunications network.

B. Training

All staff responsible for working with the data system will be provided sufficient instruction, instructional manuals and training to ensure successful

execution of their duties and knowledge of related security requirements. (5-ACI-1F-06, 5-ACI-1F-07)

C. Evaluations

Annual evaluations of the data system will be conducted ensuring applications are operational, user needs are met, procedures are followed and defined goals and objectives of the systems are met. (2-CO-1F-02, 2-CO-IF-03, 5-ACI-1F-01, 4-ACRS-7D-05, 4-APPFS-3D-30)

III. Action

The agency director is responsible for compliance with this policy.

The agency 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-020700 entitled "Oklahoma Department of Corrections Information System" dated April 5, 2018

Distribution: Policy and Operations Manual
Agency Website

Section-02 Information Management	P-020700	Page: 1	Effective Date: draft 04/05/2018
Information System	ACA Standards: 2-CO-1F-01, 2-CO-1F-02, 2-CO-1F-03, 2-CO-1F-06, 5-ACI-1F-01, 5-ACI-1F-02, 5-ACI-1F-03, 5-ACI-1F-06, 5-ACI-1F-07 4-4100, 4-4101, 4-4106 , 4-ACRS-7D-05, 4-APPFS-3D-30, 4-APPFS-3D-31		
<u>T. Hastings Siegfried</u> Frank X. Henke, IV , Michael W. Roach , Chair			
Oklahoma Board of Corrections			

Oklahoma Department of Corrections Data System Management

It is the policy of the Oklahoma Board of Corrections that the Oklahoma Department of Corrections (ODOC) maintains standards for the operation of the automated information system. This policy ensures that uniform standards for all aspects of the system are implemented throughout the agency.

I. Implementation and Responsibility

The agency director will ensure that an automated information system, utilizing agency goals and objectives as guidelines, is implemented and monitored. (2-CO-1F-02, 2-CO-1F-03, ~~4-4100~~5-ACI-1F-01, 4-ACRS-7D-05, 4-APPFS-3D-30)

II. Format and Procedures

The format of all electronic files is standardized in accordance with a specific format and procedures are developed to ensure the timely generation of electronic reports.

A. Standards

Procedure standards for the data system will include the following (5-ACI-1F-02):

1. Collecting, recording, organizing, processing, storing, retrieving and reporting of all automated information; (2-CO-1F-01, 2-CO-1F-03, 4-ACRS-7D-05, 4-APPFS-3D-31)
2. Security of the information and data collection system will be maintained; to include the coding, entering all information into the automated system, verification of data, access to such data, and protection of the privacy of inmates, offenders and staff; (2-CO-1F-06, 5-ACI-1F-03, 5-ACI-1F-07~~4-4101~~)
3. Maintenance and utilization of computer hardware is established for the central Information Technology Unit and for other locations; and
4. Standardized equipment configurations and software systems are in place to ensure compatibility and connectivity to include the telecommunications network.

B. Training

All staff responsible for working with the data system will be provided sufficient instruction, instructional manuals and training to ensure successful execution of their duties and knowledge of related security requirements. (~~4-41015-ACI-1F-06~~, ~~5-ACI-1F-07~~)

C. Evaluations

Annual evaluations of the data system will be conducted ensuring applications are operational, user needs are met, procedures are followed and defined goals and objectives of the systems are met. (2-CO-1F-02, 2-CO-IF-03, ~~4-41005-ACI-1F-01~~, ~~4-4106~~, 4-ACRS-7D-05, 4-APPFS-3D-30)

III. Action

The agency director is responsible for compliance with this policy.

The agency 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-020700 entitled "Oklahoma Department of Corrections Information System" dated ~~April 5, 2018~~ ~~August 22, 2017~~

Distribution: Policy and Operations Manual
Agency Website

~~AR 10/26/18 cr~~

~~SR 11/5/18 CR~~

Section-02 Information Management	P-020800	Page: 1	Effective Date: 09/29/2020
Guidelines for Research and Research-Related Activities	ACA Standards: 2-CO-IF-09, 2-CO-IF-10, 2-CO-1F-11, 2-CO-1F-15, 5-ACI-1F-13, 5-ACI-1F-16, 5-ACI-1F-18, 4-ACRS-7D-12, 4-APPFS-3D-35, 4-APPFS-3D-37		
T. Hastings Siegfried, Chair Oklahoma Board of Corrections			

Guidelines for Research and Research-Related Activities

It is the policy of the Board of Corrections that the Oklahoma Department of Corrections (ODOC) promulgates guidelines for conducting research and ensures research-related activities comply with state and federal guidelines for the use and dissemination of research findings. (2-CO-1F-10, 5-ACI-1F-16, 4-APPFS-3D-35)

I. Purpose

A. Discussion

The agency supports and engages in a wide range of research activities relevant and applicable to its programs, services and operations. (2-CO-1F-10, 5-ACI-1F-13, 4-APPFS-3D-35)

Recognizing the value of research and the impact of research on correctional management, the Board of Corrections has established guidelines for conducting research and research-related activities including the publication and dissemination of the research. (2-CO-IF-09, 2-CO-1F-11, 5-ACI-1F-16, 5-ACI-1F-18, 4-ACRS-7D-12, 4-APPFS-3D-37)

B. Guidelines

The agency will ensure:

1. Research is well organized and conducted in a cost-effective manner; and
2. The rights of inmates or offenders and staff involved in research are protected and govern voluntary inmate participation in non-medical, non-pharmaceutical, and non-cosmetic research programs. (2-CO-1F-15, 5-ACI-1F-16, 5-ACI-1F-18, 4-ACRS-7D-12, 4-APPFS-3D-37)

C. Use of Research

Research results will be used to analyze the agency's present activities and as a guideline for future decision-making and policy development.

II. Action

The agency director is responsible for compliance with this policy.

The agency director is responsible for the annual review and revisions.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-020800 entitled "Guidelines for Research and Research-Related Activities" dated October 10, 2018

Distribution: Policy and Operations Manual
Agency Website

Section-02 Information Management	P-020800	Page: 1	Effective Date: draft10/10/2018
Guidelines for Research and Research-Related Activities	ACA Standards: 2-CO-IF-09, 2-CO-IF-10, 2-CO-1F-11, 2-CO-1F-15, 5-ACI-1F-13, 4-4108, 5-ACI-1F-16, 4-4111, 5-ACI-1F-18, 4-4113 , 4-ACRS-7D-12, 4-APPFS-3D-35, 4-APPFS-3D-37		
<u>T. Hastings Siegfried</u> Frank X. Henke, IV , Chair			
Oklahoma Board of Corrections			

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II. Action

The agency director is responsible for compliance with this policy.

The agency director is responsible for the annual review and revisions.

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

This policy is effective as indicated.

Replaced: Policy Statement No. P-020800 entitled "Guidelines for Research and Research-Related Activities" dated ~~October 10, 2018~~ ~~August 22, 2017~~

Distribution: Policy and Operations Manual
Agency Website

~~[AR 11/20/19 CR](#)~~

~~[SR 12/13/19 CR](#)~~

~~[Ready for Proofing 12/31/19 CR](#)~~

Section-03 Facility Operations	P-030100	Page: 1	Effective Date: 09/29/2020
Provisions of Services/Inmate Rights and Responsibilities	ACA Standards: 2-CO-3C-01, 2-CO-4E-01, 2-CO-5C-01, 2-CO-5D-01, 2-CO-5E-01, 2-CO-5F-01, 5-ACI-3A-08, 5-ACI-3D-01, 4-4275, 5-ACI-3D-03, 5-ACI-3D-04, 5-ACI-3D-07, 5-ACI-3D-08M, 5-ACI-5A-06, 5-ACI-5A-07, 5-ACI-5A-08, 5-ACI-5E-02, 5-ACI-7C-01, 5-ACI-7D-01, 5-ACI-7D-11, 5-ACI-7D-14, 5-ACI-7E-01, 5-ACI-7f-05, 4-ACRS-5A-17, 4-ACRS-5A-19, 4-ACRS-5A-21, 4-ACRS-5A-22, 4-ACRS-6A-01, 4-ACRS-6A-02, 4-ACRS-6A-03, 4-ACRS-6A-07, 4-ACRS-6B-01, 4-ACRS-7D-13, 4-ACRS-7D-14		
T. Hastings Siegfried, Chair Oklahoma Board of Correction			

Provisions of Services/Inmate Rights and Responsibilities

The Oklahoma Department of Corrections (ODOC) will provide services and define inmate rights and responsibilities. (2-CO-3C-01)

I. Services

Inmates will be provided opportunities for services in the areas of: correspondence, visiting and telephone privileges, control of personal and state property, health care, libraries, religion, recreation/programs and access to courts.

A. Correspondence

Internal management procedures will govern the sending and receiving of correspondence by inmates. (2-CO-5D-01, 5-ACI-7D-01, 4-ACRS-6A-07)

B. Visiting Privileges

Internal management procedures will govern the visiting program for inmates. Limitations on the number of visitors an inmate may have and the times for such visitation will be established, taking into account the safety and security needs of the facility and in accordance with guidelines established by the director. (2-CO-5D-01, 5-ACI-7D-14, 4-ACRS-5A-17)

C. Telephone Privileges

The use of telephones by inmates is a privilege, not a right. Inmates may communicate with persons or organizations subject to the limitations necessary to maintain the facility's order and security. (2-CO-5D-01, 5-ACI-7D-11, 4-ACRS-5A-19)

D. Personal Property

1. The possession of private property is a privilege and inmates may possess only that property authorized by the director. Inmates possessing personal private property assume any risk of potential loss or damage.
2. Inmates' property, personal and state issued, will be managed according to written system-wide procedures that coincide with applicable procedures. (5-ACI-5A-06, 5-ACI-5A-07, 5-ACI-5A-08, 4-

ACRS-7D-13, 4-ACRS-7D-14)

E. Health Care

The ODOC will provide medical, dental, and mental health services that address the known serious health care needs of each inmate. (2-CO-4E-01)

F. Libraries

Facilities will provide access to comprehensive library services that include both general and specialized materials to meet the reasonable educational, informational and recreational needs of inmates. (2-CO-5F-01, 5-ACI-7E-01)

G. Programs and Recreation

Facilities will provide appropriate programmatic and recreational activities designed to facilitate acceptable social activities and behavior as well as promote a healthy lifestyle. Programmatic and leisure time activities will provide all inmates with equal opportunity for participation. (2-CO-5C-01, 5-ACI-7C-01, 4-ACRS-5A-21)

H. Religious Activities

Religious activities will be available to inmates of all faith groups. Reasonable access and accommodation to the exercise of the religion by the inmate will be made, ensuring that the practice does not compromise the safety, security, sanitation and resources of the facility or the inmate. (2-CO-5E-01, 5-ACI-7f-05, 4-ACRS-5A-22)

I. Access to Courts

Procedures will be established to ensure all inmates in the ODOC are allowed reasonable access to courts. (5-ACI-3D-01, 4-4275, 5-ACI-3D-03, 4-ACRS-6A-01, 4-ACRS-6A-02)

II. Rights and Responsibilities

A. Inmates will be informed, in writing, of their rights, responsibilities and rules of conduct.

B. No inmates under the jurisdiction of the agency will be subject to discrimination based on age, race, religion, national origin, gender, political belief, or disability. (5-ACI-3D-04, 5-ACI-5E-02, 4-ACRS-6B-01)

C. The ODOC will make best efforts to protect inmates from personal abuse, corporal punishment, personal injury, disease, property damage and harassment. (5-ACI-3D-08M, 4-ACRS-6A-03)

D. No inmate or group of inmates will be given authority or control over any other inmate or facility security functions. (5-ACI-3A-08)

- E. Inmates who are foreign nationals will have access to the diplomatic representative of their country. (5-ACI-3D-07)
- F. Inmates will receive equitable treatment and the appropriate level of due process when alleged to have violated the rules of conduct.

III. Action

The agency director is responsible for compliance with this policy.

The agency 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 statement is effective as indicated.

Replaced: Policy Statement No. P-030100 entitled "Provisions of Services/ Inmate Rights and Responsibilities" dated December 12, 2018

Distribution: Policy and Operations Manual
Agency Website

Section-03 Facility Operations	P-030100	Page: 1	Effective Date: draft12/12/2018
Provisions of Services/Inmate Rights and Responsibilities	ACA Standards: 2-CO-3C-01, 2-CO-4E-01, 2-CO-5C-01, 2-CO-5D-01, 2-CO-5E-01, 2-CO-5F-01, 4-41825-ACI-3A-08 , 4-42745-ACI-3D-01 , 4-4275, 4-42765-ACI-3D-03 , 4-42775-ACI-3D-04 , 4-42805-ACI-3D-07 , 4-4281M5-ACI-3D-08M , 4-42925-ACI-5A-06 , 4-42935-ACI-5A-07 , 4-42945-ACI-5A-08 , 4-44295-ACI-5E-02 , 4-44815-ACI-7C-01 , 4-44875-ACI-7D-01 , 4-44975-ACI-7D-11 , 4-44985-ACI-7D-14 , 4-45055-ACI-7E-01 , 4-45175-ACI-7f-05 , 4-ACRS-5A-17, 4-ACRS-5A-19, 4-ACRS-5A-21, 4-ACRS-5A-22, 4-ACRS-6A-01, 4-ACRS-6A-02, 4-ACRS-6A-03, 4-ACRS-6A-07, 4-ACRS-6B-01, 4-ACRS-7D-13, 4-ACRS-7D-14		
T. Hastings Siegfried Steven Harpe Frank X. Henke, IV , Chair			
Oklahoma Board of Correction			

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I. Services

Inmates will be provided opportunities for services in the areas of: correspondence, visiting and telephone privileges, control of personal and state property, health care, libraries, religion, recreation/programs and access to courts.

A. Correspondence

Internal management procedures will govern the sending and receiving of correspondence by inmates. (2-CO-5D-01, ~~4-44875-ACI-7D-01~~, 4-ACRS-6A-07)

B. Visiting Privileges

Internal management procedures will govern the visiting program for inmates. Limitations on the number of visitors an inmate may have and the times for such visitation will be established, taking into account the safety and security needs of the facility and in accordance with guidelines established by the director. (2-CO-5D-01, ~~4-44985-ACI-7D-14~~, 4-ACRS-5A-17)

C. Telephone Privileges

The use of telephones by inmates is a privilege, not a right. Inmates may communicate with persons or organizations subject to the limitations necessary to maintain the facility's order and security. (2-CO-5D-01, ~~4-44975-ACI-7D-11~~, 4-ACRS-5A-19)

D. Personal Property

1. The possession of private property is a privilege and inmates may possess only that property authorized by the director. Inmates possessing personal private property assume any risk of potential loss or damage.

2. Inmates' property, personal and state issued, will be managed according to written system-wide procedures that coincide with applicable procedures. ([4-42925-ACI-5A-06](#), [4-42935-ACI-5A-07](#), [4-42945-ACI-5A-08](#), 4-ACRS-7D-13, 4-ACRS-7D-14)

E. Health Care

The ODOC will provide medical, dental, and mental health services that address the known serious health care needs of each inmate. (2-CO-4E-01)

F. Libraries

Facilities will provide access to comprehensive library services that include both general and specialized materials to meet the reasonable educational, informational and recreational needs of inmates. (2-CO-5F-01, [4-45055-ACI-7E-01](#))

G. Programs and Recreation

Facilities will provide appropriate programmatic and recreational activities designed to facilitate acceptable social activities and behavior as well as promote a healthy lifestyle. Programmatic and leisure time activities will provide all inmates with equal opportunity for participation. (2-CO-5C-01, [4-44815-ACI-7C-01](#), 4-ACRS-5A-21)

H. Religious Activities

Religious activities will be available to inmates of all faith groups. Reasonable access and accommodation to the exercise of the religion by the inmate will be made, ensuring that the practice does not compromise the safety, security, sanitation and resources of the facility or the inmate. (2-CO-5E-01, [4-45175-ACI-7f-05](#), 4-ACRS-5A-22)

I. Access to Courts

Procedures will be established to ensure all inmates in the ODOC are allowed reasonable access to courts. ([4-42745-ACI-3D-01](#), 4-4275, [4-42765-ACI-3D-03](#), 4-ACRS-6A-01, 4-ACRS-6A-02)

II. Rights and Responsibilities

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- B. No inmates under the jurisdiction of the agency will be subject to discrimination based on age, race, religion, national origin, gender, political belief, or disability. ([4-42775-ACI-3D-04](#), [4-44295-ACI-5E-02](#), 4-ACRS-6B-01)

- C. The ODOC will make best efforts to protect inmates from personal abuse, corporal punishment, personal injury, disease, property damage and harassment. (~~4-4281M5-ACI-3D-08M~~, 4-ACRS-6A-03)
- D. No inmate or group of inmates will be given authority or control over any other inmate or facility security functions. (~~4-41825-ACI-3A-08~~)
- E. Inmates who are foreign nationals will have access to the diplomatic representative of their country. (~~4-42805-ACI-3D-07~~)
- F. Inmates will receive equitable treatment and the appropriate level of due process when alleged to have violated the rules of conduct.

III. Action

The agency director is responsible for compliance with this policy.

The agency 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 statement is effective as indicated.

Replaced: Policy Statement No. P-030100 entitled "Provisions of Services/ Inmate Rights and Responsibilities" dated December ~~12, 2018-5,~~
~~2017~~

Distribution: Policy and Operations Manual
Agency Website

AR 9/3/19 CR

SR 9/5/19 CR

Ready for proofing 9/20/19 CR

Section-04 Security	P-040100	Page: 1	Effective Date: 09/28/2020
Security Standards	ACA Standards: 2-CO-1G-06, 2-CO-3A-01, 5-ACI-1G-03, 5-ACI-3A-01, 5-ACI-3A-02, 5-ACI-3A-04, 5-ACI-3A-05 , 5-ACI-3A-09 , 5-ACI-3A-10 , 5-ACI-3A-11 , 5-ACI-3A-13, 5-ACI-3A-14, 5-ACI-3A-15, 5-ACI-3A-22M, 5-ACI-3A-23M, 5-ACI-3A-28 , 5-ACI-3A-29, 5-ACI-3A-30, 5-ACI-3A-42, 5-ACI-3B-02M, 5-ACI-3B-05M, 5-ACI-4A-04, 5-ACI-7A-07M, 4-ACRS-1C-17M, 4-ACRS-2A-04, 4-ACRS-2A-11, 4-ACRS-2C-01, 4-ACRS-2D-01M, 4-ACRS-2D-02M, 4-ACRS-2D-03M, 4-APPFS-3G-03		
T. Hastings Siegfried , Chair Oklahoma Board of Corrections			

Security Standards for the Oklahoma Department of Corrections

I. Policy

It is the policy of the Board of Corrections (BOC) that the Oklahoma Department of Corrections (ODOC) provides security at all institutions, community corrections centers and probation and parole offices. Security standards are established to protect the public, the employees and inmates/offenders. (2-CO-3A-01)

A. Security Standards

To provide for compliance monitoring of internal and external security, the agency has developed plans to include the following: (5-ACI-3A-01, 5-ACI-3A-22M, 5-ACI-3A-23M, 5-ACI-3A-28, 5-ACI-3A-29, 5-ACI-3A-30, 5-ACI-3B-05M, 4-ACRS-1C-17M, 4-ACRS-2C-01, 4-ACRS-2D-01M, 4-ACRS-2D-02M, 4-ACRS-2D-03M)

1. Inventory and control of:
 - a. Keys and tools;
 - b. Hazardous substances;
 - c. Contraband and evidence; (5-ACI-3A-42)
 - d. Weapons, security devices and equipment;
 - e. Medical equipment and supplies, to include needles and syringes; and
 - f. Pharmaceutical drugs and medications.
2. Process for executions;
3. Transportation of inmates/offenders; (5-ACI-3A-15, 4-APPFS-3G-

03)

4. Post orders, to include staff review and the recording of routine and unusual events in post logs; (5-ACI-3A-04, 5-ACI-3A-05, 5-ACI-3A-09 , 4-ACRS-2A-09)
5. The identification of visitors, employees and inmates/offenders; (2-CO-1G-06, 5-ACI-1G-03)
6. Control of inmate/offender movement; (5-ACI-3A-13, 5-ACI-3A-14, 4-ACRS-2A-11)
7. The operation of segregated/restrictive housing units; (5-ACI-4A-04)
8. Process for requesting and conducting investigations; and
9. Provisions for facility staffing to ensure 24 hour continuous coverage. (5-ACI-3A-02, 4-ACRS-2A-04)

B. Inspections

The agency will ensure compliance with security standards, facility operations, and maintenance of physical plants through routine inspections. (5-ACI-3A-05, 5-ACI-3A-10, 5-ACI-3A-11 , 5-ACI-3B-02M, 50ACI-7A-07M)

II. Action

The agency director is responsible for compliance with this policy.

The agency 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-040100 entitled "Security Standards for the Oklahoma Department of Corrections" dated October 10, 2018

Distribution: Policy and Operations Manuals
Agency Website

Section-04 Security	P-040100	Page: 1	Effective Date: draft10/10/2018
Security Standards	ACA Standards: 2-CO-1G-06, 2-CO-3A-01, 5-ACI-1G-03 4-4117, 5-ACI-3A-01 4-4174, 5-ACI-3A-02 4-4175, 5-ACI-3A-04 4-4178, 5-ACI-3A-05 4-4179, 5-ACI-3A-09 4-4183, 5-ACI-3A-10 4-4184, 5-ACI-3A-11 4-4185, 5-ACI-3A-13 4-4187, 5-ACI-3A-14 4-4188, 5-ACI-3A-15 4-4189, 5-ACI-3A-22 (M) 4-4195M, 5-ACI-3A-23 (M) 4-4196M, 5-ACI-3A-28 4-4199, 5-ACI-3A-29 4-4200, 5-ACI-3A-30 4-4201, 5-ACI-3A-42 4-4207, 5-ACI-3B-02 (M) 4-4212M, 5-ACI-3B-05 (M) 4-4215M, 5-ACI-4A-04 4-4249, 5-ACI-7A-07 (M) 4-4455M, 4-ACRS-1C-17M, 4-ACRS-2A-04, 4-ACRS-2A-11, 4-ACRS-2C-01, 4-ACRS-2D-01M, 4-ACRS-2D-02M, 4-ACRS-2D-03M, 4-APPFS-3G-03 		
<p>T. Hastings Siegfried Frank X. Henke, IV, Chair</p> <hr/> <p>Oklahoma Board of Corrections</p>			

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A. Security Standards

To provide for compliance monitoring of internal and external security, the agency has developed plans to include the following: (~~5-ACI-3A-01, 4-4174, 5-ACI-3A-22 (M)M 4-4195M, 5-ACI-3A-23 (M)M 4-4196M, 5-ACI-3A-28 4-4199, 5-ACI-3A-29 4-4200, 5-ACI-3A-30 4-4201, 5-ACI-3B-05 (M)M 4-4215M~~, 4-ACRS-1C-17M, 4-ACRS-2C-01, 4-ACRS-2D-01M, 4-ACRS-2D-02M, 4-ACRS-2D-03M)

1. Inventory and control of:
 - a. Keys and tools;
 - b. Hazardous substances;
 - c. Contraband and evidence; ([5-ACI-3A-42](#))
 - d. Weapons, security devices and equipment;
 - e. Medical equipment and supplies, to include needles and syringes; and

- f. Pharmaceutical drugs and medications.
2. Process for executions;
3. Transportation of inmates/offenders; ([5-ACI-3A-15-4-4189](#), 4-APPFS-3G-03)
4. Post orders, to include staff review and the recording of routine and unusual events in post logs; ([5-ACI-3A-04 4-4178](#), [5-ACI-3A-05 4-4179](#), [5-ACI-3A-09 4-4183](#), 4-ACRS-2A-09)
5. The identification of visitors, employees and inmates/offenders; (2-CO-1G-06, [5-ACI-1G-03 4-4117](#))
6. Control of inmate/offender movement; ([5-ACI-3A-13 4-4187](#), [5-ACI-3A-14 4-4188](#), 4-ACRS-2A-11)
7. The operation of segregated/restrictive housing units; ([5-ACI-4A-044-4249](#))
8. Process for requesting and conducting investigations; and
9. Provisions for facility staffing to ensure 24 hour continuous coverage. ([5-ACI-3A-02 4-4175](#), 4-ACRS-2A-04)

B. Inspections

The agency will ensure compliance with security standards, facility operations, and maintenance of physical plants through routine inspections. ([5-ACI-3A-05 4-4179](#), [5-ACI-3A-10 4-4184](#), [5-ACI-3A-11 4-4185](#), [5-ACI-3B-02\(M\)M 4-4212M](#), [50ACI-7A-07\(M\)M 4-4455M](#))

II. Action

The agency director is responsible for compliance with this policy.

The agency 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-040100 entitled "Security Standards for the Oklahoma Department of Corrections" dated October [10, 20184, 2017](#)

Distribution: Policy and Operations Manuals
Agency Website

[AR 11/21/19 CR](#)

[SR 12/13/19 CR](#)

Section-05 Emergency Plans	P-050100	Page: 1	Effective Date: 09/29/2020
Emergency Plans for ODOC	ACA Standards: 2-CO-3B-01M, 2-CO-3B-02M, 5-ACI-3A-35M, 5-ACI-3B-08, 5-ACI-3B-10M, 5-ACI-3B-11M, 5-ACI-3B-13, 5-ACI-3B-14M, 5-ACI-3B-15, 4-ACRS-1C-02M, 4-ACRS-1C-04M, 4-ACRS-1C-06, 4-ACRS-1C-07, 4-ACRS-1C-09M, 4-ACRS-2B-01M, 4-APPFS-3F-02M		
T. Hastings Siegfried, Chair Oklahoma Board of Corrections			

Emergency Plans for the Oklahoma Department of Corrections

The Oklahoma Department of Corrections (ODOC) will establish written procedures for emergency situations for all agency operations. (2-CO-3B-01M, 5-ACI-3B-10M, 4-APPFS-3F-02M) The director shall ensure that written policies and procedures are established for implementation in the event of an emergency to ensure protection of the public, employees and the inmates/offenders. Plans are made available, and training is provided, to all applicable personnel. (5-ACI-3B-10M, 4-ACRS-1C-04M)

- I. Development of Emergency Plans (2-CO-3B-02M, 5-ACI-3A-35M, 5-ACI-3B-08, 5-ACI-3B-11M, 5-ACI-3B-13, 5-ACI-3B-14M, 5-ACI-3B-15, 4-ACRS-1C-02M, 4-ACRS-1C-07, 4-ACRS-1C-09M, 4-ACRS-2C-02M)

Emergency plans will address the following:

- A. Fires, riots, disturbances, natural disasters, escapes, or other causes, which may be deemed as an emergency;
- B. Hostage situations;
- C. Job actions or walkouts by correctional officers;
- D. Utility failures;
- E. Use of Correctional Emergency Response Teams (CERT);
- F. Use of force; and
- G. Other situations, which may threaten the life or safety of the public, employees, or inmates/offenders.

- II. Action

The agency director is responsible for this policy.

The agency director is responsible for the annual review and revision.

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

This policy statement is effective as indicated.

Replaced: Policy Statement No. P-050100 entitled "Emergency Plans for the Oklahoma Department of Corrections" dated July 11, 2018

Distribution: Policy and Operations Manuals
Agency Website

Section-05 Emergency Plans	P-050100	Page: 1	Effective Date: draft 07/11/2018
Emergency Plans for ODOC	ACA Standards: 2-CO-3B-01M, 2-CO-3B-02M, 4-4206M5-ACI-3A-35M , 4-42185-ACI-3B-08 , 4-4220M5-ACI-3B-10M , 4-4221M5-ACI-3B-11M , 4-42235-ACI-3B-13 , 4-4224M5-ACI-3B-14M , 4-42255-ACI-3B-15 , 4-ACRS-1C-02M, 4-ACRS-1C-04M, 4-ACRS-1C-06, 4-ACRS-1C-07, 4-ACRS-1C-09M, 4-ACRS-2B-01M, 4-APPFS-3F-02M		
<u>Steven Harpe</u> Frank X. Henke , IVT. Hastings Siegfried, Chair			
Oklahoma Board of Corrections			

Emergency Plans for the Oklahoma Department of Corrections

The Oklahoma Department of Corrections (ODOC) will establish written procedures for emergency situations for all agency operations. (2-CO-3B-01M, ~~4-4220M5-ACI-3B-10M~~, 4-APPFS-3F-02M) The director shall ensure that written policies and procedures are established for implementation in the event of an emergency to ensure protection of the public, employees and the inmates/offenders. Plans are made available, and training is provided, to all applicable personnel. (~~4-4220M5-ACI-3B-10M~~, 4-ACRS-1C-04M)

- I. Development of Emergency Plans (2-CO-3B-02M, ~~4-4206M5-ACI-3A-35M~~, ~~4-42185-ACI-3B-08~~, ~~4-4221M5-ACI-3B-11M~~, ~~4-42235-ACI-3B-13~~, ~~4-4224M5-ACI-3B-14M~~, ~~4-42255-ACI-3B-15~~, 4-ACRS-1C-02M, 4-ACRS-1C-07, 4-ACRS-1C-09M, 4-ACRS-2C-02M)

Emergency plans will address the following:

- A. Fires, riots, disturbances, natural disasters, escapes, or other causes which may be deemed as an emergency;
- B. Hostage situations;
- C. Job actions or walkouts by correctional officers;
- D. Utility failures;
- E. Use of Correctional Emergency Response Teams (CERT);
- F. Use of force; and
- G. Other situations which may threaten the life or safety of the public, employees, or inmates/offenders.

- II. Action

The agency director is responsible for this policy.

The agency director is responsible for the annual review and revision.

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

This policy statement is effective as indicated.

Replaced: Policy Statement No. P-050100 entitled "Emergency Plans for the Oklahoma Department of Corrections" dated July 11, 2018~~March 24, 2015~~

Distribution: Policy and Operations Manuals
Agency Website

AR 2/19/19 CR

SR 7/26/19 CR

Ready for proofing 8/12/19 CR

Section-07 Food Service	P-070100	Page: 1	Effective Date: 09/29/2020
Provision of Food Services	ACA Standards: 2-CO-4C-01, 5-ACI-5C-02, 5-ACI-5C-03, 5-ACI-5C-04M, 5-ACI-5C-08, 5-ACI-5C-10, 5-ACI-5C-13M, 5-ACI-5C-14, 5-ACI-5C-15, 5-ACI-5C-16		
T. Hastings Siegfried, Chair Oklahoma Board of Corrections			

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. (5-ACI-5C-04M, 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. (5-ACI-5C-04M)

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. (5-ACI-5C-13M, 5-ACI-5C-14)

C. Supplies and Equipment

A system for procurement and budgeting practices will be established to assure the availability of adequate food supplies and equipment. (5-ACI-5C-02)

D. Records Management

Record keeping and reporting procedures will be implemented to continually evaluate the delivery of services. (5-ACI-5C-03)

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. (5-ACI-5C-15, 5-ACI-5C-16)

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. (5-ACI-5C-08, 5-ACI-5C-16)

G. Training

Staff and inmates who work in food service will be trained in the appropriate use of equipment and safety procedures. (5-ACI-5C-10)

II. References

57 O.S. § 533

III. Action

The agency director is responsible for compliance with this policy.

The agency 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 December 12, 2018

Distribution: Policy and Operations Manuals
Agency Website

Section-07 Food Service	P-070100	Page: 1	Effective Date: draft 12/12/2018
Provision of Food Services	ACA Standards: 2-CO-4C-01, 4-43145-ACI-5C-02 , 4-43155-ACI-5C-03 , 4-4316M5-ACI-5C-04M , 4-43205-ACI-5C-08 , 4-4321-15-ACI-5C-10 , 4-4324M5-ACI-5C-13M , 4-43255-ACI-5C-14 , 4-43265-ACI-5C-15 , 4-43285-ACI-5C-16		
T. Hastings Siegfried Steven Harpe Frank X. Henke, IV , Chair			
Oklahoma Board of Corrections			

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. (~~4-4316M5-ACI-5C-04M~~, 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. (~~4-4316M5-ACI-5C-04M~~)

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. (~~4-4324M5-ACI-5C-13M~~, ~~4-43255-ACI-5C-14~~)

C. Supplies and Equipment

A system for procurement and budgeting practices will be established to assure the availability of adequate food supplies and equipment. (~~4-43145-ACI-5C-02~~)

D. Records Management

Record keeping and reporting procedures will be implemented to continually evaluate the delivery of services. (~~4-43155-ACI-5C-03~~)

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. ([4-43265-ACI-5C-15](#), [4-43285-ACI-5C-16](#))

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. ([4-43205-ACI-5C-08](#), [4-43285-ACI-5C-16](#))

G. Training

Staff and inmates who work in food service will be trained in the appropriate use of equipment and safety procedures. ([4-4321-15-ACI-5C-10](#))

II. References

57 O.S. § 533

III. Action

The agency director is responsible for compliance with this policy.

The agency 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 ~~November 8, 2017~~ [December 12, 2018](#)

Distribution: Policy and Operations Manuals
Agency Website

[AR 9/3/19 CR](#)

[SR 9/12/19 CR](#)

[Ready for proofing 9/27/19 CR](#)

Section-08 Industries	P-080100	Page: 1	Effective Date: 09/29/2020
Mission and Management	ACA Standards: 2-CO-5A-01, 5-ACI-1F-12, 5-ACI-7A-03, 5-ACI-7A-04, 5-ACI-7A-05, 5-ACI-7A-06, 5-ACI-7A-07M, 5-ACI-7A-08, 5-ACI-7A-10, 5-ACI-7A-12, 5-ACI-7B-03, 5-ACI-7B-04		
T. Hastings Siegfried, Chair Oklahoma Board of Corrections			

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. (5-ACI-7A-08) Oklahoma’s 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.

I. Correctional Industries Programs

The primary mission of correctional industries is to maintain self-sufficient operations that address and encompass best practices to improve inmate successful reentry. (2-CO-5A-01, 5-ACI-7A-10)

A. Industries Goals

1. Provide inmates with the opportunity to develop job skills and work ethics as a means of improving employability after release. (5-ACI-7A-03) The workday for those inmates assigned shall approximate that of the community. (5-ACI-7A-06)
2. Maintain cost effective operations that provide constructive work opportunities and support the development of work ethics for a maximum number of inmates. (5-ACI-7A-04)
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. (5-ACI-7A-07M)
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. (5-ACI-7A-10, 5-ACI-7A-12)

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. (5-ACI-7A-05, 5-ACI-7B-03, 5-ACI-7B-04) 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 director for approval approximately 60 days prior to the effective date of the plan. (5-ACI-1F-12)

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

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.

1. Programs will also provide inmates with the opportunity to develop skills training and work ethics as a means of improving employability after release. (5-ACI-7A-03)

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 agency director is responsible for compliance with this policy.

The agency 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 March 13, 2018

Distribution: Policy and Operations Manual
Agency Website

Section-08 Industries	P-080100	Page: 1	Effective Date: draft03/13/2018
Mission and Management	ACA Standards: 2-CO-5A-01 , 5-ACI-1F-12 4-4407 , 5-ACI-7A-03 4-4451 , 5-ACI-7A-04 4-4452 , 5-ACI-7A-05 4-4453 , 5-ACI-7A-06 4-4454 , 5-ACI-7A-07M 4-4455M , 5-ACI-7A-08 4-4456 , 5-ACI-7A-10 4-4458 , 5-ACI-7A-12 4-4460 , 5-ACI-7B-03 4-4467 , 4-4468 , 5-ACI-7B-04 4-4469		
T. Hastings Siegfried Frank X. Henke, IV Michael W. Roach , Chair			
Oklahoma Board of Corrections			

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. ([5-ACI-7A-08 4-4456](#)) Oklahoma's 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.

I. Correctional Industries Programs

The primary mission of correctional industries is to maintain a self-sufficient organization operations that addresses and encompasses best practices to improve inmate successful reentry. ([2-CO-5A-01](#), [5-ACI-7A-10 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. ([5-ACI-7A-03 4-4451](#)) The workday for those inmates assigned shall approximate that of the community. ([5-ACI-7A-06 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. ([5-ACI-7A-04 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. ([5-ACI-7A-07M 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. ([5-ACI-7A-10 4-4458](#), [5-ACI-7A-12](#))

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. ([5-ACI-7A-05 4-4453](#), [5-ACI-7B-03 4-4467](#), [4-4468](#), [5-ACI-7B-04 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 ~~regional~~ director for approval approximately 60 days prior to the effective date of the plan. ([5-ACI-1F-12 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

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.

1. Programs will also provide inmates with the opportunity to develop skills training and work ethics as a means of improving employability after release. ([5-ACI-7A-03 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 agency director is responsible for compliance with this policy.

The agency 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 ~~October 24, 2016~~ [March 13, 2018](#)

Distribution: Policy and Operations Manual
Agency Website

[AR 10-29-18 CR](#)

[SR 11/7/18 CR](#)

[Ready for proofing 8/16/19 CR](#)

**Oklahoma Department of Corrections
Internal Audit Summary Report
Third Quarter FY20**

Reporting Period: 3rd Quarter of FY20

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 12 compliance audit reports to the Board of Corrections and to the State Auditor and Inspector’s Office.

<i>Audited Facilities/Units –</i>	<i>Date of Audit</i>
1. North Fork Correctional Center	01/08/2020
2. Program Services *	01/08/2020
3. Oklahoma State Reformatory *	01/28/2020
4. Region I Probation and Parole	01/29/2020
5. Region II Probation and Parole	02/24/2020
6. Classification and Population	03/05/2020
7. General Services	03/10/2020
8. Community Sentencing	03/18/2020
9. Union City Community Corrections Center	03/23/2020
10 Clara Waters and Oklahoma City Community Corrections Centers	03/24/2020
11 Enid Community Corrections Center	03/25/2020
12 Department of Corrections Administration	03/26/2020

Of the 12 facilities/units audited in the 3rd quarter of FY 20, two had reportable noncompliance or internal control findings indicated (bold and *).

Summary of Noncompliance Findings in accordance with Fiscal Management Policy

CANTEEN

- *Oklahoma State Reformatory*

Summary of Findings:

- Fifty nine percent (58.62%) of the items on hand were not in agreement with the closing inventory balance after a 100% audit of the canteen inventory was completed.
- Adjustments were not being entered into the system immediately after an inventory count was completed.

Summary of Action Taken:

- A two day shutdown in order to complete a reconciliation of the canteen with a 100% count.
- Inventory adjustments will be completed before opening canteen for business.

Auditor's Note: This is the third year that this facility has had the same finding, with the same plan of corrective action.

ACCOUNTS PAYABLE

- *Program Services*

Summary of Findings:

- Invoices paid forty-five (45) or more days from the date invoiced received.

Summary of Action Taken:

- Tracking system has been implemented to ensure invoices are paid on a timely basis.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Program Services

January 8, 2020

FOR THE PERIODS

FY 19 November 1, 2018 to June 30, 2019

FY 20 July 1, 2019 to October 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Program Services

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Program Services

January 8, 2020

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Program Services a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, November 1, 2018 to June 30, 2019 and FY 20, July 31, 2019 to October 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, and Fixed Asset Inventory System.

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

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

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

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

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Oklahoma State Penitentiary

January 8, 2020

Accounts Payable

Criteria: "Per Title 62 OS 34.71, entitled **Expediting Payment for Goods and Services** states:

"The Director of the Office of Management and Enterprise Services shall establish a procedure to issue payment of a proper invoice for goods or services within no more than forty-five (45) days from the date on which the invoice was received in the office designated by the agency to which the goods or services were sold and delivered."

Finding

Twenty nine percent (29.47%) of the invoices sampled (28 of 95) from the six-digit expenditure report and transmittals were paid after forty-five (45) days beginning from the date the invoices were received in the business office.

Vendor	Amount	Voucher Number	Rec'd Facility	Paid Date	Days Late
Sysco	\$ 475.55	1232222	02/06/19	05/15/19	53
Creoks	\$ 6,600.00	1237665	03/15/19	03/12/19	44
OCI	\$ 487.00	1245434	03/26/19	07/24/19	75
Staples Inc.	\$ 393.39	1251216	06/13/19	08/23/19	26
Norman Alcohol Cntr.	\$ 8,360.00	1262621	08/14/19	10/25/19	27
Edu. Testing Srv.	\$ 6,540.00	1261418	07/25/19	10/21/19	43
N. OK. Co. Men. Health	\$ 2,542.00	1262331	04/19/19	10/24/19	143
Mental Sub. Abuse	\$22,112.56	1218467	10/24/18	03/01/19	83
Catalyst Behavioral Srv.	\$32,360.00	1243647	04/30/19	07/12/19	28
Delaware County	\$ 1,243.44	1214026	10/17/18	02/06/19	67
Noca Inc.	\$ 1,850.00	1214027	11/06/18	02/06/19	47
Delaware County	\$ 1,752.00	1227613	02/06/19	04/17/19	35
Sequouah County	\$ 615.00	1227725	12/19/18	04/17/19	74
N. OK. Co. Men. Health	\$ 2,220.00	1227724	12/19/18	04/17/19	74
Valliant House LLC	\$ 1,036.00	1227791	01/11/19	04/18/19	52
Grand Lake Men. Hlth.	\$ 4,081.38	1245093	05/14/19	07/23/19	35

Monarch Inc.	\$ 1,258.00	1258211	08/14/19	10/04/19	6
Harbor House Inc.	\$ 1,406.00	1258166	08/14/19	10/04/19	6
Noca Inc.	\$ 7,252.00	1258212	06/12/19	10/04/19	69
Valliant House LLC	\$ 2,220.00	1260385	07/08/19	10/16/19	55
Patrick J Zipoli LLC	\$10,000.00	1214463	12/06/18	02/07/19	18
Staples Inc.	\$ 875.56	1234201	01/28/19	05/22/19	69
Staples Inc.	\$ 138.40	1241340	03/21/19	06/28/19	54
OCI	\$ 94.25	1243873	01/30/19	07/15/19	121
OK Workforce	\$ 2,400.00	1258950	05/08/19	10/10/19	110
Staples Inc.	\$ 1,055.91	1235979	04/12/19	06/03/19	7
Environmental Systems	\$ 4,394.00	1220684	01/25/19	03/14/19	13
Environmental Systems	\$23,129.00	1258475	08/05/19	10/07/19	13

Effect: The department was not in compliance with state law as stated in the above quoted criteria.

RISK: (1) The department may expose itself to reactions from the vendor for untimely payments.

(2) Delaying the payment of invoices may result in additional cost of interest charges by the vendor.

Plan of Corrective Action

Additional tracking has been implemented to ensure that invoices received are processed, approved and sent to Accounts Payable within three (3) business weeks. If the invoice is being reviewed or held for additional information necessary to verify it's accuracy, the notes and correspondence are added to the invoice file and a note will be added to the face of the invoice stating when the necessary information was received.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Oklahoma State Reformatory

January 28, 2020

FOR THE PERIODS

FY 19 January 1, 2019 to June 30, 2019
FY 20 July 1, 2019 to December 31, 2019

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Oklahoma State Reformatory

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Oklahoma State Reformatory

January 28, 2020

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Oklahoma State Reformatory a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, January 1, 2019 to June 30, 2019 and FY 20, July 1, 2019 to December 31, 2019. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Prison Public Works Projects, Express Checks, Debit Cards, Trust Fund, Canteen, Food Service Inventory and Fixed Assets Inventory.

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

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

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

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

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Oklahoma State Reformatory

January 28, 2020

Criteria: Generally Accepted Accounting Principles dictates that inventory must be accurately recorded and disclosed on the Financial Statements to comply with reporting and accountability standards, per FASB 330 - entitled Inventory.

Finding

Fifty nine percent (58.62%) of the items sampled (51 of 87), on the day of the audit (12/17/19) were not in agreement with the closing inventory balance.

Auditors Note: There was a finding in this area for the prior two (2) audits:

FY18 June 27, 2017	60.90%	28 of 46
FY19 February 13, 2019	43.86%	100 % audit

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

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

Recommendations:

1. Shut the canteen down to complete a reconciliation of the canteen inventory using one the following options:
 - a. Close the canteen for two (2) consecutive days to complete a 100 percent inventory reconciliation
 - b. Complete a twenty five percent (25%) reconciliation of inventory on a weekly basis
2. Adjustments, if any, will be completed the same day as the inventory reconciliation or before opening for business. All adjustments will be made as soon as possible after an inventory count.

3. The Offender Banking System (OBS) Comptroller issue a field memo to North Fork Correctional Center to advise them that Oklahoma State Reformatory will be shut down to complete a 100 percent inventory reconciliation, so that they can be compliant with Department of Correction policy and procedures.
4. The canteen supervisor contact the vendor and request credits be issued in a timelier manner.
5. Upon delivery, all canteen goods be counted and quantities compared to the invoice and purchase order. At that time, determine if there will be credits or returns. It is also recommended that the canteen supervisor and another individual compare the bill of lading with the purchase order.
6. Conduct unannounced spot checks of the canteen inventory report against the shelf count at least once every other week or more frequently as determined by the Warden.
7. Adjustments should be accurately detailed on the inventory adjustment screen.
8. Take deliberate care to key inventory items into the Offender Banking System. (OBS)
9. All vendor returns should be well documented referencing the purchase order number, receiving number and invoice number. Records should be kept in the vendor's file.
10. Offenders working in the canteen should be subject to regular shakedowns at the end of the day before leaving the canteen.
11. Place a sign outside the canteen window advising that all food sales are final and returns will not be accepted or processed without a valid receipt, ID and the "defective" item.

PLAN OF CORRECTIVE ACTION

1. Oklahoma State Reformatory (OSR) canteen will complete a reconciliation of the canteen inventory by closing down the canteen for 2 consecutive days to complete a 100% inventory reconciliation. The inventory will take place the 3rd Thursday and Friday of each month.
2. Adjustments to the inventory will be completed the same day or before the opening of business. Canteen supervisor is adjusting work schedule to ensure adjustments are made prior to opening for business.
3. North Fork Correctional Center (NFCC) has been advised that OSR will conduct inventory monthly per Department of Correction policy which requires the canteen to be shut down two days a month.
4. Canteen supervisor will contact vendor and request all credits be issued in a timely manner.

5. Upon delivery, all canteen goods are to be counted and quantities compared to the invoice and purchase order and determine if there will be credits or returns, then the canteen supervisor and another individual will compare the vendor invoice, packing slip with the purchase order.
6. Unannounced spot checks are conducted already. Canteen supervisor will increase the frequency of spot checks to ensure shelf count is accurate.
7. Adjustments should be accurately detailed with full explanations on the inventory adjustment screen.
8. Accuracy of inventory keyed into the Offender Banking System (OBS) will double checked.
9. All vendor returns will be documented with reference and invoice numbers. Records will be maintained in a file for future reference.
10. Inmates working in the canteen are pat searched at the west gate before entering or leaving the canteen. This process will still be continued.
11. Sign is placed on the outside canteen window advising that all food sales are final and returns will not be accepted or processed without a valid receipt, ID and the "defective" item.

Oklahoma Department of Corrections
Internal Audit Summary Report
 Fourth Quarter FY20

Reporting Period: 4th Quarter of FY20

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

In this reporting period, the financial internal audit unit closed and submitted 18 compliance audit reports to the Board of Corrections and to the State Auditor and Inspector’s Office.

Audited Facilities/Units –	Date of Audit
1. <i>Contracts and Acquisitions *</i>	<i>04/02/2020</i>
2. Private Prison Administration	04/09/2020
3. <i>Mabel Bassett Correctional Center*</i>	<i>06/19/2020</i>
4. Davis Correctional Facility (private Prison)	06/30/2020
5. Cimarron Correctional Facility (Private Prison)	06/30/2020
6. Lawton Correctional Facility (Private Prison)	06/30/2020
7. <i>Kate Barnard Correctional Center</i>	<i>06/23/2020</i>
8. Joseph Harp Computer operations & Data Processing	06/25/2020
9. OCI at Lexington Assessment and Reception Center	06/25/2020
10 <i>John Lilley Correctional Center *</i>	<i>06/30/2020</i>
11. OCI at Oklahoma State Reformatory	06/30/2020
12. <i>Lexington Assessment and Reception Center *</i>	<i>06/30/2020</i>
13. OCI at Joseph Harp Correctional Center	06/30/2020
14. OCI at Mark Alford Correctional Center	06/30/2020
15. OCI at John Lilley Correctional Center	06/30/2020
16. OCI at Lawton Correctional Facility (private prison)	06/30/2020
17. Joseph Harp Correctional Center	06/30/2020
18. OCI at Dick Conner Correctional Center	06/30/2020

Of the 18 facilities/units audited in the 4th quarter of FY20, 13 had no reportable noncompliance or internal control finding.

Summary of Noncompliance Findings in accordance with Fiscal Management Policy

PURCHASE CARDS

- Contracts and Acquisitions
- 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.

Summary of Action Taken:

- A letter of concern and a verbal counseling was indicated;
- Policy initiated to submitted requiring agent to submit documentation two weeks prior to submission;
- A three month follow by the internal audit team to verify plan of corrective action is implemented.

- MBCC - Staff will ensure documentation is submitted on a timely basis within 48 hours of receipt
- A three month follow up by the internal audit team to verify plan of correction action is implemented.

WAREHOUSE INVENTORY

- John Lilley Correctional Center
- Lexington Assessment and Reception Center

Summary of Findings:

- JLCC was un-auditable. There was not a supervisor or facility employee assigned to monitor the warehouse. There was not a viable on hand inventory spread sheet to sample.
- LARC - The inventory sampled in the warehouse was not in agreement with closing inventory balance.

Summary of Action Taken:

- JLCC - Temporarily assign an individual to monitor the warehouse until a full time supervisor can assume the position. (Position is pending)

- A 100% inventory will be conducted and unannounced spot checks will be conducted to insure accuracy.
- With new warehouse supervisor in place, a 100% count will be needed to give him a “fresh start” and accurate records will be expected on future counts.
- LARC - A 100% inventory will be conducted and maintain accurate records.
- A three month follow-up by the internal audit team to verify plan of corrective action is implemented.

PAYABLES:

- **Kate Barnard Correctional Center**

Summary of Finding:

- Invoices were paid late.

Summary of Action Taken:

- Staff will insure all accounting documentation is sent to the agency accountant on a timely basis.
- A three month follow-up by internal audit to verify plan of corrective action is implemented.

CANTEEN:

- Kate Barnard Correctional Center

Summary of Finding:

- The facility was not conducting a canteen board meeting and no board minutes were available.

Summary of Action Taken:

- Effective June 16, 2020, KBCC will begin conducting and documenting canteen board meetings.
- A three month follow-up by the internal audit team to verify plan of corrective action is implemented.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Contracts and Acquisitions

April 2, 2020

FOR THE PERIODS

FY 19 August 1, 2018 to June 30, 2019
FY 20 July 1, 2019 to February 29, 2020

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Contracts and Acquisitions

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Contracts and Acquisitions

April 2, 2020

Chairman, Board of Corrections

We have conducted a compliance audit of Contracts and Acquisitions a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, August 1, 2018 to June 30, 2019 and FY 20, July 1, 2019 to February 29, 2020. The area covered in this audit was Purchase Cards.

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

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

The results of our tests as listed in Schedule A – Compliance disclosed certain conditions that are required to be reported. The Plan of Corrective Action is included. ***An internal audit follow-up will be performed within three (3) months to insure corrective action is being implemented.***

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Contracts and Acquisitions

April 2, 2020

Purchase Cards

Finding

Criteria: OP 120502 section II.F.1&2... entitled End of Cycle.

The billing cycle ends at midnight on the last working day of each month.

1. The cardholder will reconcile, sign, and date the statement available in WORKS, attaching the original receipts, and invoices, and all other supporting documentation to the statement.
2. The cardholder’s approving official must verify the statement and supporting documentation for completeness, accuracy, and appropriateness of purchases, and then sign and date the statement.

The statement and attached documentation must be forwarded to the agency purchase card accountant by the final working day of the following month.

Finding: Forty four percent (43.75%) of the P-Card statements and supporting documentation sampled were not received by the agency purchase card accountant by the final working day of the following month. (7 of 16)

Cardholder	Statement Month	Print Date	Rec. Accountant	P-Card Days Late	Amount
A. Goosby	Jul-18	09/13/18	09/13/18	13	\$12,004.49
A. Goosby	Oct-18	12/17/18	12/17/18	17	\$18,231.22
A. Goosby	Jan-19	04/24/19	04/24/19	55	\$11,100.76
A. Goosby	Apr-19	06/10/19	06/13/19	13	\$41,877.77
A. Goosby	Jul-19	09/25/19	09/26/19	26	\$11,059.20
A. Goosby	Sep-19	11/25/19	12/04/19	34	\$89,735.56
C. Wallace	Sep-18	11/08/18	11/08/19	8	\$12,180.00

Effect: The facility may be in violation of the above mentioned policy.

Plan of Corrective Action

The Contracting and Acquisitions Agent responsible for six of the samples cited. On February 4, 2020, met with her supervisor, and was delivered a letter of concern, and verbally counseled on the requirement and importance of P-Card statements being submitted in accordance with policy, the remaining Contracting and Acquisitions Agent who was responsible for the seventh sample; resigned from the agency in August 2019.

I have set a due date for each Contracting and Acquisition agent to submit their P-Card documentation to me two weeks prior to the end of the month to ensure that documentation packets are reviewed, signed, and submitted by this office to the agency P-Card accountant prior to the end of the following month as required by policy. Any documentation not received by the due date will be addressed immediately.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Mabel Bassett Correctional Center

June 19, 2020

FOR THE PERIODS

FY 19 April 1, 2019 to June 30, 2019

FY 20 July 1, 2019 to May 31, 2020

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Mabel Bassett Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Mabel Bassett Correctional Center

June 19, 2020

Chairman, Oklahoma Board of Corrections

We have conducted a compliance audit of Mabel Bassett Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, April 1, 2019 to June 30, 2019, and FY 20, July 1, 2019 to May 31, 2020. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Canteen, Debit Cards, Trust Fund, Security Items, Warehouse Food Service and Fixed Asset Inventory.

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

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

The results of our tests as listed on Schedule A – Compliance disclosed certain instances of noncompliance that are required to be reported. The Plan of Corrective Action is included. An internal audit follow-up will be performed within 3 months to insure corrective action is being implemented.

Sincerely



Patrick Donnelly
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT

Schedule A COMPLIANCE

Mabel Basset Correctional Center

June 19, 2020

Criteria: OP 120502 section II.F.1&2... entitled End of Cycle.

The billing cycle ends at midnight on the last working day of each month.

1. The cardholder will reconcile, sign, and date the statement available in WORKS, attaching the original receipts, and invoices, and all other supporting documentation to the statement.
2. The cardholder's approving official must verify the statement and supporting documentation for completeness, accuracy, and appropriateness of purchases, and then sign and date the statement.

The statement and attached documentation must be forwarded to the agency purchase card accountant by the final working day of the following month.

Finding: Twenty seven percent (26.67%) of the P-Card statements and supporting documentation sampled were not received by the agency purchase card accountant by the final working day of the following month. (4 of 15)

Auditor's Note: It is the responsibility of the Business Manager to supervise both Kate Barnard and Mabel Bassett Correctional Centers. The finding indicates noncompliance with both facilities.

Cardholder	Statement Month	Print Date	Rec. P-Card Accountant	Days Late	Amount
K. Holmes	Dec-19	01/21/20	03/16/20	44	\$23,234.27
K. Holmes	Jan-20	02/08/20	03/16/20	16	\$ 5,806.78
J. Seright	Jan-20	02/08/20	03/16/20	16	\$ 9,843.84
J. Tipton	Jan-20	02/08/20	03/16/20	16	\$17,128.52

Effect: The facility may be in violation of the above mentioned policy.

Plan of Corrective Action:

The business office will work with all staff to ensure that receiving/supporting documents are received by the business office within 48 hours of receipt. This will ensure timely payments and compliance.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Kate Barnard Correctional Center

June 23, 2020

FOR THE PERIODS

FY 19 April 1, 2019 to June 30, 2019

FY 20 July 1, 2019 to May 31, 2020

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Kate Barnard Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Kate Barnard Correctional Center

June 23, 2020

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Kate Barnard Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, April 1, 2019 to June 30, 2019 and FY 20, July 1, 2019 to May 31, 2020. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, PPWP, Food Services, Food Service Inventory, and Fixed Assets Inventory System.

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

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

The results of our tests as listed on the Schedule A – Compliance disclosed certain conditions that are required to be reported herein under department policy or Government Auditing Standards. An internal audit follow-up will be performed within three months to insure corrective actions is being implemented.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Kate Barnard Correctional Center

June 23, 2020

Accounts Payable

Criteria: “Per Title 62 OS 34.71, entitled **Expediting Payment for Goods and Services** states:

“The Director of the Office of Management and Enterprise Services shall establish a procedure to issue payment of a proper invoice for goods or services within no more than forty-five (45) days from the date on which the invoice was received in the office designated by the agency to which the goods or services were sold and delivered.”

Finding 1

Thirteen percent (12.86%) of the invoices sampled (9 of 60) from the six-digit expenditure report and transmittals were paid after forty-five (45) days beginning from the date the invoices were received in the business office.

Vendor	Amount	Invoice Date	Paid Date	Days Late
Aadvantage Laundry	\$4,410.74	02/25/19	04/16/19	5
Flowers Baking Company	\$ 122.29	07/16/19	09/11/19	12
Republic Services	\$ 530.00	06/25/19	11/4/19	87
Ecolab Inc.	\$ 187.27	10/17/19	12/17/19	16
McCall’s Chapel School Inc.	\$1,530.00	10/18/19	12/16/19	14
McCall’s Chapel School Inc.	\$1,184.00	09/25/19	03/19/20	131
Waste Connection	\$ 794.00	04/01/20	06/01/20	14
McCall’s Chapel School Inc.	\$1,284.00	03/30/20	05/19/20	4
OCI	\$ 807.25	03/25/20	05/27/20	10

Effect: The department was not in compliance with state law as stated in the quoted criteria above.

RISK: (1) The department may expose itself to reactions from the vendor for untimely payments.

(2) Delaying the payment of invoices may result in additional cost of

interest charges by the vendor.

Plan of Corrective Action

We will work with all staff to ensure the receiving/supporting documents are received by the business office within 48 hours of receipt. This will ensure timely payments and compliance with State Law per title 62 OS 34.71.

Purchase Cards

Criteria: OP 120502 section II.F.1&2... entitled End of Cycle.

The billing cycle ends at midnight on the last working day of each month.

1. The cardholder will reconcile, sign, and date the statement available in WORKS, attaching the original receipts, and invoices, and all other supporting documentation to the statement.
2. The cardholder's approving official must verify the statement and supporting documentation for completeness, accuracy, and appropriateness of purchases, and then sign and date the statement.

The statement and attached documentation must be forwarded to the agency purchase card accountant by the final working day of the following month.

Finding 2

Twenty five percent (25.0%) of the P-Card statements and supporting documentation sampled were not received by the agency purchase card accountant by the final working day of the following month. (4 of 16)

Cardholder	Statement Month	Print Date	Rec. P-Card Accountant	Days Late	Amount
K. Holmes	Dec-19	01/21/20	03/16/20	44	\$23,234.27
K. Holmes	Jan-20	02/08/20	03/16/20	16	\$ 5,806.78
R. Stevens	Dec-19	01/21/20	03/16/20	44	\$ 925.67
R. Stevens	Jan-20	02/08/20	03/16/20	16	\$ 600.29

Auditors Note: It is the responsibility of the Business Manager to supervise both Kate Barnard and Mabel Bassett Correctional Centers. The finding indicates noncompliance with both facilities.

Effect: The facility may be in violation of the above mentioned policy.

Plan of Corrective Action

A firm deadline will be set and sent to all P-Card holders to ensure that P-Card statements are to the Business Manager in a timely manner. The Business Manager will set a hard deadline to ensure that all statements have been received and will get them to the purchase card accountant. This will help ensure that we are in compliance with OP-120502 section 11.F.1 & 2.

CANTEEN

Criteria: Per OP 120230 entitled “Offender Banking System” section II ‘Canteen’ sub section A 2 C ‘Facility Canteen Boards’ states: The facility Canteen Board will meet at least quarterly with documentation of any approved board action. Annually, at its June meeting, the board will review and approve the annual operating budget

Finding 3

There were no minutes or documentation to attest that meetings were held during the period of April 1, 2019 to March 31, 2020

Effect: Management may not be able to make timely informed decisions relevant to the conduct of business at the canteen

RISK: The canteen operations may not be benefitting from management oversight.

RECOMMENDATION: The facility head constitute a board in accordance with policy guidelines.

Plan of Corrective Action

Effective June 16, 2020 KBCC has appointed a Canteen Board consisting of the Case Manager IV, Canteen Supervisor, Business Manager, and the Warden. The first meeting is scheduled for June 23, 2020 at 2:00 p.m. The Canteen Board will meet quarterly per OP-120502 Section 11.A.2c from that point forward.

Warehouse

The Kate Barnard Correctional Center warehouse has recently moved to a new location. Therefore, it was determined that we were unable to complete the audit of the warehouse. The audit team will schedule a follow-up in three months to insure that the warehouse at Kate Barnard Correctional Center is in compliance with Oklahoma Department of Corrections policy.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

John Lilley Correctional Center

June 23, 2020

FOR THE PERIODS

FY 19 March 1, 2019 to June 30, 2019

FY 20 July 1, 2019 to May 31, 2020

DEPARTMENT OF CORRECTIONS

Internal Audit Report

John Lilley Correctional Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

John Lilley Correctional Center

June 23, 2020

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of John Lilley Correctional Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, March 1, 2019 to June 30, 2019 and FY 20, July 1, 2019 to May 31, 2020. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, PPWP, Food Services, Warehouse Inventory, and Fixed Assets Inventory System.

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

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

The results of our tests as listed on the Schedule A – Compliance disclosed certain conditions that are required to be reported herein under department policy or Government Auditing Standards. An internal audit follow-up will be performed within three months to insure corrective actions is being implemented.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

John Lilley Correctional Center

June 23, 2020

Warehouse

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

Finding: The warehouse was unauditible as a result of a lack of full time supervision. Staff personnel indicated that they have not been able to fill that position for at least 12 months.

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

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

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

Recommendations:

1. Fill the warehouse supervisor position as soon as possible. Place a temporary individual in the warehouse until that position is filled.
2. Complete A 100% inventory count as soon as possible. The internal audit team will complete a follow up audit within three (3) months of the current audit time.

3. When a new supervisor is in place insure another 100% inventory count to allow that person a “fresh start” in order to maintain inventory compliance.
4. Insure personnel that obtain goods from the warehouse on weekends maintain an accurate record of what they are removing.
5. Upon delivery all warehouse goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits or returns.
6. Conduct unannounced spot checks of the warehouse inventory report against the shelf count at least once every other week or more frequently as determined by the Warden.
7. Offenders working in the warehouse should be subject to regular shakedowns at the end of the day before leaving the canteen.
8. Restrict access to the warehouse.

PLAN OF CORRECTIVE ACTION

Recommended Action #1:

Fill the warehouse supervisor position as soon as possible. Place a temporary individual in the warehouse until that position is filled.

Corrective Action Taken:

The Warden’s Assistant, who oversees the Warehouse Supervisor, will temporarily be placed in the warehouse until the position can be filled.

Action Taken to Prevent Recurrence:

A 92 will be submitted to fill the position when the hiring freeze is lifted.

Recommended Action #2:

Complete a 100% inventory count as soon as possible. The internal audit team will complete a follow-up audit within three (3) months of the current audit time.

Corrective Action Taken:

The Warden’s Assistant, with assistance of other staff, will conduct a 100% inventory count to be completed on, or before, June 23, 2020.

Action Taken to Prevent Recurrence:

The inventory report will be submitted to the office of the Interim Warden for review.

Recommended Action #3:

When a new supervisor is in place, insure another 100% inventory count to allow that person a "fresh start" in order to maintain inventory compliance.

Corrective Action Taken:

Upon the placement of a full-time warehouse supervisor in this position, another 100% inventory will be conducted to allow a fresh start.

Action Taken to Prevent Recurrence:

The inventory report will be submitted to the office of the Interim Warden monthly.

Recommended Action #4:

Insure personnel that obtain goods from the warehouse on weekends maintain an accurate record of what they are removing.

Corrective Action Taken:

It will be reiterated to the weekend officers to maintain accurate records of any items removed from the warehouse on weekends. An incident report will be written and submitted to the office of the Interim Warden and or the Chief of Security's office.

Action Taken to Prevent Recurrence:

Random spot checks by the Interim Warden and the Chief of Security during weekly tours will be conducted to ensure accountability. Repeat deficiencies will be addressed through progressive discipline.

Recommended Action #5:

Upon delivery, all warehouse goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits or returns.

Corrective Action Taken:

The warehouse supervisor, or Warden's Assistant, will count all warehouse goods delivered and compare quantities against the invoice and purchase order. At that time, a determination will be made if credits or returns are necessary.

Action Taken to Prevent Recurrence:

The Interim Warden and the Chief of Security will monitor during weekly tours. Repeat deficiencies will be addressed through progressive discipline.

Recommended Action #6:

Conduct unannounced spot checks of the warehouse inventory report against the shelf count at least once every other week or more frequently as determined by the Warden.

Corrective Action Taken:

The Interim Warden has determined random, unannounced spot checks will be conducted no less frequently than once every other week to compare actual quantity against the warehouse inventory report.

Action Taken to Prevent Recurrence:

The Interim Warden and the Chief of Security will conduct random checks of the inventory during the tour of the facility.

Recommended Action #7:

Offenders working in the warehouse should be subject to regular shakedowns at the end of the day before leaving the canteen.

Corrective Action Taken:

The warehouse supervisor, or Warden's Assistant, will ensure the inmates working in the warehouse are subjected to a shakedown at the end of each day before leaving the warehouse.

Action Taken to Prevent Recurrence:

The shift supervisor will ensure the inmates are pat searched prior to leaving the warehouse.

Recommended Action #8:

Restrict access to the warehouse.

Corrective Action Taken:

Access to the warehouse will be restricted to employees of John Lilley Correctional Center and only the inmates assigned to work as warehouse orderlies.

Action Taken to Prevent Recurrence:

The only two people who have keys to the warehouse are the Interim Warden and the Warden's Assistant.

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Lexington Assessment and Reception Center

June 30, 2020

FOR THE PERIODS

FY 19 May 1, 2019 to June 30, 2019

FY 20 July 1, 2019 to May 31, 2020

DEPARTMENT OF CORRECTIONS

Internal Audit Report

Lexington Assessment and Reception Center

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OKLAHOMA DEPARTMENT OF CORRECTIONS
INTERNAL AUDIT REPORT

Lexington Assessment and Reception Center

June 30, 2020

Chairman, Board of Corrections
Department of Corrections

We have conducted a compliance audit of Lexington Assessment and Reception Center a part of the primary government, State of Oklahoma, Department of Corrections, for the period FY 19, May 1, 2019 to June 30, 2019 and FY 20, July 1, 2019 to May 31, 2020. The areas covered in this audit were Accounts Payable, Purchasing, Receiving, Purchase Cards, Debit Cards, Trust Fund, PPWP, Warehouse Inventory, and Fixed Assets Inventory System.

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

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

The results of our tests as listed on the Schedule A – Compliance disclosed certain conditions that are required to be reported herein under department policy or Government Auditing Standards. An internal audit follow-up will be performed within three months to insure corrective actions is being implemented.

Sincerely

Teressa Davenport

Teressa Davenport
Internal Audit

OKLAHOMA DEPARTMENT OF CORRECTIONS

INTERNAL AUDIT REPORT

Schedule A: COMPLIANCE

Lexington Assessment and Reception Center

June 30, 2020

Canteen

Criteria: Generally accepted accounting principles dictates that Inventory must be accurately recorded and disclosed on the Financial Statements to comply with reporting and accountability standards, per FASB 330 – entitled Inventory.

Finding 1

Twelve percent (11.67%) of the items sampled (7 of 60) on the day of the audit (06/22/20) were not in agreement with the closing inventory balance.

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

Recommendation:

1. Upon delivery all canteen goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits.
2. Conduct unannounced spot checks of the inventory at least once every other week or more frequently as determined by the warden.
3. Offenders working in the canteen should be subject to regular shakedowns at the end of the day before leaving the canteen.
4. The canteen should be monitored with cameras.

PLAN OF CORRECTIVE ACTION

Upon receiving truck of inventory, the invoice is checked against what is actually received. Canteen supervisor spot checks the cases to make sure full cases are received. Inventory is done before the 20th of every month.

100% inventory is always done on a Friday the week after gang pay.

Canteen workers go through medium security search in the front lobby before and after work. The only thing they leave with is the canteen they have purchased. They do not bring anything in with them.

Canteen Supervisors will do spot counts 3 times a week to make sure the counts are correct. This is done on random items. We will make sure to have our credits entered before inventory is done and this will ensure the count is correct on every item in canteen.

The Canteen is monitored by camera footage.

Warehouse

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

Finding 2

Twenty three percent (22.58%) of the items sampled (7 of 31) on the day of the audit (06/22/20) were not in agreement with the closing inventory balance.

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

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

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

Recommendations:

1. Upon delivery all warehouse goods be counted and quantities compared against the invoice and purchase order. At that time, determine if there will be credits or returns.

2. Conduct unannounced spot checks of the warehouse inventory report against the shelf count at least once every other week or more frequently as determined by the Warden.
3. Offenders working in the warehouse should be subject to regular shakedowns at the end of the day before leaving the warehouse.
4. Restrict access to the warehouse.
5. Complete a 100% count of all warehouse inventories.
6. When supplies are removed from the warehouse after hours a requisition be filled out.

PLAN OF CORRECTIVE ACTION

Upon receiving truck of inventory, the invoice is checked against what is actually received. Warehouse supervisor spot checks the cases to make sure full cases are receive.

Spot checks will be conducted once a week with inventory against shelf count.

Inmate Warehouse workers will be pat searched leaving the unit and strip searched upon return to the unit.

Only Shift Supervisors, Warehouse personnel and Food service manager have access to the warehouse key. If anything is removed from the warehouse after hours a form with each item will be filled out and left for the warehouse supervisor.

They system of inventory has been updated to a better version. The 100% inventory is completed each month and will be reported to the Warden and the Deputy Warden by the 25th of each month.

There will be a three month follow-up to insure compliance to Oklahoma Department of Corrections policy and procedures.