

**CALIFORNIA HEALTH FACILITIES COMMISSION—Continued**

"In adopting its assessment fee rates for hospitals and long-term care facilities, the commission shall update its expenditure and revenue projections based on the most recent information available and provide for a contingency reserve not to exceed \$200,000."

The portion of the language limiting the reserve to \$200,000 is identical to language contained in the 1983 Budget Act but not included in the 1984 Budget Bill.

**Youth and Adult Correctional Agency  
DEPARTMENT OF CORRECTIONS**

Item 5240 from the General  
Fund and Inmate Welfare  
Fund

Budget p. YAC 1

Requested 1984-85 .....	\$715,590,000
Estimated 1983-84 .....	604,239,000
Actual 1982-83 .....	496,199,000
Requested increase (excluding amount for salary increases) \$111,351,000 (+18.4 percent)	
Total recommended reduction .....	11,404,000
Recommendation pending .....	59,639,000

**1984-85 FUNDING BY ITEM AND SOURCE**

Item	Description	Fund	Amount
5240-001-001—Department Operations		General	\$693,281,000
5240-001-917—Inmate Welfare Fund		Revolving	11,790,000
5240-101-001—Local Assistance		General	10,519,000
5240-001-890—Department Operations		Federal	(199,000)
Reimbursements			(12,444)
Total			\$715,590,000

**SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS**

	<i>Analysis page</i>
1. Funding for Inmate Population Growth. Withhold recommendation, pending analysis of population proposal contained in the May Revision.	1328
2. Current-Year Deficiency Request. Recommend department report prior to hearings on its need for a current-year deficiency appropriation.	1329
3. <i>Community Work Furlough Facilities. Reduce Item 5240-001-001 (General Fund) by \$5,309,000.</i> Recommend deletion of overbudgeted funds.	1330
4. <i>Records Positions. Reduce Item 5240-001-001 (General Fund) by \$281,000.</i> Recommend deletion of 11 positions that are not justified by workload.	1331
5. <i>Search and Escort Staffing. Reduce Item 5240-001-001 (General Fund) by \$2,290,000.</i> Recommend deletion of 71 search and escort positions to reduce system-wide dis-	1331

**Table 2**  
**California Health Facilities Commission Fund**  
**Reserve at Year End**  
**1980-81 through 1984-85**

	<i>Budget</i>	<i>Actual</i>	<i>Excess Reserve</i>	<i>Actual Reserve As a Percent of Budgeted Expenditures</i>
1980-81.....	\$32,000	\$203,000	\$171,000	8.4%
1981-82.....	73,000	285,000	212,000	10.3
1982-83.....	500,000	780,000	280,000	24.6
1983-84 (estimated) .....	200,000	600,000	400,000	16.3
1984-85 (proposed) .....	230,000	—	—	—

In the current year, the commission expects to end the year with a reserve of \$600,000, which is \$400,000 more than the budgeted reserve. Commission staff advise that the higher-than-anticipated reserve is due to (1) a larger-than-projected carry-over from 1982-83, (2) reductions in expenditures due to the Governor's freeze on hiring and certain operating expenses, and (3) higher-than-estimated revenue from penalties, investments, and sale of documents.

In addition, the commission already estimates that 1983-84 and 1984-85 revenue will exceed the amount shown in the 1984-85 budget document, due to greater-than-anticipated document sales. The commission anticipates 1984-85 document sales will generate \$11,000 more than the amount budgeted as reimbursements.

**Fee Assessments Based on Outdated Budget Projections.** The commission calculates its annual health facility fee assessment based on projections of (1) gross annual health facility operating expenditures, (2) support costs for the commission, (3) miscellaneous revenues, and (4) reserves available from prior years. Although the commission performs the fee calculations in April, it does not use the most recent data as the basis for these calculations. Instead, it uses projections of support costs and revenues developed in the previous November for use in the Governor's Budget, with only minor adjustments.

Between November and April of any year, numerous changes occur that affect support costs and revenues. If the commission were to update the projections immediately prior to performing the fee calculations, it could consider excess carry-overs, increased document sales, and any other expenditure and revenue adjustments before setting the fees. This would also help the commission avoid building up excess reserves as it has done in each of the last four years.

**1984-85 Budgeted Reserve Too High.** We believe the commission needs to plan for a reserve. Our analysis indicates, however, that \$200,000, rather than the \$230,000, would be sufficient for this purpose in 1984-85. A \$200,000 reserve, which is equal to 5 percent of proposed expenditures, would allow sufficient funds to cover unanticipated revenue shortfalls of up to \$25,000 and still leave \$175,000 for other contingencies, such as any employee compensation adjustments adopted by the Legislature. Accordingly, we recommend adoption of Budget Bill language requiring the commission to (1) limit its reserve to \$200,000 when calculating its fee assessments and (2) update the expenditure and revenue data immediately prior to performing the fee calculations. The following Budget Bill language would accomplish this:

parities.

6. **General Expenses. Reduce Item 5240-001-001 (General Fund) by \$1,020,000.** Recommend deletion of unjustified operating expense funds. 1333
7. **Equipment. Reduce Item 5240-001-001 (General Fund) by \$374,000.** Recommend elimination of unjustified equipment. 1333
8. **Planning and Construction Division.** Withhold recommendation, pending receipt of department's report on how its proposed staffing pattern will address workload needs of the new prison construction program. 1334
9. **Training for New Officers. Reduce Item 5240-001-001 (General Fund) by \$489,000.** Recommend deletion of 24 testing, training, and investigating positions that are not supported by projected workload. 1335
10. **Salary Savings. Reduce Item 5240-001-001 (General Fund) by \$1,400,000.** Recommend increase in salary savings to reflect savings resulting from staff turnover. 1336
11. **Increased Security at Existing Facilities.** Withhold recommendation on 288 new positions, pending review of the department's evaluation of its classification system. 1336
12. **Inmate Work Program.** Recommend Legislature direct the department to report by December 1, 1984, on its plan for using inmates to provide services to other state agencies. 1339
13. **Inmate Labor. Reduce Item 5240-001-001 (General Fund) by \$241,000.** Recommend department use inmates to provide increased support services at its Galt training academy. 1340
14. **Prison Industry Costs.** Recommend the department report prior to budget hearings on its plan for ensuring that the Prison Industry Authority pays a greater share of the department's costs. 1341

## GENERAL PROGRAM STATEMENT

The Department of Corrections is responsible for the incarceration, training, education, and care of adult felons and nonfelon narcotic addicts. It also supervises and treats parolees released to the community as part of their prescribed terms. These responsibilities are administered through three programs.

### 1. Institutions Program

The department operates 12 institutions, including a psychiatric facility and a treatment center for narcotic addicts under civil commitment. The department also operates 28 conservation camps in cooperation with the Department of Forestry (24 camps) and Los Angeles County (four camps).

Major programs conducted in the institutions include 27 prison industry operations and eight agricultural enterprises which seek to reduce idleness and teach good work habits and job skills, vocational training in various occupations, academic instruction ranging from literacy to college courses, and group and individual counseling.

**DEPARTMENT OF CORRECTIONS—Continued****2. Community Correctional Program**

The community correctional program includes parole supervision, operation of community correctional centers, outpatient psychiatric services, and narcotics testing. The program goals are to provide public protection as well as services to parolees to assist them in successfully adjusting to the community.

**3. Administration**

The administration program provides program coordination and support services to the institutional and parole operations.

The department's current-year staffing level is estimated at 13,009 personnel-years.

**OVERVIEW OF THE BUDGET REQUEST**

The budget proposes the expenditure of \$728 million from various funding sources for support of the Department of Corrections in 1984-85, as shown in Table 1. This is an increase of \$114 million, or 19 percent, over estimated current-year expenditures. This increase will grow by the cost of any salary or staff benefit increase approved for the budget year. Expenditures shown in Table 1 for the current year include a General Fund deficiency request of \$7.8 million. (This deficiency request is discussed later in the analysis.)

**Table 1**  
**Department of Corrections**  
**Expenditure Summary**  
**1982-83 through 1984-85**  
**(dollars in thousands)**

<i>Funding</i>	<i>Actual 1982-83</i>	<i>Estimated 1983-84</i>	<i>Proposed 1984-85</i>	<i>Change From 1983-84</i>	
				<i>Amount</i>	<i>Percent</i>
General Fund .....	\$486,750	\$593,096	\$703,800	\$110,704	19%
Inmate Welfare Fund .....	8,863	11,143	11,790	647	6
Federal funds .....	188	213	199	-14	-7
Reimbursements .....	5,846	9,483	12,444	2,961	31
Totals .....	\$502,233	\$613,935	\$728,233	\$114,298	19%
<i>Program</i>					
Institutions .....	\$451,746	\$553,080	\$650,525	\$97,445	18%
Personnel-years .....	8,785	11,382 <sup>a</sup>	11,865	483 <sup>a</sup>	4
Community Corrections .....	50,487	60,855	77,708	16,853	28
Personnel-years .....	635	993 <sup>a</sup>	1,015	22 <sup>a</sup>	2
Administration (distributed) .....	(29,731)	(47,135)	(54,552)	(7,417)	16
Personnel-years .....	451	634 <sup>a</sup>	675	41 <sup>a</sup>	6
Totals .....	\$502,233	\$613,935	\$728,233	\$114,298	19%
Personnel-years .....	9,870	13,009 <sup>a</sup>	13,555	546 <sup>a</sup>	4%

Note: Details may not add to totals due to rounding.

<sup>a</sup> Personnel-year figures for 1983-84 are overstated because many partial-year positions are included as full personnel-years. Therefore, the increase between 1983-84 and 1984-85 is understated.

The budget proposes expenditures of \$704 million from the General Fund for support of the department in 1984-85. This is an increase of \$111 million, or 19 percent, over estimated current-year expenditures (including the deficiency request).

The department also expects to receive reimbursements totaling \$12 million and federal funds in the amount of \$0.2 million during the budget year. Expenditures of \$12 million from the Inmate Welfare Fund account for the balance of the department's total proposed expenditures of \$728 million.

### Population Growth Drives Budget Increases

The budget includes a General Fund increase of \$56.3 million over estimated current-year expenditures to provide additional staffing and operating expenses to accommodate the projected growth in inmate and parolee populations during 1984-85. This amount consists of: (a) \$49.3 million to house additional inmates, (b) \$5.5 million to supervise additional parolees, and (c) \$1.5 million to provide additional administrative support. Table 2 shows these workload adjustments and other budget changes proposed for 1984-85.

**Table 2**  
**Department of Corrections**  
**Proposed 1984-85 Budget Changes**  
**(in millions)**

	<i>General Fund</i>	<i>Inmate Welfare Fund</i>	<i>Federal Funds and Reimbursements</i>	<i>Total</i>
1983-84 Expenditures (Revised) .....	\$593.1	\$11.1	\$9.7	\$613.9
Proposed Changes:				
1. Workload Adjustments				
A. Inmate population .....	49.3	0.1	0.1	49.5
B. Parolee population .....	5.5	—	—	5.5
C. Administration .....	1.5	—	—	1.5
2. Cost Adjustments				
A. One-time costs .....	-3.5	—	—	-3.5
B. Inflation adjustments .....	10.4	0.6	0.4	11.4
C. Full-year funding of 1983-84 salary increase .....	13.5	—	—	13.5
D. Benefit increase .....	6.4	—	—	6.4
E. Full-year cost adjustments .....	23.3	—	—	23.3
F. Merit salary adjustments .....	5.7	—	—	5.7
3. Program Adjustments				
A. Three percent reduction .....	-0.6	—	—	-0.6
B. Calstars .....	0.1	—	—	0.1
C. Transfer to Department of Mental Health .....	1.5	—	—	1.5
D. Inmate unemployment insurance .....	-1.3	—	—	-1.3
E. Transfer to Department of Forestry .....	-1.2	—	—	-1.2
F. Grants .....	—	—	2.4	2.4
1984-85 Expenditures (Proposed) .....	\$703.8	\$11.8	\$12.6	\$728.2
Change from 1983-84:				
Amount .....	110.7	0.6	2.9	114.3
Percent .....	19	6	30	19

Note: Details may not add to totals due to rounding.

The department expects the prison population to increase by 5,635 inmates during 1984-85, as shown in Table 3. To accommodate the expected inmate population growth during 1984-85, the department plans to:

- open 7,100 beds in new facilities (1,800 at Vacaville, 1,000 at Tehachapi, 1,200 in San Diego County, 650 at Adelanto, 900 at Ione, 1,200 at

**DEPARTMENT OF CORRECTIONS—Continued**

Avenal, 300 in camps, and 50 at Frontera); and

- contract with the Department of Mental Health for an additional 100 beds in state hospitals for mentally ill inmates.

If the department is successful in implementing these plans in the budget year, it will be able to decrease crowding in the system by 1,565 beds. The funding request is based on a projected statewide average annual cost of housing inmates, and reflects the dates that the department plans to bring new facilities on line.

**Table 3**  
**Inmate Population**  
**Department of Corrections**

	<i>Actual</i> <i>6/30/83</i>	<i>Estimated</i> <i>6/30/84</i>	<i>Projected</i> <i>6/30/85</i>	<i>Percent Increase</i> <i>from 6/30/84</i> <i>to 6/30/85</i>
Male felon .....	34,462	37,840	43,150	14.0%
Male nonfelon .....	884	975	1,055	8.2
Female felon .....	1,620	1,960	2,150	9.7
Female nonfelon .....	252	285	340	19.3
Totals .....	37,218	41,060	46,695	13.7%
Annual increase .....		3,842	5,635	

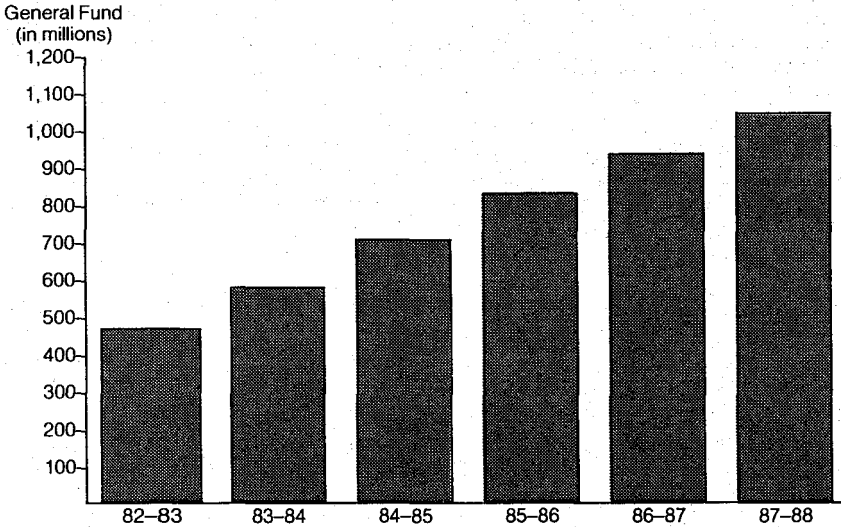
**ANALYSIS AND RECOMMENDATIONS****Prison Operating Costs Rise Dramatically**

Costs of operating the state's prison system will continue to increase sharply during the next several years. Given expected inmate and parolee population growth, *the department's General Fund costs will exceed \$1 billion in 1987-88*, as shown in Chart 1. This is an increase of about 115 percent over 1982-83 expenditures. (These estimates are based on proposed 1984-85 expenditures and a general inflation rate of 6.5 percent.)

*Our analysis indicates that actual costs could exceed estimated costs, for three reasons:*

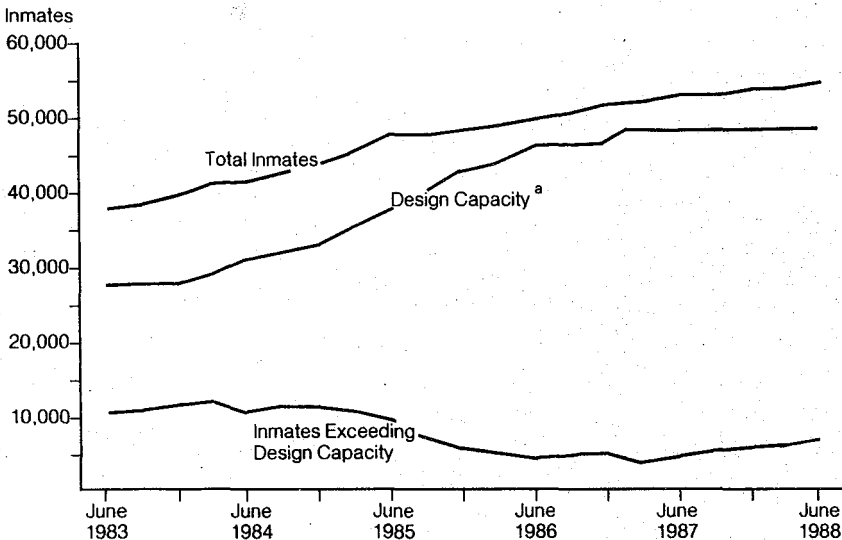
- If the department meets its schedule for opening new prisons, the level of crowding will decline significantly, as shown in Chart 2. Because crowded prisons generally are less expensive to run on a per capita basis, the reduced level of crowding should increase per capita costs above the proposed 1984-85 levels.
- The new prison facilities generally will have smaller housing units that will be more staff-intensive than existing facilities. The greater number of staff should also increase per capita costs.
- The current prison system does not provide work or educational program activities for all inmates. As the department provides more of these program activities, per capita costs will increase. This is because it requires more personnel to supervise inmates in small work crews or classrooms than to supervise them in large groups (for example, in a prison yard).

**Chart 1**  
**Costs of Prison System Will Exceed \$1 Billion**  
**by 1987-88<sup>a</sup>**



<sup>a</sup> Data for 1982-83 are based on actual expenditures; 1983-84 are estimated costs; and 1984-85 are proposed expenditures. Projections for 1985-86 through 1987-88 are based on Department of Corrections' population projections and a general inflation factor of 6.5 percent.

**Chart 2**  
**Planned Prison Construction Will Reduce**  
**Crowding Despite Inmate Population Growth**



<sup>a</sup> Design capacity includes contract beds, and is based on the Department of Corrections' current prison construction program.

**DEPARTMENT OF CORRECTIONS—Continued**

The combination of these factors could substantially increase the costs of running the prison system above the levels projected in Chart 1. It is not possible to forecast such costs, however, because of the uncertainties surrounding staffing requirements for the new prisons and how the department will choose to distribute inmates among facilities. One indication of the potential for cost increases above the baseline projection can be found in the department's estimate that the new maximum security prison at Folsom, if it were single-celled, would cost about 28 percent more per inmate (\$19,948 versus \$15,550) than the currently crowded San Quentin and Folsom State Prisons.

Finally, the department's population projections do *not* include the potential effects of continuing existing restrictions on the granting of probation for persons who commit residential burglary, as provided in Ch 1294/82. This statute is scheduled to sunset on January 1, 1985. If it is extended during the current legislative session, then prison costs could exceed baseline projections by substantial amounts.

**Inmate Population Plan Must Be Developed**

*We withhold recommendation on that portion of the department's support budget related to increased costs for inmate population growth, pending analysis of a revised budget proposal to be included in the May revision.*

Our analysis has identified several factors that may warrant changes to the department's proposal for housing the projected inmate population in the months ahead.

First, the department has provided no details on its staffing needs and operating costs for housing inmates in new facilities that it plans to construct in the current and budget years. We are advised that these details will be provided in the May revision of the budget.

Second, if the department finds that it will not be able to complete construction of the new housing facilities by July 1, 1985, as scheduled, it will have to alter its housing plan.

Third, if the department determines that it will not be able to house 1,755 inmates in community facilities by *July 1, 1984*, as the budget proposes, it will have to accommodate additional inmates in institutions.

For these reasons, we believe the budget request for the department will be revised considerably prior to the May revision. The department advises that it will revise its proposal for housing the projected inmate population before legislative action on this item is completed. Pending receipt and analysis of the revision, we withhold recommendation on the \$50,159,000 requested from the General Fund because of growth in the state's prison population. This amount consists of (1) continuation of \$837,000 requested as part of the deficiency and (2) \$49,322,000 to accommodate the projected increase in population during 1984-85.

**Parole Division Workload**

*We recommend approval.*

Along with the projected increase in the department's inmate population, the budget provides for an increase in the department's parolee



population during 1984-85. The department estimates that from June 30, 1984, to June 30, 1985, the number of parolees it supervises will increase by 1,410, or 6 percent. To supervise and provide services to the additional parolees, the department proposes to add 85 positions. These positions are based on caseload formulas that were reviewed and adjusted by the Legislature two years ago.

The department proposes to add 15.5 other positions to the parole division. Of these positions, 14.5 are proposed to coordinate parole revocation hearings held by the Board of Prison Terms, and one is proposed to coordinate the supervision of inmates who are housed at Atascadero State Hospital.

Our analysis indicates that the positions requested for the parole division are justified on a workload basis, and we recommend that they be approved.

### **Support Services Workload**

The department proposes to increase its support services staff by 163 positions in 1984-85, as follows:

- 12 positions, which have been administratively established in the current year, to coordinate programs, staff, and purchases for three new prisons that the department plans to open over the next 13 months,
- 9 positions to meet increased workload in the department's fiscal services division,
- 6 positions for the department's inmate transportation system,
- 6 positions to review and approve inmate transfers between institutions, and
- 2 positions to increase correctional officer recruitment efforts.

Our analysis indicates that these positions are justified on a workload basis, and we recommend that they be approved.

In addition, the department proposes the addition of:

- 73 positions to test, train, and investigate the backgrounds of correctional officer candidates, as follows:
  - 31 positions for investigation activities,
  - 20 positions for training activities,
  - 13 positions for testing the physical abilities of officer candidates, and
  - 9 positions for the implementation of regional employee testing centers;
- 22 positions for the planning and construction division;
- 20 positions to improve the processing of records of inmates wanted by law enforcement agencies in other jurisdictions; and
- 13 positions to provide support services at the training academy in Galt.

These positions are discussed later in the analysis.

### **Department Historically Overstates its Deficiency Needs**

*We recommend that the department reevaluate its current-year spending needs and report its findings to the legislative fiscal committees prior to hearings on the department's requested deficiency appropriation.*

Principally because inmate and parolee population growth has exceeded budget projections, the department has requested deficiency appropriations in each of the past several years. In each case, however, the deficiency appropriation requested by the department and approved by

**DEPARTMENT OF CORRECTIONS—Continued**

the Legislature has exceeded the department's actual needs by at least one-third. This is shown in Table 4. Last year the department returned the *entire* deficiency *plus* \$2,635,000 from its Budget Act appropriation.

**Table 4**  
**Department Historically Overestimates**  
**Its Needs for Deficiency Appropriations**

	<i>Deficiency Appropriation</i>	<i>Amount Unexpended</i>	<i>Percent Unexpended</i>
1979-80 .....	\$7,045,000	\$2,599,000	37%
1980-81 .....	7,763,000	3,221,000	41
1981-82 .....	6,716,000	5,387,000	80
1982-83 .....	7,016,000	9,651,000	100 <sup>a</sup>
1983-84 (requested) .....	7,826,000	N/A	N/A

<sup>a</sup> In addition, the department did not spend \$2,635,000 from its Budget Act appropriation.

In the current year, the department requests a deficiency of \$7,826,000. The funds are requested primarily to increase the department's staff to administer the accelerated prison construction program authorized by Ch 958/83 (SB 422). In addition, funds are requested to cover the increased workers' compensation costs resulting from Ch 922/82, and to staff an improved perimeter security system at the California Institution for Men in Chino. Because of substantial inconsistencies in the way inmate files currently are organized, the requested deficiency appropriation also includes \$746,000 to cover staff costs for reorganizing individual inmate file folders. The department proposes to reorganize *every* inmate's file, in spite of the fact that 50 percent of the department's population will be out on parole in less than one year.

In our judgment, the department deserves credit for attempting to hold down its expenditures and not spending all the funds made available to it. In addition, it is clear that many factors make it difficult for the department to project its expenditures with any precision, including (1) fluctuations in population projections, (2) delays in constructing new prisons and contracting for space in community facilities, and (3) hiring and purchasing freezes. Nevertheless, to ensure that the department does not needlessly tie up resources that the Legislature could appropriate for other high priority programs, we recommend that the Department of Corrections reevaluate its current-year spending patterns and needs, and provide the fiscal committees with an updated deficiency request prior to hearings on the deficiency appropriations bill.

**Community Work Furlough Bed Funds Overbudgeted**

*We recommend a General Fund reduction of \$5,309,000 to eliminate overbudgeting for the community work furlough program (Item 5240-001-001).*

The department requests \$24.6 million to operate or contract for 1,555 beds in community work furlough and reentry facilities. This amount consists of (1) \$2.5 million to operate 149 beds in state-run community facilities, and (2) \$22.1 million to contract for beds in private or county community facilities.

Our analysis indicates that the requested funds are overbudgeted for two reasons. First, the department requests funds to *contract* for the 149

beds in *state-operated* community facilities, even though funds for these beds are budgeted separately. Therefore, the department is double-budgeting for these beds. Second, the funding request for contract beds in community work furlough facilities is based on a contract rate of \$38.94 per day, which our analysis indicates is 14 percent higher than the average rate currently paid to county facilities, and 31 percent higher than the average rate currently paid to private facilities. The department advises us that actual rates for 1984-85 have not been determined, and that the rate used in developing its budget request is an estimate. The department, however, has provided no justification for the steep price increases that underly its estimate of budget-year expenditures for community beds.

As a result of these two factors, we estimate that the department's request is overbudgeted by \$5,309,000. Eliminating the double-budgeting for the 149 beds in state-operated community facilities reduces funding needs by \$2,118,000. In addition, reducing the proposed rate increase for contract beds to the 6 percent increase used by the Department of Finance in order to adjust state department budgets for inflation, reduces funding needs by \$3,191,000. Accordingly, we recommend deletion of these overbudgeted funds, for a General Fund savings of \$5,309,000 (Item 5240-001-001).

#### **Records Positions Unjustified**

*We recommend the deletion of 11 new positions for record offices that are not justified on a workload basis, for a General Fund savings of \$281,000 (Item 5240-001-001).*

The department proposes to add one records position to each of its 20 records offices to process and monitor "holds" placed on inmates by other jurisdictions. (When a hold is placed on an inmate, the inmate is supposed to be turned over to the appropriate jurisdiction upon his or her release from the Department of Corrections.) According to the department, the new positions would coordinate a new, more sophisticated, system that is aimed at preventing the improper placement or release of inmates due to the improper processing of holds from other jurisdictions (such as occurred recently in the case of Kevin Cooper). Currently, these responsibilities are shared by a few persons on a part-time basis in each office. The department indicates that this fragmentation of responsibility for processing holds has contributed to the problem of improper placement/release.

Our analysis indicates that the department's proposal to establish a new system for processing holds, with one coordinator in each office, is a necessary and positive approach to a serious problem. The department, however, advises us that it has the equivalent of about 11 full-time positions processing holds under the current system. The department did not take these positions into account when its proposal was prepared. Therefore, if the department were to reallocate its current staff resources, it could provide one full-time coordinator for the new system in each of its 20 records offices with the addition of 9, instead of 20, new positions. On this basis, we recommend the deletion of 11 positions, for a General Fund savings of \$281,000 (Item 5240-001-001).

#### **Department Should Standardize Search and Escort Staffing**

*We recommend deletion of 71 positions in order to reduce disparities in search and escort position staffing patterns, for a General Fund savings of \$2,290,000 (Item 5240-001-001).*

**DEPARTMENT OF CORRECTIONS—Continued**

Each institution hires correctional officers for "search and escort" positions. The primary responsibilities of these officers are to search inmates, cells, and prison buildings and grounds for weapons and contraband, and escort prisoners to hearings or other meetings. Search and escort officers also provide many other services, such as providing extra security in dining rooms during mealtime and in hallways during periods of extensive inmate movement. These positions are budgeted in addition to other security positions that generally are assigned to a fixed post, such as a particular housing unit or gate.

The current number of search and escort positions vary substantially between institutions (see Table 5). Even after adjusting for the size of the inmate population, and the general security level of the institution, the staffing levels at different institutions are very disparate. For example, the inmate-to-search and escort position ratio at the California Mens Colony (254:1) is nearly *four* times as high as the ratio at the Correctional Training Facility (65:1), despite the fact that both are medium security institutions. Although it would be expected that institutions housing inmates who are greater security risks would have a greater need for search and escort positions, the reverse is true in some cases, according to department data. For example, there are more inmates per search and escort position at the Mens Colony and Deuel Vocational Institution, both medium security facilities, than at *every* minimum/low-medium security facility.

**Table 5**  
**Search and Escort Staffing**  
**at California's Prisons**

<i>Institution</i>	<i>Number of Search and Escort Positions<sup>a</sup></i>	<i>Inmate Population<sup>b</sup></i>	<i>Inmate-to- Position Ratio</i>
<i>Minimum/Low-Medium Security<sup>c</sup></i>			
California Correctional Center .....	14.7	1,740	118:1
California Correctional Institution .....	14.7	1,960	133:1
California Rehabilitation Center .....	32.6	3,230	99:1
Sierra Conservation Center .....	14.7	1,750	119:1
Average .....			113:1
<i>Medium Security<sup>d</sup></i>			
California Institution for Men <sup>e</sup> .....	70.1	4,100	58:1
California Institution for Women <sup>f</sup> .....	19.6	1,290	66:1
California Medical Facility .....	47.3	3,400	72:1
California Mens Colony .....	11.4	2,900	254:1
Correctional Training Facility .....	83.1	5,360	65:1
Deuel Vocational Institution .....	17.9	3,010	168:1
Average .....			80:1
<i>Maximum Security<sup>g</sup></i>			
Folsom State Prison .....	61.9	3,410	55:1
San Quentin State Prison .....	114.1	3,590	31:1
Average .....			40:1

<sup>a</sup> Based on number of search and escort *posts* on December 19, 1983.

<sup>b</sup> Population on December 18, 1983, excluding most camp inmates.

<sup>c</sup> Includes institutions designed to house primarily level I (minimum security) and II (low-medium security) inmates.

<sup>d</sup> Includes institutions designed to house primarily level III inmates.

<sup>e</sup> This institution is included in this security category because of its large reception center population.

<sup>f</sup> This institution is included in this security category because it houses the highest security women in the system. The department does not formally classify female inmates.

<sup>g</sup> Includes institutions designed to house primarily level IV inmates.

We recognize that search and escort needs vary by institution due to many factors, including (1) the security level of the institution, (2) the total number of inmates in the population, (3) the number of inmates in high security housing units in the institution, (4) the size of the institution grounds, and (5) the physical configuration of the institution. Nevertheless, the department indicates that it has no readily available explanation for the wide variations in current search and escort staffing patterns. Without such justification, we cannot recommend approval of the proposed positions.

If the department were to reduce search and escort positions at its facilities with low inmate-to-position ratios in order to bring them in line with the *average* ratios for their security level group (113:1 for minimum/low-medium security facilities, 80:1 for medium security facilities, and 40:1 for maximum security facilities) it could eliminate 71 positions. We know of no reason why this would not be feasible. On this basis, we recommend a reduction of 71 positions, for a General Fund savings of \$2,290,000 (Item 5240-001-001). In the event the department subsequently provides justification for some of these positions based on the individual needs of specific institutions, we will adjust our recommendation accordingly.

**General Expenses Overbudgeted** \$648,000

*We recommend deletion of unjustified general expenses, for a General Fund savings of \$1,020,000 (Item 5240-001-001).*

The budget proposes \$9.3 million for "general expenses," such as employee moving expenses, office equipment, and office supplies. This is an increase of \$3.6 million, or 63 percent, over actual 1982-83 expenditures on these items.

Our analysis indicates that these costs should not grow by more than 45 percent during the two year period. This rate of growth reflects the compound effect of (1) the proposed 37 percent increase in the department's personnel-years from 1982-83 to 1984-85 and (2) the 6 percent increase allowed by the Department of Finance to account for the effects of inflation on purchasing power. A 45 percent increase in general expenses would support a budget level of \$8,280,000 in 1984-85. Accordingly, we recommend deletion of the \$1,020,000 in excess of this amount, for a corresponding savings to the General Fund (Item 5240-001-001).

**Unjustified Equipment** \$259,000

*We recommend deletion of funds requested for unjustified equipment purchases, for a General Fund savings of \$374,000 (Item 5240-001-001).*

Our analysis of the department's Supplemental Schedule of Equipment indicates that 11 types of equipment, for which \$374,000 is requested from the General Fund for 1984-85, have not been properly justified.

The questionable requests include:

- \$92,000 for cars that will be purchased in the current year with funds included in the department's current-year deficiency request.
- Funds for eight passenger vans that differ in price for no apparent

**DEPARTMENT OF CORRECTIONS—Continued**

reason. If all were purchased at the price of the least expensive van, the department could save \$18,000.

- \$53,000 for new boiler room controls that were approved and funded by the Legislature last year.
- \$28,000 for five *riding* lawn mowers (including one costing \$14,000) despite the fact that the department could purchase less expensive mowers and expand the number of inmate work assignments.
- \$14,000 for beds and lockers for a temporary housing unit that will be closed before the beginning of 1984-85.

Without further documentation of the need for these funds, we have no basis for recommending that they be approved. Accordingly, we recommend a deletion of \$374,000 from the General Fund request (Item 5240-001-001).

**Planning and Construction Staff Proposal Needs Clarification**

*We withhold recommendation on 22 positions requested for the planning and construction division. We recommend that the department report to the fiscal committees prior to budget hearings on how the proposed positions will address staffing needs for its new prison construction program.*

The department proposes to add 22 positions to its planning and construction division. Ten of the positions would be assigned to the unit that deals with repair and capital outlay needs at existing institutions, ten would be assigned to a newly formed program planning unit, and two would be assigned to the division's community and government relations unit, which is responsible for locating sites for new facilities.

No new staff are requested to help with the department's new prison construction activities. As a result, the new prison construction activities will continue to be handled by one assistant deputy director, one secretary, one engineer position that divides its time between the existing facilities and new construction programs, and outside consultants.

We are concerned that so few state positions currently are assigned to new prison construction activities and that the department does not propose any additional positions, despite the heavy workload in this area.

In addition to this major concern, we have identified other issues regarding the staffing proposal for the planning and construction division which warrant the Legislature's attention:

- The department proposes to add a draftsman and an electrical engineer to develop and draw plans for construction projects at existing institutions. These positions appear to duplicate services provided by the Office of State Architect (OSA). The department should address whether its proposal would be more cost-effective than utilizing OSA staff.
- The department proposes to establish its own program planning unit in place of consultants who were placed under contract in 1982. The department indicates that it plans to transfer persons from other divisions to staff the new planning unit. Planning has been one of the department's deficiencies in the past, and we agree that the department needs to improve its capabilities in this area. Two years ago, however, when the consultants were hired, the department indicated that the necessary expertise was not available in the department. The department should indicate why it now believes that the required

expertise can be obtained from existing department staff.

- The department proposes to institute a headquarters-based construction program for minor capital outlay and special repair projects that will attempt to make more extensive use of inmate labor. The increased use of inmate labor is a positive goal. The department has not clearly demonstrated, however, how adding the proposed positions at the headquarters and regional levels will result in a more efficient construction program.
- The department indicates that workload data have not been developed for many of the positions. Such data should be provided to the Legislature.

Under routine circumstances, these concerns probably would lead us to recommend deletion of at least some of the requested positions. The circumstances surrounding the department's capital outlay program, however, are far from routine. The planning and construction division is responsible for planning, developing, and building housing space for over 19,000 inmates over the next few years. Furthermore, many of the department's existing prisons are in disrepair. Finally, we have been critical of the staff work that the department has provided to the legislature regarding prison construction projects.

We recognize that the department needs additional resources in the planning and construction division. Our analysis, however, indicates that the department's proposal needs substantial clarification and documentation before the Legislature can consider it. Accordingly, we withhold recommendation on the 22 positions and \$184,000 (this amount reflects costs of \$1,184,000 for the new positions and savings of \$1,000,000 in energy usage that a requested energy conservation specialist is expected to generate) requested for the department's planning and construction division. We recommend that the department report to the fiscal committees prior to budget hearings on how its proposal addresses its staffing needs for the new prison construction program, as well as the other issues mentioned above.

#### **Department Training Needs Overestimated 11 positions, \$222,000**

*We recommend deletion of 24 new positions that are not justified by workload, for a General Fund savings of \$489,000 (Item 5240-001-001).*

The department is requesting 73 positions and \$1.5 million to test, train, and investigate the backgrounds of new correctional officers. The department bases its justification for these positions on the need to hire and train 3,400 new correctional officers.

The department advises us that it does not have a detailed projection of the number of new correctional officers that will be hired in 1984-85. Our analysis of the department's data, however, indicates that the department will need to train no more than 2,200 new officers in the budget year. The total consists of (1) 760 new custody positions (we estimate that the balance of the 1,083 new positions proposed for institutions in 1984-85 will not have custody responsibilities), (2) 1,050 new officers to fill expected vacancies in existing positions, based on the department's average turnover rate of 19 percent, and (3) 390 new officers to replace officers who are promoted to fill sergeant vacancies, based on the department's projections for 1983-84.

If the department's request for training staff is recalculated based on the need to hire and train 2,200, rather than 3,400, new correctional officers, the department's position requirements drop by approximately one-third.

**DEPARTMENT OF CORRECTIONS—Continued**

Accordingly, we recommend deletion of 24 positions that have not been justified on a workload basis, for a General Fund savings of \$489,000 (Item 5240-001-001).

**Salary Savings Result From Staff Turnover**

*We recommend the deletion of \$1,400,000 from the General Fund (Item 5240-001-001), to reflect unbudgeted salary savings that will result from staff turnover.*

Most state agencies budget for expected savings in salary costs that arise whenever (1) a position is not filled immediately after it is established or becomes vacant, and (2) a vacancy is filled by someone with less seniority and thus a lower salary than the previous incumbent.

The Department of Corrections has "post" positions which *must* be filled at all times. Therefore, the department has a policy of using overtime or temporary help personnel to fill security post positions that become vacant when an officer resigns or is promoted. Because of this policy, it does not budget *any* salary savings for correctional officers.

Our analysis indicates that the department's budgeting practice fails to recognize that staff turnover also generates savings when an employee earning an above-entry-level salary resigns and is replaced by an employee earning the entry-level wage. The savings that result from staff turnover generally are not large in small organizations or in organizations with low turnover rates. The Department of Corrections, however, has over 5,500 correctional officers and an *annual officer turnover rate of about 19 percent*.

Our analysis indicates that if the department were to conservatively budget for a one-step (5 percent) salary difference between new officers and the officers they are replacing, the department's budget could be reduced by \$1,400,000. We believe such a differential is the minimum that can be expected as turnover occurs. On this basis, we recommend the deletion of \$1,400,000 in requested General Fund support (Item 5240-001-001).

**Classification System Needs Reevaluation**

*We recommend that the department submit its evaluation of the inmate classification system to the legislative fiscal committees prior to budget hearings.*

*We withhold recommendation on 288 positions requested to increase security at existing institutions, pending receipt of the department's evaluation.*

The department proposes 288 additional positions, at a cost of about \$9.3 million, for six institutions that, because of capacity shortage at maximum security facilities, are scheduled to house inmates having higher security ratings than the inmates whom the institutions were designed to house. The new positions are requested because of changes in the *type* of inmates that will be housed at the facilities—not because of an increase in the *number* of inmates.

At the same time that the department is requesting these new positions, it is also evaluating the accuracy and usefulness of its security classification system. The current classification system assigns a score to each inmate, based on points given for sentence length, personal characteristics, prior record, and prior behavior while incarcerated. Inmates are then divided



into four security groups according to their classification scores, with level IV being the greatest security risk and level I the lowest security risk. The department uses the classification scores when it assigns inmates to particular institutions. For example, generally level IV inmates are assigned to Folsom and San Quentin State Prisons, which are the state's two level IV institutions. The classification system is also used in determining what type of institutions to build in the future.

Our analysis indicates that a thorough evaluation of the classification system is needed. The current system used by the department has a number of shortcomings:

- ***The System Does Not Adequately Differentiate Inmates by Type of Risk.*** The system rates an inmate as a high security risk for two principal reasons: (1) there is a high probability that the inmate will attempt to escape, and (2) there is a high probability that the inmate will engage in assaultive behavior. The classification system, however, does not differentiate between the two risk factors. As a result, persons who may be considered escape risks (due, for example, to prior escape attempts), but who may not present behavior problems while inside a prison, may be given the same classification scores as the most assault-prone inmates. Yet, the amount of staff, type of housing units, and perimeter security needed to house the two types of inmates is quite different.
- ***The System Does Not Reflect New Work-Credit Legislation.*** One of the principal factors in the classification system is the length of the individual prisoner's sentence. The system, however, does not reflect recent legislation that reduced prison terms through the work-credit program. The new work-credit program, which allows a sentence reduction of one-month for every month of full-time work or education program participation, increased significantly the opportunity for inmates to earn sentence credits, relative to the old program, which reduced sentences by one-third for program participation and good behavior. For example, a person with a three-year sentence can, by participating in a work or education program, receive a one and one-half year reduction in his or her term, as compared to only a one-year reduction under the prior system. The classification system has not been adjusted to reflect this change that *reduces* terms. In contrast, as new laws *increase* prison sentences for certain crimes, the classification system automatically assigns higher classification scores to inmates convicted of those crimes.
- ***The System is Too Sensitive to Small Differences in Scores.*** The system is based on very sensitive cutoff points. For example, our analysis indicates that if the cutoff points were increased by just two points, about 370 current level IV inmates would become level IIIs, 1,100 current level IIIs would become level IIs, and 1,500 current level IIs would become level Is. A two-point difference in an inmate's score can occur for many reasons that would seem to have relatively little to do with the risk of escape or assaultive behavior. For example, one inmate's score will be two points higher than that for an otherwise identical inmate if (1) he is 25, rather than 26 years of age, or (2) his sentence is six months longer.

We recognize that the current crowding in the prison system may raise security requirements at certain institutions, and we have recommended approval of staffing increases requested for this purpose in the past. Past requests for staff, however, generally have been based on additional *num-*

**DEPARTMENT OF CORRECTIONS—Continued**

bers of inmates, not on the changes in the *mix of classification scores* of inmates.

Because of the existing classification system's limitations, and the fact that the department is now evaluating its system, we have no basis for recommending approval of the requested staff to increase the security levels at existing facilities.

The department advises us that an initial evaluation of the classification system will be completed within the next few months. We recommend that the department submit the results of that evaluation to the legislative fiscal committees prior to budget hearings, so that the Legislature can better judge the need for the additional security positions. Accordingly, we withhold recommendation on the requested 288 positions and \$9,296,000 from the General Fund, pending receipt and analysis of the department's report.

**Legislature Expands Work Program**

For the past few years, the Legislature has directed the department to increase work opportunities for inmates. An expanded work program could (1) improve inmate training and work experience, (2) reduce unproductive idleness that often leads to disturbances in the prisons, and (3) reduce the costs of the state's prison system.

The department has developed expanded work programs in response to various legislative initiatives, but further effort in this area is needed.

**General Work Program.** The department is developing a plan to provide full-time work or educational opportunities for all inmates, except those who are in reception centers or are serious disciplinary problems. The development of such a work and education program for all inmates is consistent with (a) Ch 1/82, which directed the department to put all able-bodied inmates to work and to seek to achieve the prison system's self-sufficiency through the development of prison labor and skills, and (b) Ch 1234/82, which established the new work-credit system that allows inmates who work or participate in an educational program full-time to reduce their sentences by one month for every month of such participation.

As of December 1, 1983, about 66 percent of the department's inmates were involved in a full-time program. Nineteen percent of the inmates were unassigned because they were in a reception center, out-to-court, or in transit, and 6 percent were unassigned because of their placement in a security housing unit. The remaining 9 percent were unassigned because the department lacks a sufficient number of job or education assignment slots. Because these inmates are unassigned involuntarily, they generally earn sentence credits under the old credit system, which automatically reduces their sentences by one-third. Only 298 inmates who were eligible for an assignment chose not to participate in a work or education program.

Of the inmates who are participating full-time in a work or educational program, 21 percent attend academic or vocational education classes, 10 percent work in the industries program, 9 percent work out of conservation camps, and about 60 percent work in kitchens and laundries, and on maintenance, janitorial and groundskeeping crews. The department acknowledges that a great number of the inmates assigned to janitorial or groundskeeping activities are involved in "make-work" assignments.

**Road Crews.** As part of its effort to provide assignments for all eligible inmates, the department advises that it is working with the Depart-

ment of Transportation to develop a maintenance program to be staffed by inmate workers. The development and implementation of such a plan would be consistent with Ch 1549/82, which updated statutory provisions concerning road camps for inmates working with the Department of Transportation, and Ch 956/83, which requires the employment of 1,000 inmates by the Departments of Forestry, Transportation, Water Resources, and Parks and Recreation.

**Industries.** Despite Ch 1549/82, which substantially restructured the industries program and made it semiautonomous of the department, there has been no significant expansion of the industries program in existing facilities to date. Total inmate employment increased by only 105 inmates between June 1982 and June 1983. Furthermore, the Prison Industry Authority has not yet implemented specific programs which it advised the Legislature would be underway last year. Specifically, on April 8, 1983, the Authority reported to the Legislature that (1) it was only three weeks away from the scheduled May 1, 1983, start-up of a data processing program at Deuel Vocational Institution, and (2) space for the program was in the process of being renovated. At the time this *Analysis* was prepared, that program still had not begun, and the space was being used for a different program.

The Authority, however, is improving somewhat its planning efforts for activities at new prisons. Although it has not completed detailed operating schedules for the new prison complex at Vacaville, the Authority's preliminary plans include many enterprises (for example, an automobile repair facility and an automobile parts manufacturing operation) that could provide good training for inmates and valuable services to the state.

#### **Potential Areas for Expansion of the Work Program**

*We recommend that the Legislature adopt supplemental report language directing the Departments of Corrections and Finance to (1) develop and implement a plan for using inmates to provide services for other state agencies, and (2) report to the Legislature by December 1, 1984, on the status of that plan.*

Currently, work crews of minimum security inmates provide state agencies with many services, including firefighting, flood control, and brush clearing. In addition, crews provide janitorial and groundskeeping services to the department's training academy in Galt, the Military Department's Camp San Luis Obispo, and the California Exposition and State Fair. These services reduce state costs and provide good work experience for the inmates.

Our analysis indicates that there is a good potential for expanding the use of inmate labor to provide such services for various other state agencies. For example:

- The California Highway Patrol training academy employs five food service workers, 14 janitors, and seven groundskeepers. Inmates could provide some of these services, just as they do at the department's training academy in Galt.
- The California Veterans Home has 21 laundry workers, 89 food service workers, and six groundskeepers. The home used a crew of Youth Authority wards who helped with maintenance activities during the current year. An inmate crew could provide some of these services on an ongoing basis.
- The Department of Water Resources is proposing to expand its program to rebuild the levees in the Sacramento/San Joaquin delta. The

**DEPARTMENT OF CORRECTIONS—Continued**

use of inmate labor in this effort should be examined.

- State hospitals employ numerous kitchen workers and over 200 laundry workers. The use of inmates in those types of activities which do not include contact with hospital patients should be explored.

In addition, there are good opportunities for inmates to provide services to other state agencies from inside the prison facilities. For example, record keeping and data management and processing activities could be performed by inmates who are not eligible for assignments outside a prison. In response to the requirements contained in Ch 1045/82, the Departments of Corrections and General Services recently provided to the Legislature an extensive report on the feasibility of establishing a prison work program to carry out records storage and retrieval activities for appropriate state departments. The report concluded that there is good potential for a records microfilming program, and that such a program should be established by the Prison Industry Authority at the California Medical Facility.

Because of legislative interest in expanding the work program for inmates and the potential such an expansion has for reducing state costs and improving the chances that inmates will make successful transitions to the community, we recommend that the Departments of Corrections and Finance develop and implement a plan for using inmates to provide services for other state agencies. Specifically, we recommend that the Legislature adopt the following supplemental report language:

"The Departments of Corrections and Finance shall develop and implement a plan for using inmates to provide services for other state agencies. The departments shall report to the Legislature by December 1, 1984, on the status of the plan. The report shall discuss savings that have been achieved by using inmate labor."

**Department Should Increase Use of Inmates to Support Its Training Academy**

*We recommend deletion of 13 new positions that would not be needed if the department were to increase the use of inmate labor at its Galt training facility, for a General Fund savings of \$241,000 (Item 5240-001-001).*

*8 positions + \$138,000*

The department proposes the addition of 13 positions to provide kitchen, clerical, maintenance, and janitorial services at its training academy in Galt. This is an increase of 62 percent over the number of staff authorized for these purposes in the current year. The department, however, does *not* propose to increase the number of inmate workers at the facility. Currently, up to 10 inmates per day are transported to Galt from the Deuel Vocational Institution for janitorial and groundskeeping tasks.

Our analysis indicates that although support services workload at the academy will increase as more correctional officers hired to staff new prisons are trained at the facility, this increased workload could be met with inmate, rather than civil service, staff. Three institutions in the area—Folsom State Prison, Deuel Vocational Institution, and the California Medical Facility—all have minimum security housing units from which inmates could be transported to work at Galt. Furthermore, inmates in every prison in the state are delivering the types of services for which the department is requesting additional staff.

The increased use of inmate labor would reduce state costs and provide inmates with needed job assignments. Accordingly, we recommend dele-

tion of the 13 positions requested for support activities at the Galt training academy, for a General Fund savings of \$241,000 (Item 5240-001-001).

### **Prison Industries Should Pay Its Own Way**

*We recommend that the department report to the fiscal committees prior to budget hearings, on its plan for ensuring that the industries program pays its share of the department's costs.*

As discussed above, the prison industries program has the potential to reduce state costs and provide valuable work experience to inmates. The Prison Industry Authority is semiautonomous from the Department of Corrections and is financed by the Prison Industry Revolving Fund. The program has improved its financial condition over the past few years. Since 1979-80, when it lost money, it has begun to turn a profit. According to the Governor's Budget, the Authority expects to earn a profit of about \$3.3 million in 1983-84 and 1984-85.

Despite the fact that the Authority is supposed to cover its costs out of its revolving fund, backed by loans from the General Fund or private lenders, if necessary, our analysis indicates that the program is not paying its share of the department's costs. For example:

- The costs of a workers' compensation program for inmates injured while working in industries are paid from the General Fund. The department's General Fund budget request includes \$157,000 to pay workers' compensation benefits to inmates injured while working in prison industries, kitchens, or other activities. The department has not determined what share of the total is for industries' workers.
- Only 6 of the 10 institutions that have an industries program pay rent to the General Fund. Of those that do, the proposed budget-year rent payments range from \$1,800 to \$22,000.
- Reimbursements for the costs of utility, telephone, water, and sewer services also vary widely. The reimbursements proposed in 1984-85 for these services range from \$717 at the California Institution for Women to \$174,000 at the California Institution for Men.
- Some of the industry programs pay for security coverage, and others do not.

Although we would expect some variation in reimbursement levels due to differences in the size and nature of industry operations, there appears to be no analytical basis for these extreme disparities.

Our analysis indicates that because the financial condition of the industries program has improved so dramatically, the program should begin to pay its fair share of the department's expenses. We recommend that the department report to the fiscal committees prior to budget hearings on a revised reimbursement schedule which ensures that the Prison Industries Authority pays its share of the department's costs. The report should include proposed reimbursements for workers' compensation benefits, rent, utilities, telephone services, water and sewage services, security personnel, or other costs that should be borne by the industries program.

## DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY

Item 5240-301 from the General  
Fund, and the General Fund,  
Special Account for Capital  
Outlay

Budget p. YAC 26

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Requested 1984-85 .....	\$113,454,000
Recommended approval .....	3,681,000
Recommended reduction .....	23,067,000
Recommendation pending .....	86,706,000

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## SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS

*Analysis  
page*

## NEW PRISON CONSTRUCTION PROGRAM

1. We recommend that at the time of budget hearings, the department report why the planned number of beds at each custody level in the department's building program is not in agreement with the department's current population projections for each custody level. 1356
2. *Southern Maximum Security Complex—Tehachapi. Reduce by \$1,000,000.* Recommend reduction to eliminate equipment items which are not justified. Withhold recommendation on \$2,900,000 requested for equipment, pending review of the need for these equipment items by the department. 1361
3. California State Prison—Folsom. Withhold recommendation on \$30,600,000 for construction of the minimum security support services complex pending receipt of completed preliminary plans and cost estimates for this portion of the project. 1362
4. California State Prison—Adelanto. Withhold recommendation on \$5,000,000 for construction of site development and \$4,000,000 for purchase of long lead items because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the correctional program (2) the site master plan, and (3) the preliminary plans and cost estimate for the new prison. 1363
5. California State Prison—Avenal. Withhold recommendation on funds for construction of site development (\$12,500,000) and for purchase of long lead items (\$6,500,000) because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the prison site, (2) the correctional program (3) the site master plan and (4) the preliminary plans and cost estimate for the new prison. 1363
6. Medium Security Facility No. 1—Los Angeles County. Withhold recommendation on funds for site acquisition (\$14,000,000) and for working drawings (\$4,400,000) because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the prison site, (2) the correction- 1364

- al program, (3) the site master plan, and (4) the preliminary plans and cost estimate for the new prison.
7. **California State Prison—Folsom.** Reduce by \$6,700,000. 1365  
Recommend that funds for equipment be deleted because the request is premature, given the current schedule for occupancy of the new prison.
  8. **State Prison—Ione.** Withhold recommendation on \$3,800,000 for equipment because the department has not submitted the detailed equipment needed by the Legislature for review of this request. 1365
  9. **California Institution for Women—Frontera.** Reduce by \$150,000. 1365  
Recommend that equipment funds be deleted because no information has been provided to substantiate the need for the requested funds, and the prison has adequate equipment to service this 50-bed addition.
  10. **Northern California Women's Facility—San Joaquin County.** Withhold recommendation on working drawing funds because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the correctional program, (2) the site master plan and (3) the preliminary plans and cost estimate for the new prison. 1366
  11. **Capital Program Management—Statewide.** Reduce by \$1,500,000. 1366  
Recommend that funds for technical and professional services be deleted because no information is available on the scope of services to be provided through this contract in light of (1) the department's recent reorganization and (2) proposed additional staff in the planning and construction section of the department. Further, recommend that prior to budget hearings, the department identify the amount of funds for program management service included in the budgets for all major prison projects.
  12. **General and Advanced Planning Studies—Statewide.** Reduce by \$200,000. 1369  
Recommend funds for general and advanced planning and studies be deleted because the budget already contains funds for this purpose for allocation by the Department of Finance on a statewide basis.

#### **CAPITAL OUTLAY PROGRAM, EXISTING INSTITUTIONS**

13. **Transfer of Funds to the General Fund.** Recommend that savings resulting from our recommendation on projects funded from the Special Account for Capital Outlay (\$13,517,000) be transferred to the General Fund, in order to increase the Legislature's flexibility in meeting high-priority needs statewide. 1369
14. **Upgrade Water Distribution System—Sierra Conservation Center, Jamestown.** Reduce by \$550,000. 1370  
Recommend preliminary planning, working drawings, and construction to upgrade the water distribution system be deleted because the department has not provided adequate information on the need for the proposed upgrade.
15. **Rehabilitate Sewage Treatment Plant—Deuel Vocational Institution, Tracy.** Reduce by \$600,000. 1370  
Recommend

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

- preliminary planning, working drawings and construction to rehabilitate the sewage treatment plant be deleted because the department has not provided adequate information on the need for the proposed upgrade.
16. *Sewage Treatment Plant Expansion—Correctional Training Facility, Soledad. Reduce by \$1,750,000.* Recommend construction funds to expand the sewage treatment plant be deleted because the department has not provided adequate information on the need for the proposed upgrade. 1370
  17. *Expand Sewage Treatment Plant—Sierra Conservation Center, Jamestown. Reduce by \$1,000,000.* Recommend preliminary planning, working drawings and construction to expand the sewage treatment plant be deleted because the department has not provided adequate information on the need for the proposed improvements. 1370
  18. *New Domestic Water Supply—Deuel Vocational Institution, Tracy. Reduce by \$132,000.* Recommend preliminary planning and working drawing funds to install a new domestic water supply be deleted because the department has not provided adequate information to substantiate the need for the proposed improvements. 1370
  19. *Flood Control—Deuel Vocational Institution, Tracy. Reduce by \$1,000,000.* Recommend that construction funds for flood control improvements be deleted because no information has been provided to substantiate the need for the requested funds. 1372
  20. *Sewer Line Infiltration/Inflow Testing—Folsom State Prison. Reduce by \$150,000.* Recommend funds to test existing sewage lines for infiltration and inflow be deleted because the study should be undertaken as part of the planning of the new Folsom State Prison for which adequate funds already have been appropriated. 1373
  21. *Emergency Power—California Institution for Men, Chino. Reduce by \$350,000.* Recommend that preliminary planning, working drawings, and construction for installation of six additional emergency power generators be deleted because the department's policy on emergency power is inconsistent and should be reevaluated before projects such as this one are approved. 1374
  22. *Emergency Generators—California Men's Colony, San Luis Obispo. Reduce by \$1,386,000.* Recommend construction funds for installation of emergency generators and preliminary plans and working drawings for cogeneration plant be deleted because (1) the department's policy on emergency power is inconsistent and should be reevaluated before projects such as this one are approved and (2) the proposed project is not consistent with legislative request regarding an analysis of alternatives to installing emergency power at this prison. 1374
  23. *Emergency Power—California Medical Facility, Vacaville. Reduce by \$612,000.* Recommend that preliminary planning, working drawings and construction funds be de-



- leted because the department's policy on emergency power is inconsistent and should be reevaluated before projects such as this one are approved.
24. **Renovate Electrical System—Correctional Training Facility, Soledad. Reduce by \$100,000.** Recommend funds for preliminary planning and working drawings to install additional electrical outlets in 2,600 cells be deleted because the existing system should be adequate to provide essential electrical service. 1375
  25. **Replace Heating System in Three Cell Blocks—San Quentin State Prison. Reduce by \$470,000.** Recommend that preliminary planning, working drawings and construction to upgrade the heating system in three cell blocks be deleted because the proposed system will not provide sufficient heat or ventilation in the individual cells. 1376
  26. **Replace Primary Electrical System—Sierra Conservation Center, Jamestown. Reduce by \$90,000.** Recommend that preliminary planning and working drawing funds to replace the primary electrical system be deleted because the proposed project includes (1) maintenance work which should be funded on a priority order in the support budget and (2) expansion of the system which is not justified. 1377
  27. **Replace Food Service Building—Correctional Training Facility, Soledad. Reduce by \$37,000.** Recommend that construction funds to replace the food service building at the south facility be reduced by \$37,000 to eliminate overbudgeting. 1378
  28. **Enlarge Visitor Processing Area—California Medical Facility, Vacaville. Reduce by \$340,000.** Recommend that preliminary planning, working drawings and construction funds for enlarging the visitor processing building be deleted because new facilities proposed as part of a 2,400-bed prison to be located at this site should be adequate to accommodate the increased number of visitors. 1378
  29. **Entrance Building and Visitor Parking—California Institution for Men, Chino. Withhold recommendation of \$410,000 for preliminary planning, working drawings and construction funds for a new entry building and visitor parking area, pending a reevaluation by the department of the proposed staff savings to be achieved through implementation of this project.** 1379
  30. **Security Lighting—California Rehabilitation Center, Corona. Withhold recommendation on \$290,000 for preliminary planning, working drawings and construction of additional security lighting, pending receipt of completed preliminary plans and cost estimates for an energy-efficient solution to the security lighting problems at this institution.** 1380
  31. **Gunwalks on Roofs—California Correctional Center, Susanville. Withhold recommendation on \$30,000 for preliminary plans and working drawings to install gunwalks on the roofs of the dormitories at Susanville, pending receipt of additional project scope and cost information.** 1380

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

32. *Fire and Life Safety Improvements, Phase 2—California Rehabilitation Center, Corona. Reduce by \$78,000.* 1382  
Recommend that preliminary planning and working drawing funds to upgrade existing facilities in order to meet code requirements be deleted because the need for these improvements should be addressed in priority order in a statewide plan to upgrade all existing prisons.
33. *Exiting and Corridor Improvements, Administration Building—California Institution for Men, Main Facility, Chino. Reduce by \$178,000.* 1382  
Recommend that preliminary planning and working drawing funds to upgrade existing facilities to meet code requirements be deleted because the need for these improvements should be addressed in priority order in a statewide plan to upgrade all existing prisons.
34. *Exiting and Corridor Improvements, Administration Building—California Institution for Men, West Facility, Chino. Reduce by \$35,000.* 1382  
Recommend that preliminary planning and working drawing funds to upgrade existing facilities to meet code requirements be deleted because the need for these improvements should be addressed in priority order in a statewide plan to upgrade all existing prisons.
35. *Exiting and Corridor Improvements, Administration Building—California Institution for Men, Central Facility, Chino. Reduce by \$72,000.* 1382  
Recommend that upgrading of the reception center and central buildings to meet code requirements be deleted because the need for these improvements should be addressed in priority order in a statewide plan to upgrade all existing prisons.
36. *Smoke Purge System—California Institution for Men, Chino. Reduce by \$60,000.* 1382  
Recommend funds to install smoke purge systems in housing units be deleted because the need for these improvements should be addressed in priority order in a statewide plan to upgrade all existing prisons.
37. *Structural Improvements—California Institution for Men, Chino. Reduce by \$46,000.* 1382  
Recommend that preliminary planning and working drawing funds for structural improvements in three buildings be deleted because the need for these improvements should be addressed in priority order in a statewide plan to upgrade all existing prisons.
38. *Fire and Life Safety/Structural Improvements—California Men's Colony, San Luis Obispo. Reduce by \$1,461,000.* 1382  
Recommend that construction funds to upgrade existing facilities to meet current code be deleted because the need for these improvements should be addressed in priority order in a statewide plan for upgrading all existing prisons.
39. *Replace Ranch Dormitory—San Quentin State Prison.* 1384  
Withhold recommendation on \$499,000 for preliminary planning, working drawings and construction to replace the ranch dormitory, pending (1) a reevaluation of the need for this facility given the department's recent plan to locate 500 minimum-security inmates at this institution,

- and (2) receipt of preliminary plans and cost estimates based on similar facilities constructed at other locations.
40. ***Vocational Education Building—California Institution for Women, Frontera. Reduce by \$478,000.*** Recommend that preliminary planning, working drawings and construction of additional vocational education buildings be deleted because the need for these new facilities should be addressed in priority order in a statewide evaluation of vocational training/work program facilities needed at existing institutions. 1386
  41. ***Vocational Education Shops—California Medical Facility, Vacaville. Reduce by \$982,000.*** Recommend that preliminary planning, working drawings and construction funds for new vocational shops be deleted because the need for these facilities should be addressed in priority order in a statewide evaluation of vocational training/work program facilities needed at existing institutions. 1386
  42. ***Vocational Education Shops—Correctional Training Facility, Soledad. Reduce by \$440,000.*** Recommend that preliminary planning, working drawings and construction funds for new vocational shops be deleted because the need for these facilities should be addressed in priority order in a statewide evaluation of vocational training/work program facilities needed at existing institutions. 1386
  43. ***Academic Classrooms—Correctional Training Facility, Soledad. Reduce by \$85,000.*** Recommend that preliminary planning and working drawing funds for seven additional academic classrooms be deleted because the need for these facilities should be addressed in a statewide evaluation of facilities of this type needed at all existing institutions. 1386
  44. ***Food Processing and Storage—Correctional Training Facility, Soledad. Reduce by \$158,000.*** Recommend that preliminary planning, working drawings and construction funds for food processing and storage facilities related to the work program at Soledad be deleted, because the need for these facilities should be addressed in a statewide evaluation of vocational training/work program facilities needed at existing institutions. 1386
  45. ***Vocational Produce Greenhouse—California Correctional Center, Susanville. Reduce by \$77,000.*** Recommend that preliminary planning and working drawing funds for a new vocational produce program be deleted because the need for new facilities should be addressed in priority order in a statewide evaluation of vocational/training work program facilities needed at existing institutions. 1386
  46. ***Vocational Chicken Ranch—California Correctional Center, Susanville. Reduce by \$178,000.*** Recommend that preliminary planning and working drawing funds for a vocational chicken ranch program be deleted because the need for these new facilities should be addressed in priority order in a statewide evaluation of vocational training/work program facilities needed at existing institutions. 1386
  47. ***Minor Capital Outlay—Statewide. Reduce by \$622,000.*** 1389

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

Recommend that funds for seven projects be deleted because the department has not provided adequate justification for the proposed expenditures.

48. Minor Capital Outlay—Statewide. Withhold recommendation on \$377,000 for 10 projects proposed to mitigate overcrowding of existing institutions, pending reevaluation of the need for these projects given the department's current schedule for occupancy of new prison facilities. 1389

**OVERVIEW OF LEGISLATIVE ANALYST'S RECOMMENDATIONS**

We are withholding recommendation on \$86.7 million of the Department of Corrections' capital outlay program request. In addition, we are recommending reductions totaling \$23.1 million.

We have withheld recommendation on \$85.1 million requested for *new prison projects* which have been authorized and partially funded by the Legislature because the department has failed to develop the information needed by the Legislature for adequate review of the request. The information that is lacking, includes the most information imaginable, such as information on (1) planned sites, (2) correctional programs, (3) site master plans, (4) preliminary plans and cost estimates, and (5) detailed equipment lists. In addition, we have withheld recommendation on \$4.5 million for projects at existing institutions where the department is developing additional information to clarify the scope and/or cost of the project.

The recommended reductions include \$6.6 million in project funds that may, at some point in the future, be needed. The request for these funds in 1984-85, however, is premature. Specifically, we have recommended that funds for certain projects be deferred until the department develops a statewide plan which addresses the need for improvements at all existing institutions. These projects involve (1) installation of emergency power (\$2.3 million), (2) upgrading buildings to meet fire/life safety and structural code requirements (\$1.9 million), and (3) new/expanded vocational/academic education facilities (\$2.4 million). In each case, the projects are recommended for deferral because the Legislature needs a statewide plan in order to evaluate the highest priority needs in these areas.

The balance of the recommended reductions totaling \$16.5 million includes funds for projects that, as proposed by the department, are not needed.

**OVERVIEW OF BUDGET REQUEST**

The budget proposes a total of \$113,454,000 for the Department of Corrections' capital outlay program in 1984-85. This amount includes \$94,650,000 from the General Fund to fund a portion of the new prisons already authorized by the Legislature.

The budget indicates that General Fund financing for the new prison program is proposed because the \$495 million in state general obligation bonds authorized by the New Prison Construction Bond Act of 1981 are nearly all appropriated. The expenditure information in the budget, however, shows that about \$23 million is available for appropriations from the bond program because of savings achieved on the Tehachapi project and because some projects have been abandoned. The budget states that \$17 million in residual bond funds plus \$28.7 million in General Fund resources will be needed to fund special legislation in the current year for additional work at Vacaville and Folsom.

The budget also includes \$18,804,000 for improvements at existing correctional institutions, to be funded from the Special Account for Capital Outlay (SAFCO).

For discussion purposes, we have divided our analysis of these proposed projects into seven sections. Table 1 summarizes the department's request and the proposed funding source for the various projects.

**Table 1**  
**Department of Corrections**  
**1984-85 Capital Outlay Summary**  
**(in thousands)**

I. New Prison Projects—Item 5240-301-001, General Fund.....	\$94,650
II. Projects at Existing Institutions—Item 5240-301-036, Special Account for Capital Outlay .....	18,804
A. Utility and Site Development Projects .....	\$9,218
B. Projects to Improve/Replace Support Facilities .....	2,675
C. Security Projects .....	320
D. Projects to Correct Code Deficiencies .....	1,930
E. Projects to Replace Existing Capacity.....	499
F. Projects for Vocational/Academic Education Programs.....	2,398
G. Minor Capital Outlay Projects.....	1,764
Total, Department of Corrections, Capital Outlay .....	<u>\$113,454</u>

## NEW PRISON CONSTRUCTION PROGRAM

### ANALYSIS AND RECOMMENDATIONS

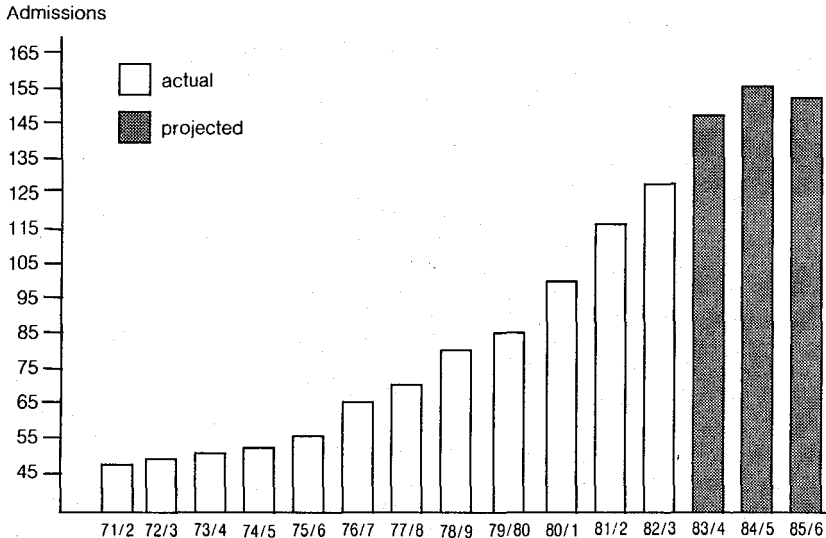
#### Population Growth Trends Continue

California continues to experience a rapid rise in its prison population. Between June 30, 1981, and June 30, 1983, the inmate population rose from 26,768 to 37,218 inmates, an increase of 39 percent, the largest increase in the department's history. On January 1, 1984, the inmate population totaled 38,885 and according to the department's latest projections, it is expected to increase to 52,345 by June 30, 1987.

This increase in the prison population is, in part, the result of changes made by the Legislature in the sentencing policies of the state courts. These changes include determinate sentencing, longer terms for specific crimes, and prison terms for crimes which previously would have led to a county jail term.

Chart 1 shows the number of male felon admissions to the California State Prisons for every 100,000 persons in the 18-to-49 age group. The chart indicates that the commitment rate has increased from a low of 47 admissions per 100,000 in 1971-72, to a high of 130 admissions per 100,000 for 1982-83. In comparison, the commitment rate for the entire United States was 144 commitments per 100,000 in 1981, with the highest rate being in the District of Columbia (467 per 100,000) and the lowest rate being in North Dakota (33 per 100,000 population).

Based on current California law, the Department of Correction expects the commitment rate to continue increasing for another three years, when it will stabilize at approximately 154 commitments per 100,000. It should be noted, however, that a year ago, the department was expecting the commitment rate to stabilize at 146 per 100,000 population.

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued****Chart 1****Department of Corrections Male Felon Admissions to Prisons Per 100,000 State Population (Age Group 18-49)****Over 20,000 New Prison Beds Planned**

California's prison system has a design capacity for 27,000 inmates. To deal with the influx of inmates into the correctional system, the legislature has approved funds for 10 major prisons (16,450 beds), as well as for camps/modular buildings/temporary space (4,250 beds), in order to increase the system capacity to 47,700 beds. This capacity ultimately will be reduced to 47,563 in 1987 because the California Department of Corrections (CDC) plans to remove some temporary beds (such as tents).

**Measures Intended to Provide Immediate Relief To Prison Overcrowding.** The Legislature has appropriated substantial funds to provide immediate relief to the pressures on the system resulting from the imbalance between design capacity and current prison population. Funds have been appropriated for:

- 1,000 beds in tent facilities at San Quentin. These temporary facilities currently are occupied, but they are scheduled to be abandoned in June 1984. The funds used by the department to provide these facilities were not appropriated specifically for tents. Instead, the department used funds appropriated by the Legislature as part of its support budget to accommodate the increased inmate population for these facilities.
- 1,000 beds in modular facilities at four existing institutions that are scheduled to be occupied before June 30, 1984.

- 1,300 beds in new camp facilities at sites yet to be selected.
- 900 beds at the California Men's Colony (CMC), West Facility, which was deactivated in the early 1970s because of declining population. (Under existing law, these beds must be vacated by January 1, 1989.)
- 50 beds at the California Institution for Women in a prefabricated high-security facility for special housing needs.

Despite the appropriation of all funds needed to implement these projects, the department has made little progress in bringing the new capacity on line. At the time this *Analysis* was written, 700 beds in tents at San Quentin and 50 beds at CMC were occupied. The other 3,500 beds are still not occupied.

**Population growth has, by far, outdistanced the department's progress in bringing new capacity on-line.** The CDC has been able to accommodate the prison population by overcrowding existing institutions through double-celling (assigning two inmates to cells designed for one person) and by converting program space, such as gymnasiums and day rooms, to bed space. At the same time, court orders have directed the department to discontinue double-celling of some prisons within the system. Consequently, other prisons have become even more dramatically overcrowded. For example, San Quentin, which is subject to a court order, has a current occupancy equal to 104 percent of design capacity, while the Correctional Training Facility at Soledad has a current occupancy rate equal to 185 percent of designed capacity.

**Long Term Solution Proposes Construction of 16,450 New Beds.** The Legislature has authorized construction of 10 new permanent prison facilities in California. These new facilities would provide a total of 16,450 additional beds for the system. Table 2 summarizes the planned capacity, prior appropriations, and additional funding requirements for projects which have been authorized by the Legislature. When all new beds are occupied in 1987, the permanent prison capacity, including community beds, will be 47,563 beds, assuming that the 1,000 beds in tents at San Quentin are abandoned by June 30, 1984, and that the inventory of community beds is increased by 480. The projected prison population in 1987 is 52,345. Consequently, even when all new beds in the short term and long term program are on line, the prison system will continue to be overcrowded by approximately 10 percent.

**Table 2**  
**Department of Corrections**  
**Funding Summary—New Prisons**  
**1984-85**

<i>Project</i>	<i>Bed Capacity</i>	<i>Estimated Total Cost</i>	<i>Prior Appropriations</i>	<i>Budget Bill Amount</i>	<i>Funds Needed to Complete</i>
Tehachapi .....	1,000	\$94,987	\$91,087	\$3,900	—
Folsom .....	1,700	164,679	127,379	37,300	—
Adelanto .....	1,150	113,273	14,623	9,000	\$89,650
San Diego .....	2,200	132,902	25,802	—	107,100
Riverside County .....	1,700	101,100	12,900	—	88,200
Los Angeles .....	1,700	115,300	8,700	18,400	88,200
Vacaville .....	2,400	124,800	79,800	—	45,000
Ione .....	1,200	58,700	54,900	3,800	—
Avenal .....	3,000	153,800	18,500	19,000	116,300
Northern California Women's Facility .....	400	27,000	700	1,400	24,900
Totals .....	16,450	\$1,086,541	\$434,391	\$92,800	\$559,350

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued****Status of Projects Previously Approved by the Legislature**

Through special legislation and past budget acts, the Legislature has appropriated \$434.4 million for the 10 new prison projects. The status of the projects as of January 1, 1984, as well as the stage that these projects should have been at based on the schedules submitted by the department during legislative consideration of the 1983 Budget Bill, is as follows:

**Tehachapi Maximum Security Complex.** This project will provide 1,000 maximum-security beds (Level IV) in two 500-bed facilities. Support services will be provided through improvements to existing facilities at the California Correctional Institution at Tehachapi. Construction of the maximum security units began in July 1983, with completion now scheduled for June 1985—approximately *three months behind* the original construction schedule. The design of proposed modifications/additions to house support services is approximately *four months behind* schedule, with construction anticipated to be completed in January 1985. The total estimated project cost for the new Tehachapi facilities is \$93 million. This amount is \$2 million less than funds appropriated because of savings achieved on the construction portion of the project.

**New Folsom Prison.** This project includes construction of three 500-bed maximum security units and a 200-bed minimum-security (Level I) service unit on the grounds of the existing Folsom state prison. The new prison is to be designed based on a prototype of the Tehachapi maximum security units. The Legislature has appropriated \$127.4 million for preliminary planning, working drawings, and construction of the maximum-security portion of the project. Funds totaling \$37.3 million are proposed in the Governor's Budget for construction of the support service unit and equipment for the entire complex. Site development was to begin in November 1983, but has been delayed to May 1984. Overall, the project is currently *five months behind* schedule, with occupancy of maximum-security units projected for June 1986, but the department's current project schedule anticipates a further delay to September 1986. The estimated total project cost for the new Folsom complex is \$164.7 million.

**Maximum Security Prison—Adelanto.** This project proposes construction of two 500-bed maximum-security units based on the Tehachapi prototype design. The project also includes a 150-bed minimum-security (Level I) service unit. Previously appropriated funds amount to \$14.6 million for preliminary planning, working drawings, and partial construction for utility development. A site has been acquired, but master planning and design for the proposed new facility has not begun because the department has not negotiated the fees for the contract architect. Consequently, the design work that was scheduled to begin in June, 1983 has not begun, and at the time this analysis was written, the design work was approximately *seven months behind* schedule. In addition, a lawsuit has been filed challenging the adequacy of the Final EIR which was issued in November 1983. Despite these delays, the department's plan for occupancy of the facility has been revised from July 1986 to April 1985 (650 beds) and July 1985 (500 beds). The department's construction schedule however, indicates that 650 beds will be completed in August 1985 rather than in April/July. The estimated total project cost for the Adelanto Prison is \$113.3 million.



**California State Prison—San Diego.** This project proposes construction of four 500-bed medium-security (Level III) units and a 200-bed minimum-security service unit on a site in Southern San Diego County acquired by the department in 1983. Total funds appropriated to date amount to \$25.8 million for site acquisition environmental studies, preliminary planning, working drawings, and partial construction of utilities and site development requirements. Design of the project is *one year behind* schedule and the department has not completed the fee negotiations with the contract architect. Despite this delay, the department has revised occupancy of this prison from December 1985 (200 beds) and August 1986 (2,000 beds) to March 1985 (700 beds), June 1985 (500 beds), September 1985 (500 beds) and December 1985 (500 beds). The department's construction schedule, however, shows that these occupancy dates will be one month later and the prison's support facilities (such as health, visiting, education/vocation, etc.) will be completed in February 1986. The estimated total cost for the San Diego project is \$132.9 million.

**Medium Security Facility No. 2—Riverside County.** This project includes construction of three 500-bed medium-security units and a 200-bed minimum-security support unit. Funds appropriated to date total \$12.9 million for site acquisition, preliminary plans, and working drawings. The proposed site for this prison was scheduled to be submitted for legislative review/approval in February 1983. The department, however, has not yet selected a site for this prison and the acquisition is *one year behind* schedule. Moreover, at the time this *Analysis* was written, the department was just starting the environmental planning, which is scheduled to require five months. Despite these delays, the department now plans to phase occupancy of the new prison (originally scheduled for occupancy in November 1986) in July 1985 (700 beds), October 1985 (500 beds) and January 1986 (500 beds). The department's construction schedule, however, indicates that these occupancy dates will be delayed two and one-half months assuming that design starts in May 1984. The total estimated project cost, including land acquisition, is \$101.1 million.

**Medium Security Facility No. 1—Los Angeles.** This project includes three 500-bed medium-security units and a 200-bed minimum security support service unit. Funds for site acquisition and preliminary planning totaling \$8.7 million have been appropriated. Notification to the Legislature of the proposed site for this facility was originally scheduled for July 1983. At the time this *Analysis* was written, the department had not submitted a proposed site. Preparation of environmental studies was scheduled to commence in June 1983, but this work has not been started. The department has revised the anticipated occupancy date from February 1987 to March 1987, a delay of only one month although the original plan is over *six months behind* schedule. The department's construction schedule shows that construction will be complete in March 1987 assuming design starts in May 1984. The estimated total project cost, including \$14 million proposed for additional acquisition funds in the Governor's Budget, is \$115.3 million.

**California State Prison—Vacaville.** This project includes construction of a 1,200-bed medium-security (Level III) prison plus a 1,200-bed minimum/medium-security (Level I/II) unit on the grounds of the existing California Medical Facility at Vacaville. Funds totalling \$79.8 million were appropriated in 1983 for planning and construction of the Level III portion, and planning of the Level I/II portion of the project. An EIR for

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

the proposed new facilities was completed in December 1983, and site preparation work is underway. The project has been divided into several "bid packages" in an attempt to accelerate occupancy of the facility. According to the department's schedule, the first 600 Level III beds are to be occupied in May 1984, with the remaining 600 Level III beds to be occupied in July 1984. Construction of support service facilities, such as health, food service, industries, vocational, and the Level I/II housing units is to commence in April 1984 with completion in January 1985. This schedule assumes that the department will be able to secure funding by April 1984 for construction of the Level I/II facility. The estimated total cost for the new Vacaville complex is \$122.5 million.

**New Prison—Ione.** This project proposes construction of a 1,200-bed Level I/II prison on state-owned property in the city of Ione, in Amador County. Funds appropriated to date amount to \$54.9 million for planning, working drawings and construction. Preparation of the environmental impact report is underway. The department indicates that the design of this prison is to be based on the Level I/II facilities planned for Vacaville. Occupancy is scheduled in increments of 300 beds at three-month intervals between November 1984 and August 1985. The department's construction schedule, however, indicates these beds will be completed in three month intervals starting in February 1985 and ending in November 1985. Moreover, the support facilities for the complex will not be completed until November 1985. The construction schedule assumes that design started in *January 1984!*

**New Prison—Avenal.** This project includes construction of a 3,000 bed Level I/II security prison in Kings County, near Avenal. Previously appropriated funds amount to \$15 million. The department is currently evaluating potential sites and an environmental impact report is scheduled to be completed in April 1984. The department also proposes that the design of this prison be based on the new Level I/II prison facilities planned at Vacaville. Occupancy of the Avenal prison complex is scheduled in increments of 600 beds at three month intervals between March 1985 and March 1986. The department's construction schedule shows completion of these units one month later for each interval. The support services for the complex would not be complete until March 1986. This construction schedule assumes that design of the facilities started in *January 1984!* The estimated cost of the Avenal project is \$153.8 million, including site acquisition.

**Northern California Women's Facility**—This project proposes construction of a 400-bed facility for women on the grounds of the Northern California Youth Center (Youth Authority Facility) in San Joaquin County. The 1983 budget appropriated \$700,000 for preliminary planning of the \$27 million facility. Environmental Studies of the proposed facility are in progress. Occupancy of the new facility has been revised from April 1987 to March 1986, based on adapting the Vacaville design for use at this site.

**MAJOR PRISON CONSTRUCTION ISSUES FACING THE LEGISLATURE**

Our review of the administration's current plan for constructing new prisons indicates that there are four major issues which the Legislature will have to address during the coming months. They are:

- How will the construction of new facilities already authorized by the Legislature be financed?

- Will the planned additional capacity provide adequate, secure facilities for the types of inmates projected to be housed in the coming years?
- Are the Department of Corrections' estimated cost of, and schedule for, new prison facilities realistic?
- How will the Legislature maintain adequate control over the new prison construction program?

#### **How will the Construction of New Facilities Already Authorized by the Legislature be Financed?**

The New Prison Construction Bond Act Program of 1981, as approved by the voters, authorized \$495 million in bond funds for construction of new prison facilities. As of January 1, 1984, the Legislature had appropriated \$492,923,000 of the bonds funds for (1) new prisons, (2) temporary facilities, and (3) improvements at existing institutions. According to the budget, estimated bond fund expenditures through the current year total \$471,968,000, leaving \$20,955,000 which will not be spent because some projects have been abandoned and savings have been achieved on other projects. This balance, coupled with the \$2,077,000 unappropriated balance, leaves \$23,032,000 available in the bond program.

As shown in Table 2, (page 1351,) the total funds needed to provide the 16,450 permanent beds proposed in the Department of Corrections' current facilities plan and authorized by the Legislature total \$1,087 million. Of this amount, \$434.4 million already has been appropriated from the existing bond fund and the Governor's Budget proposes \$92,800,000 from the General Fund, leaving a balance of \$559.4 million. The budget document (page 21) indicates that the administration will support special legislation in the current year to fund \$45.7 million of this balance—\$17 million from the bond program and \$28.7 million from the General Fund. At the time this *Analysis* was prepared, however, no such legislation had been introduced. *The Legislature may wish to consider using the residual bond funds to reduce General Fund expenditures proposed in this item.*

Because the cost to provide the new prison capacity under the administration's plan is more than the 1981 prison bond act can finance, the Legislature will have to decide where the money to complete these projects will come from.

The budget (page 21) indicates that completion of the 10 new prisons will be financed by the private sector through lease/purchase arrangements. At the time this *Analysis* was written, the Legislature had passed SB 310 which provides \$300 million in additional bond funds subject to the voters' approval at the June election. *This amount is not sufficient to fund completion of the 10 new prisons, based on the administration's current plan.* Thus, the Legislature must consider other options for funding the balance of \$259.4 million. The options available to the Legislature include:

- **Direct Appropriation of State Funds.** The Legislature may wish to consider appropriating funds from the General Fund or tidelands oil revenue to finance all or a portion of the new prison facilities. This would be the least costly method of financing new prisons.
- **General Obligation Bonds.** The Legislature may wish to place a third bond authorization measure before the electorate in order to obtain the additional financing needed. Funding of the new facilities through a bond program would result in a long term debt obligation for the General Fund. Our analysis indicates that this is likely to be

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

more costly than financing new facilities with a direct appropriation, but less expensive and more desirable than alternative financing mechanisms.

- **Private Financing (Lease-Purchase).** In recent years, the state has undertaken construction of new office buildings using lease-purchase financing mechanisms. The state enters into agreements under which it leases facilities from private financiers, with the intent of ultimately taking title to the facilities. A similar financing arrangement might be feasible for new prisons, as well.

Chapter 958, Statutes of 1983 (SB 422), directed the Department of Corrections and the Legislative Analyst to "investigate the advisability of using lease or lease-purchase arrangements to finance the acquisition, construction, and the underwriting of prison facilities authorized by the Legislature." In our forthcoming response to this directive, we have concluded that lease-purchase financing should be considered *only* after the Legislature has made the policy decision not to use the state's General Fund, tideland oil revenue and/or general obligation bonds. Our analysis indicates that these financing mechanisms promise to be more cost-effective than lease-purchase. Although financing through lease-purchase should not be ruled out, there is so little experience in using this mechanism—in California and throughout the nation—to finance large-scale prison capital outlay projects, that considerable caution in using it is warranted. Any decision to use this financing tool should be made only after the Legislature has determined that this approach is the least costly and most efficient alternative available. *This has yet to be demonstrated.*

**Will the Planned Additional Capacity Provide Adequate, Secure Facilities for the Types of Inmates Projected to be Housed in the Coming Years?**

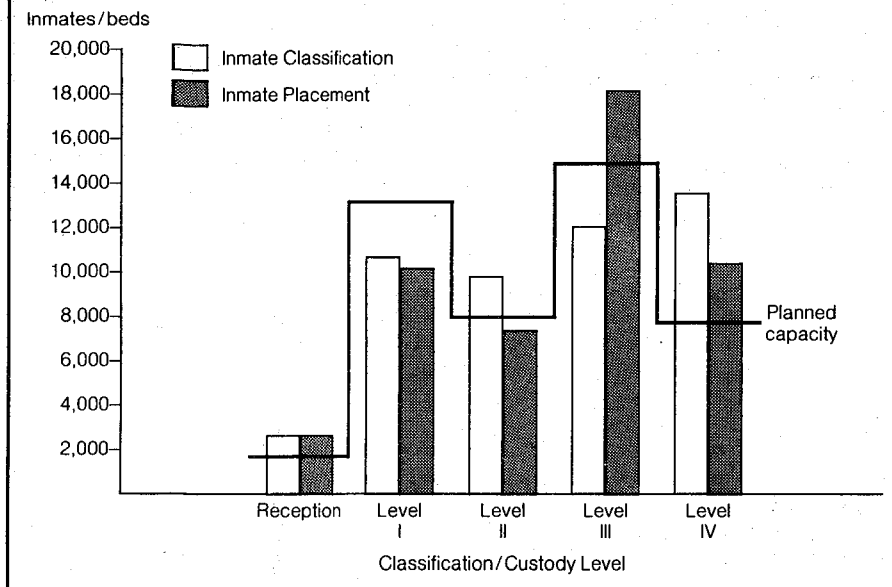
*We recommend that at the time of budget hearings, the department advise the fiscal subcommittees why the number of beds, proposed at the various security levels, is not consistent with the number of inmates to be classified at those levels.*

The Department of Corrections uses an inmate classification system to determine the housing requirements for the inmate population. Under the department's security classification system, there are four levels of security, with Level I being the least restrictive (minimum security) and Level IV being the most restrictive (maximum security).

Individual inmates are assigned a classification based on a scoring system which considers the length of time to be served, the inmate's past performance in a correctional setting, and other factors which the department believes provide insight on custody requirements of the individual. For purposes of evaluating its future facilities needs, the department also considers those instances where, for a variety of reasons, inmates are placed "out-of-level". For example, an inmate whose score would indicate that a Level IV maximum security setting would be appropriate, may be placed in a lower security setting because of "satisfactory behavior".

In determining the number of beds needed at each classification level, the department uses "placement needs", rather than inmate classification scores. That is, it projects the number of inmates in each classification level, and then makes modifications to adjust for the number of inmates that the department expects to place out-of-level, because of custody policies which override inmate classification.

**Chart 2**  
**Department of Corrections**  
**Planned Capacity and Population by Classification Level**



***Building Program Does Not Match Placement Needs.*** Chart 2 compares the projected number of inmates by “classification,” and by “placement need” with the planned 1987 capacity when all new facilities authorized by the Legislature are completed. Chart 2 reveals that

- Planned capacity in reception centers will be 1,000 beds short of projected needs.
- Planned capacity for Level I inmates exceeds by approximately 3,000 beds both the projected number of inmates that will be classified Level I and the “placement needs” for Level I institutions.
- The planned capacity for Level II is substantially below the projected number of Level II inmates but is about equal to “placement needs”. This means that at least 2,500 inmates *classified* as Level II are to be *housed* in other than Level II security facilities.
- Level III capacity will be approximately 3,000 beds short of “placement needs”, but about 3,000 beds above the projected number of inmates requiring Level III security housing. This means that there will be more Level III beds than inmates classified as requiring Level III security. The excess will be taken up by inmates classified as Level I, II, and IV.
- Planned capacity at Level IV falls 2,000 beds short of projected “placement needs” and about 5,000 beds short of the number of inmates classified as Level IV custody.

By either measure—classification need or “placement need”—the de-

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

*partment's building plan is not in sync with its needs and should be thoroughly reevaluated.*

The department indicates that it is reevaluating its classification system in order to improve its projections of facilities needs. Since construction has begun on only two of the 10 new prisons—Tehachapi (Level IV) and Vacaville (Level III), there is still time to reevaluate this plan and make the necessary modifications in order to bring the type of facility more in line with inmate security requirements.

We recommend that at the time of budget hearings, the department report to the Legislature on the variance between the planned capacity of the prison system in 1987 and the inmate placement needs projected by the department in its most recent population reports.

**Table 3**  
**Department of Corrections**  
**Comparison of Cost and Schedules for Major Projects**  
**1983 Master Plan versus Current Proposal**  
**(in millions)**

	<i>June 30, 1983 Master Plan</i>		<i>Current Proposal</i>		
	<i>Total Project Cost</i>	<i>Occupancy Date</i>	<i>Total Project Cost</i>	<i>Occupancy Date</i>	
<i>Major Projects (beds)</i>					<i>(beds)</i>
Tehachapi (1,000) .....	\$94.9	3/85	\$93.3	6/85	(1,000)
Folsom (1,700) .....	163.1	2/86	164.7	5/86	(200)
				6/86	(1,500)
Adelanto (1,150) .....	117.1	4/86	113.3	4/85	(650)
				7/85	(500)
San Diego (2,200) .....	194.3	8/86	132.9	3/85	(700)
				6/85	(500)
				9/85	(500)
				12/85	(500)
Riverside (1,700) .....	147.6	11/86	101.1	7/85	(700)
				10/85	(500)
				1/86	(500)
Los Angeles County (1,700) .....	147.6	2/87	115.3	3/87	(1,700)
Vacaville (2,400) .....	42.2 <sup>a</sup>	5/85	122.5	5/84	(600)
				7/84	(600)
				11/84	(600)
				2/85	(600)
Ione (1,200) .....	25.5 <sup>a</sup>	5/85	57.8	11/84	(300)
				2/85	(300)
				5/85	(300)
				8/85	(300)
Northern California Womens Facility (400) .....	26.0	4/87	27.0	3/86	(400)
Subtotal .....	\$958.3		\$927.9	3/85	(600)
Avenal (3,000) .....	(Not included in Master Plan)		153.8	6/85	(600)
				9/85	(600)
Total .....	\$958.3		\$1,081.7	12/85	(600)
				3/86	(600)

<sup>a</sup> Based on pre-engineered buildings; subsequently modified to precast concrete prison.

**Are the Department of Correction's Estimated Cost of and Schedule for New Prison Facilities Realistic?**

Chapter 958, Statutes of 1983, appropriated \$169 million from the New Prison Construction Fund. This appropriation was based on the administration's assertion that the funds were necessary to implement projects using a fast track design and construction system. In addition, the department was directed to design and construct Level III institutions at a cost not to exceed \$50,000 per bed, including design fees but excluding off-site utilities and equipment. Table 4 compares the cost and anticipated occupancy date of new prison facilities as shown in both the department's July 1983 master plan and its current fast track schedule and costs plan.

Based on our review, the department's schedules and conceptual cost estimates are, in many cases, unrealistic. For example, architectural and site development planning is scheduled to commence before the department has selected or acquired a specific site for the new prison. Indicative of this, is the design work on site development for the Avenal prison which was scheduled to begin January 1, 1984, but at the time this analysis was written, no site had been selected. Consequently, it is unlikely that the planning and construction work will be completed as currently scheduled.

Moreover, conceptual cost estimates do not take into account costs associated with specific site requirements such as new roads, and improvements to provide utility services. These costs will vary substantially depending on site conditions. Thus, the Legislature has no assurance that the planned prison facilities can be constructed with the funds requested by the department.

**How will the Legislature Maintain Adequate Control Over the New Prison Construction Program?**

In enacting Ch 958/83, the Legislature recognized that adequate information was not available for each prison proposal being funded. Consequently, in an effort to expedite the new prison program and at the same time maintain a degree of legislative control and oversight, the Legislature included in the bill a provision requiring the Department of Corrections to submit completed preliminary plans, staffing patterns and inmate work plans to the Joint Committee on Prison Construction and Operations, and the two fiscal committees, at least 30 days prior to Public Works Board approval of preliminary plans for the proposed projects.

The post-review approval process has the effect of putting the Legislature in a bind. It must either limit or even forego its opportunity to question or reverse decisions made by the department, or it must risk being held responsible for delaying new prison construction. Other problems with the current post-approval review process include:

- Much of the information submitted to the Legislature during the 30-day review period has been too sketchy to permit meaningful review.
- Even when information is adequate, the project development schedules are so tight that they leave no time to accommodate any legislative input.
- The CDC has gone ahead and taken actions *after* the committees have specifically denied the department's request and recommended that the action not be taken.
- The CDC has proceeded with work without first securing the ap-

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

- approval of the State Public Works Board or the Department of Finance.
- The CDC has not developed adequate policy directives needed to evaluate the prison program. For example, the department is still developing perimeter security requirements and reevaluating its classification system, even as projects are being designed and bid.
- The department has abandoned the previous policy of building prisons with small units (housing units of 50 inmates or less). The plan now proposes constructing facilities which eventually may have to be converted to smaller units at a substantial cost.
- Temporary facilities needed to service the housing units (scheduled to be occupied on an accelerated basis) will be costly.
- The phasing of the design for the new prisons makes it difficult for the Legislature to assess the staffing and work plans, because operational and design details are not available for the overall prison complex.

In our judgment, the department has embarked on an ambitious program to construct facilities rapidly, but has not provided adequate assurances to the Legislature that the proposed new facilities will (1) be serviceable over the next 50 to 100 years and (2) be staffed efficiently. The Legislature needs to reassess the way in which it is exercising its control and oversight responsibilities with respect to the prison construction program. It also needs to strengthen the department's accountability for the success or failure of the program.

**I. NEW PRISON PROJECTS—GENERAL FUND**

The budget proposes a total of \$94,650,000 from the General Fund for planning and constructing new prisons. The requested projects and our recommendation on each are summarized in Table 4.

**Project Information Needed by the Legislature Is Woefully Lacking**

The budget proposed funding for a number of new prison projects for which the department has not completed adequate planning. As a result, the department has not provided—and perhaps, cannot provide—adequate information to substantiate the need for or requested amount of capital outlay funds. The needed information which has not been provided includes an identification of (1) the prison site, (2) the architectural program, (3) the site master plan, (4) preliminary plans and cost estimate and (5) the detailed list of equipment items.

The need to accelerate construction of new prisons is beyond question. Even so, the administration must present to the Legislature a responsible program for developing these prisons, backed up with enough information to substantiate the individual requests. Because it has not done so, we have no alternative but to withhold recommendation of the requested funds.

We urge the Department of Corrections and the Department of Finance to immediately develop the information needed by the Legislature to undertake a meaningful review of the program. This information should be submitted prior to hearings on the budget. Once we have had an opportunity to review this information, we will provide appropriate recommendations to the Legislature in a supplemental analysis.



**Table 4**  
**Department of Corrections**  
**New Capacity Projects**  
**Item 5240-301-001**  
**(in thousands)**

<i>Project Title</i>	<i>Location</i>	<i>Phase<sup>a</sup></i>	<i>Budget Bill Amount</i>	<i>Analyst's Recommen- dation</i>	<i>Estimated<sup>b</sup> Future Cost</i>
(1) Southern Maximum Security Complex, Units IVA and IVB	Tehachapi	e	\$2,700	pending	—
(2) Southern Maximum Security Complex, Support Services Facility .....	Tehachapi	e	1,200	pending	—
(3) Minimum Security Support Services Complex .....	Folsom	c	30,600	pending	—
(4) Maximum Security Prison Site Development .....	Adelanto	c	5,000	pending	\$89,650
(5) Maximum Security Prison—Long Lead Items .....	Adelanto	c	4,000		
(6) 3,000 Bed Level I/II Facility—Site Development .....	Avenal	c	12,500	pending	116,300
(7) 3,000 Bed Level I/II Facility—Long Lead Items .....	Avenal	c	6,500		
(8) Medium Facility #1 .....	Los Angeles County	a	14,000	pending	88,200
(9) Medium Facility #1, Total Facility .....	Los Angeles County	w	4,400		
(10) Maximum Security Complex Total Facility .....	Folsom	e	6,700	—	—
(11) 1,200 Bed Level I/II Facility—Total Facility .....	Ione	e	3,800	pending	—
(12) California Institution for Women—Special Housing Unit .....	Frontera	e	150	—	—
(13) Northern California Women's Facility—Total Facility .....	San Joaquin County	w	1,400	pending	24,900
(14) Capital Program Management—Technical and Professional Services .....	Statewide	p	1,500	—	—
(15) General and Advance Planning/Studies .....	Statewide	p	200	—	—
Totals .....	Statewide		\$94,650	pending	\$319,050

<sup>a</sup> Phase symbols indicate: a=acquisition, p=preliminary plans, w=working drawings, c=construction, e=equipment.

<sup>b</sup> CDC estimate.

#### **Southern Maximum Security Complex—Tehachapi**

*We recommend Item 5240-301-001(1), equipment funds for the new maximum security complex at Tehachapi, be reduced by \$1,000,000 to delete equipment items which are not justified. We withhold recommendation on (a) \$1,700,000 requested under Item 5240-301-001(1) for the maximum security complex equipment and (b) \$1,200,000 requested under Item 5240-301-001(2), for equipment related to the support service facilities at Tehachapi, pending further review of the need for this equipment by the department.*

The budget includes \$3,900,000 in two items for equipment related to occupancy of the new southern maximum-security complex at Tehachapi. Item 5240-301-001 (1) proposes \$2,700,000 for equipment related to the two 500-bed maximum security units, and Item 5240-301-001 (2) proposes \$1,-

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

200,000 for equipment to operate the support service facilities at Tehachapi. The department has submitted a list of items in support of its \$3.9 million request.

The Legislature has appropriated over \$90 million for planning and construction of the new maximum-security facilities at Tehachapi. Based on the most recent schedule provided by the department, the new facility should be occupied in June 1985.

**Equipment Not Justified.** Our review of the extensive list of equipment items submitted by the department indicates that many items proposed for funding are not justified. In some cases, equipment is proposed for *existing* facilities that are not a part of either the new maximum security units or the support service facilities. Other items are too costly, and less expensive items should be procured. Specifically, our review indicates the following items are not justified.

- Equipment in the vocational drafting program costing over \$100,000, including a \$50,000 computer-aided design system
- Extensive production equipment in the vocational graphic arts program totaling \$380,000
- Equipment for the mail room totaling \$48,000
- A truck costing \$135,000 to service light fixtures
- Equipment totaling \$128,000, including a \$60,000 diagnostic center for the *existing* auto maintenance shop
- Additional fire trucks and fire equipment for the *existing* firehouse totaling \$194,000
- Numerous copy machines, each costing \$4,800
- Two microfilm cameras, each costing \$35,000
- Two ice machines in the staff dining room, each costing \$6,000
- Two organs, for religious services component, each costing \$13,500

We recommend that the budget be reduced by \$1,000,000 to eliminate funds for equipment items which our analysis indicates are not justified.

**Remaining Items Should Be Reevaluated.** The detailed list of equipment items requested by the department consists of many pages, but justification was provided for only some of the items on the list. The department should reevaluate this list because, according to our review, there are opportunities for achieving significant cost savings. For example, minor equipment items such as electric fans, clocks, calculators, televisions, and furnishings, are budgeted at an excessively high cost and in many instances may not be needed. Consequently, we recommend that prior to budget hearings, the Department of Corrections and the Department of Finance reevaluate the equipment list and identify cost savings available in the remaining items. We withhold recommendation on the balance of funds proposed in Item 5240-301-001(1) and Item 5240-301-001(2) for equipment at the new Tehachapi facilities, pending receipt and review of the reevaluation.

**New State Prison—Folsom**

*We withhold recommendation on Item 5240-301-001(3), construction funds for the minimum-security support services complex for the new Folsom prison, pending receipt of completed preliminary plans.*

The budget proposes \$30,600,000 for construction of the 200-bed minimum-security support services complex at the new California State Prison at Folsom. The new complex is to include three 500-bed maximum secu-

rity units and the 200-bed minimum-security service unit. Previously appropriated funds (\$127.4 million) will finance preliminary plans and working drawings for the entire complex, and construction for site development and the maximum security units.

According to the department's most recent project status report, the preliminary plans for the support services facilities will not be completed until March 1984. Consequently, there is no basis on which to evaluate the amount proposed in the budget for construction of these facilities. Therefore, we withhold recommendation on Item 5240-301-001 (3), pending receipt of preliminary plans for the Folsom support services complex.

#### **New Maximum-Security Prison—Adelanto**

*We withhold recommendation on Item 5240-301-001 (4), \$5,000,000 for construction of site development and Item 5240-301-001 (5), \$4,000,000 for long lead items for the new Adelanto state prison, because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the correctional program, (2) the site master plan and (3) preliminary plans and cost estimate.*

The budget includes two items for partial funding of the proposed new maximum security prison at Adelanto. Item 5240-301-001 (4) proposes \$5,000,000 for construction of site development and Item 5240-301-001 (5) proposes \$4,000,000 for "long lead" items. Long lead items consist of doors, frames, plumbing fixtures, and other items which can be procured at an early stage of the project, independent of the construction contract. The long lead items are then available for installation by the construction contractor.

The Legislature has authorized construction of two 500-bed maximum-security units and a 150-bed minimum-security service unit at Adelanto. Previously appropriated funds total \$14.6 million for site acquisition, preliminary plans, working drawings, on-site utility development, and off-site utility development for the Adelanto prison. The department's current estimated total project cost is \$113.3 million for the 1,150-bed complex.

We have not received any information to substantiate the funds proposed in the budget for the Adelanto project. The needed information includes (1) the site master plan, (2) the correctional program and (3) the preliminary plans and cost estimate. Moreover, according to the department's most recent status report, the project is substantially behind schedule and none of the planning funds appropriated in 1982 and 1983 have been expended. In fact, we understand that the department is reevaluating the design concept at Adelanto. Moreover the department has not completed contract negotiations with the architect, and consequently, design work has not begun.

Given the current status of the project, it is not clear that site development and long lead items will be needed in the budget year. Nor has sufficient planning taken place to permit an analysis of the project. Accordingly, we withhold recommendation on the \$9,000,000 proposed for the Adelanto project under Items 5240-301-001 (4) and (5).

#### **New State Prison—Avenal**

*We withhold recommendation on Item 5240-301-001 (6), \$12,500,000 for construction of site development, and Item 5240-301-001 (7), \$6,500,000 for long lead items, for the proposed new prison at Avenal because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the prison site, (2) the*

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

*correctional program, (3) the site master plan and (4) the preliminary plans and cost estimate.*

The budget includes \$19,000,000 related to development of a new prison in or near the city of Avenal in Kings County. Item 5240-301-001 (6) proposes \$12,500,000 for construction of site improvements and Item 5240-301-001 (7) proposes \$6,500,000 for long lead items related to the new prison.

Chapter 958, Statutes of 1983, authorizes the Department of Corrections to establish a 3,000 bed Level I/Level II (minimum/medium security) work-based prison at Avenal. The statute appropriated \$15 million for studies, master planning, preliminary plans and working drawings for the new prison, and \$3,500,000 for acquisition of long lead items. According to the Department of Corrections, the estimated total cost for the Avenal facility is \$153.8 million, *including* land acquisition.

We have not received any information to substantiate the amount requested for site development and long lead items. The department staff indicates that the request is based on project schedules and cost estimates developed for the new 2,400-bed facility at *Vacaville*. The department, however, cannot verify these costs because (1) the *Vacaville* project is incomplete and, for the most part, still in the design concept stage, (2) the site requirements at Avenal will, in all probability, differ substantially from those at the *Vacaville* site and (3) the department has not selected or acquired the Avenal site and therefore environmental studies and master planning for the project are not available.

Given the current status of the project, there is no basis on which to evaluate the \$19,000,000 request for this prison. We therefore withhold recommendation on Items 5240-301-001 (6) and (7), pending submission and review of the needed information.

**Medium Facility No. 1—Los Angeles County**

*We withhold recommendation on Item 5240-301-001 (8) and (9), \$18,400,000 for additional land acquisition and working drawings for the proposed medium security facility in Los Angeles County, because the department has not submitted information needed by the Legislature for review of the request. This information includes (1) the prison site, (2) the correctional program, (3) the site master plan and (4) the preliminary plans and cost estimate.*

The budget includes \$18,400,000 related to development of a new medium-security facility in Los Angeles County. Item 5240-301-001 (8) includes \$14,000,000 for site acquisition, and Item 5240-301-001 (9) contains \$4,400,000 for working drawings for this project.

Chapter 1549, Statutes of 1982, authorizes establishment of *up to four* medium security work-based prisons (2,000 beds) and a 200-bed minimum security service unit on a site in Los Angeles county. The 1982 Budget Act appropriated \$6.6 million for land acquisition and initial studies for this new prison. The 1983 Budget Act appropriated another \$2,100,000 for preliminary plans for *three* 500-bed medium security units and a 200-bed minimum security support unit. The department estimates the total cost of these new facilities (1,700 beds) to be \$115.3 million *including* \$20.6 million for land acquisition.

We have not received any information to substantiate the request for land acquisition or working drawings for this prison facility. The department staff indicates that a site has not been selected, but that site costs may

range from \$1,500,000 to over \$40,000,000. Because there is no site for the complex, planning/design work including (1) the correctional program, (2) the site master plan and (3) the preliminary plans and cost estimate for the prison is not available. Accordingly, we have no basis on which to evaluate the requested funds. We withhold recommendation on the requested \$18,000,000, pending receipt of the needed information.

#### **New State Prison—Folsom**

*We recommend deletion of Item 5240-301-001 (10), \$6,700,000 for equipment for the new Folsom prison, because the request is premature given the department's current schedule for occupancy of the new facilities.*

The budget includes \$6,700,000 to provide equipment items needed to operate the new maximum-security units and minimum-security support service unit at Folsom.

The department has not developed any equipment list to justify this request. Moreover, according to the department's most recent schedule, the three 500-bed maximum-security units will be occupied in June 1986 and the 200-bed support service unit will be occupied in May 1986. We believe these occupancy dates are optimistic, given that at the time this *Analysis* was written, the project was about five months behind schedule. In any case, occupancy is not planned in the budget year and there is no need at this time to appropriate funds for equipment. On this basis, we recommend deletion of Item 5240-301-001 (10), a reduction of \$6,700,000.

#### **New State Prison—Ione**

*We withhold recommendation on Item 5240-301-001 (11), \$3,800,000 for equipment for the new prison at Ione, pending receipt of the detailed equipment list.*

The budget proposes \$3,800,000 to purchase equipment items related to the proposed new prison facility at Ione in Amador County.

Chapter 957, Statutes of 1983, authorizes the Department of Corrections to establish a 1,200-bed minimum/medium (Level I/II) security facility on state-owned property in Ione, or at an abandoned military facility other than Camp Roberts. Chapter 958, Statutes of 1983, appropriated \$54 million for this project.

The department's most recent schedule indicates that design of the Ione facilities will be based on the design of the proposed new facilities at Vacaville. Occupancy of the Ione facilities is scheduled to be phased, with 300 beds being activated in November 1984, February 1985, May 1985, and August 1985. The department's estimated total project cost, including the \$3.8 million requested for equipment, is \$57.8 million.

We have not received any detailed information to substantiate the amount of funds requested to equip the Ione prison. A detailed list of equipment items to be purchased is needed for adequate review of this request. Consequently, we withhold recommendation on the requested \$3,800,000, under Item 5240-301-001 (11), pending submission and review of the list of specific equipment items and associated costs.

#### **Special Housing Unit—Frontera**

*We recommend deletion of Item 5240-301-001 (12), \$150,000 for equipment for a special housing unit at the California Institution for Women, Frontera, because no information has been provided to substantiate the need for these funds.*

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

The budget includes \$150,000 for equipment related to installation of a 50-bed special housing facility at the California Institution for Women, Frontera. The 1982 Budget Act appropriated \$1,550,000 for preliminary plans, working drawings, and construction of this facility. The proposed housing unit would provide space for inmates assigned to security housing, management control, protective custody, and the condemned row. The department indicates that equipment is needed to provide (1) necessary food service items for transporting meals from the main kitchen to the new unit, (2) day room equipment, and (3) equipment for program areas.

According to the most recent information, the department has spent a total of \$10,000 of the original \$1,550,000 appropriated for the special housing unit at Frontera. Consequently, although the new 50-bed unit is to be occupied in May of 1985, no information is available on the design of the proposed facility.

The department has not provided a list of the proposed equipment items to substantiate the amount of funds requested. Moreover, our analysis indicates that new equipment for the special housing unit is not needed since the existing prison has enough equipment to support this minor increase in capacity. We therefore recommend deletion of Item 5240-301-001(12), a reduction of \$150,000.

**Northern California Women's Facility—San Joaquin County**

*We withhold recommendation on Item 5240-301-001(13), \$1,400,000 for working drawings for a new Northern California Women's Facility in San Joaquin County, because the department has not submitted information needed by the Legislature for review of this request. This information includes (1) the correctional program, (2) the site master plan and (3) the preliminary plans and cost estimate.*

The budget proposes \$1,400,000 for working drawings to construct a 400-bed women's facility on the grounds of the Northern California Youth Center in San Joaquin County. Chapter 1549, Statutes of 1982, authorized this prison, and the Budget Act of 1983 appropriated \$700,000 for preliminary planning. Although an environmental impact report on the proposed project is in process, architectural planning has not begun. The new facility is scheduled for occupancy in March 1986. The estimated total project cost is \$27 million.

The department has not developed adequate information to substantiate the proposed cost for this new facility. This information, which includes (1) the correctional program, (2) the site master plan and (3) the preliminary plans and cost estimate, is needed in order for the Legislature to determine the funding level for the working drawing portion of the project. At this time, we have no basis on which to evaluate the adequacy of the proposed working drawing funds. We therefore withhold recommendation on Item 5240-301-001(13) pending submission and review of the needed information.

**Capital Program Management—Statewide**

*We recommend deletion of Item 5240-301-001(14), \$1,500,000 for technical and professional services provided by a management firm, because no information has been provided to indicate the scope of services to be provided in light of (1) the department's recent reorganization and (2) the additional staff that the department is requesting for its planning and construction section.*

***We further recommend that prior to hearing on the budget, the department identify the amount for Program Management Services included in the budget for each major new prison project.***

In previous *Analyses*, we have indicated that to implement the new prison construction program in a timely/appropriate manner, the department needs to engage the services of a program management firm. This firm would:

- Monitor project development and furnish schedules and reports for all projects
- Advise and assist the department in continuing review and updating of long range plans
- Develop standards for correctional programs
- Assist the state in overseeing the activities of architects and construction managers
- Develop construction standards for materials and equipment, including review of proposed designs
- Recommend criteria for selection of architects and other consultants
- Provide fiscal control of all appropriations
- Develop procedures and assist the state in real estate acquisition of prison sites

The Legislature appropriated money in the 1982 Budget Act to fund a contract with such a program management firm.

Our review of the services that are now being provided to the department by the program management consultants indicates that the scope of services identified when the Legislature initially funded this activity has been narrowed significantly, and in some respects duplicates the services provided by CDC staff and construction management firms hired to coordinate design and construction of specific prison projects.

In our *Analysis* of the 1982-83 Budget, we recommended that prior to budget hearings, the department prepare (1) a description of the organizational structure under which the management firm would operate, (2) a definition of the work to be accomplished, and (3) a time schedule for implementing the overall organizational changes. The department provided no response to this recommendation. Subsequently, the Legislature adopted language in the *Supplemental Report to the 1983 Budget Act* directing the department to submit a report identifying the organizational structure and assignment of responsibilities for planning and construction of new prisons. The report was to address responsibilities of the department, the program management consultants, and the construction management firms working on the prison program.

In August 1983, the department submitted the requested report identifying the organizational structure. Our review of this report, however, makes clear that the department's current organizational structure is not consistent with what is reflected in the report. Moreover, the department is again reorganizing its resources in the planning and construction division and has requested a number of new positions for this division in the budget for 1984-85. The responsibilities that would be assigned to these new positions are not clear, and in our analysis of the department's support/operations budget request we have withheld recommendation on these new positions.

The responsibilities performed under the current program management contract are substantially different from the services anticipated

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

when the Legislature initially appropriated funds for these services. Specifically, we find that:

- The program management firm's contract requires the firm to provide advice and consultation on correctional programming. The department, however, has limited the firm's responsibilities in this area and instead relies on in-house staff for these services.
- The program management function has become concentrated in the area of construction management, focusing on the logistics of design and construction, rather than on the quality and type of facilities needed to meet the state's needs.
- The lines of responsibility are unclear; some CDC staff have been assigned to work for the program management firm, while some program management employees have been assigned to work directly for CDC employees.
- The department has not used the program management firm for coordinating/monitoring the work of consulting architects and construction managers assigned to individual projects in order to insure that the new prisons are designed and constructed in accordance with the state's plan.

In our judgment the CDC has not used the program management consultant services in the way that the Legislature originally intended. Moreover, while the Legislature has appropriated \$2.3 million for these services, past and current contracts with the management consultant total more than \$5 million, much of it to be provided from project funds. The project funds, however, were appropriated for development of specific prison projects, *not* for statewide program management. The Legislature should be apprised of the *total* amount of funds allocated for this service. We therefore recommend that prior to budget hearings, the department submit a report to the Legislature identifying the amount of funds proposed for program management services in the budget for each of the new prisons authorized by the Legislature.

In summary, we can find no advantage to the state in continuing to retain a program management firm *given the way it currently is utilized by the department*. Consequently, we recommend deletion of the \$1,500,000 proposed in Item 5240-301-001 (14).

We continue to believe, however, that the department needs, and the state would benefit from, the services of a program management firm *if the scope of services were modified to reflect what the Legislature originally intended*. Should the department submit a modified proposal along these lines, it would warrant legislative consideration. Such a proposal should be accompanied by the following information:

- A proposed contract for services which identifies the program manager's responsibilities and the resources to be devoted to these responsibilities
- An explanation of how the program manager will facilitate and implement the department's plan through monitoring of the department's consulting architects and construction managers
- An explanation of how the program manager's resources will assist the department in implementing its plan without duplicating activities currently assigned to department personnel.

Approval of any funds to finance such services should include language prohibiting the department from modifying the consultant's contract to



include any new services that have not been approved by the Legislature.

We urge the department to reassess its present organization, and to propose changes in the current contractual arrangement which are consistent with the Legislature's intent in first approving funds for these services.

#### **General and Advanced Planning Studies—Statewide**

*We recommend deletion of Item 5240-301-001 (15), \$200,000 for general and advance planning and studies, because funds are available for this purpose.*

The budget includes \$200,000 for general and advanced planning for capital outlay projects undertaken by the Department of Corrections. An identical amount was included in the 1983 budget for this purpose, funded from the New Prison Construction Fund.

Our analysis indicates that sufficient planning funds will be available for allocation by the Department of Finance for capital outlay projects throughout the state, and consequently, there is no need for specific appropriations to the Department of Corrections for these activities. Item 9860-301-036 appropriates \$500,000 to be allocated by the Department of Finance to state agencies for project planning. This amount should be sufficient to meet the needs of all state agencies, including those of the Department of Corrections.

Moreover, the department's performance in utilizing the funds provided in the 1983 Budget Act leads us to conclude that a separate appropriation is not warranted. Despite the fact that these funds were appropriated to help the department develop information on projects to be proposed in the 1984-85 budget, the amount of information submitted to the Legislature on most of these projects has been totally inadequate. Consequently, we see no advantage in appropriating funds specifically for the Department of Corrections.

For these reasons, we recommend deletion of Item 5240-301-001 (15), a reduction of \$200,000.

## **II. PROJECTS FOR IMPROVEMENTS TO EXISTING INSTITUTIONS**

The budget proposes a total of \$18,804,000 for general improvement projects at existing institutions, to be funded from the General Fund, Special Account for Capital Outlay.

### **Transfer to the General Fund**

*We recommend that the savings resulting from our recommendations on Item 5240-301-036—\$13,517,000—be transferred from the Special Account for Capital Outlay to the General Fund, in order to increase the Legislature's flexibility in meeting high-priority needs statewide.*

We recommend reductions amounting to \$13,517,000 in the Department of Corrections' capital outlay proposal from the Special Account for Capital Outlay (SAFCO). Approval of these reductions, which are discussed individually below, would leave an unappropriated balance of tideland oil revenues in the SAFCO which would be available only to finance programs and projects of a specific nature.

Leaving unappropriated funds in special purpose accounts limits the Legislature's options in allocating funds to meet high-priority needs. So that the Legislature may have additional flexibility in meeting these needs, we recommend that any savings resulting from approval of our recommendations be transferred to the General Fund.

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued****A. UTILITY AND SITE DEVELOPMENT PROJECTS**

The budget proposes \$9,218,000 from the SAFCO for 14 projects related to utilities and site development improvements at the existing institutions. The proposed projects and our recommendations on each are summarized in Table 5.

**Table 5**  
**Department of Corrections**  
**Existing Institutions,**  
**Site Development and Utility Projects**  
**Item 5240-301-036**  
**(in thousands)**

<i>Project Title</i>	<i>Location</i>	<i>Phase<sup>a</sup></i>	<i>Budget Bill Amount</i>	<i>Analyst's Recom- mendation</i>	<i>Estimated<sup>b</sup> Future Cost</i>
(1) Upgrade Water Distribution System .....	Jamestown	pwc	\$550	—	—
(2) Rehabilitate Sewage Treatment Plant .....	Tracy	pwc	600	—	—
(3) Sewage Treatment Plant Expansion .....	Soledad	c	1,750	—	—
(4) Expand Sewage Treatment Plant .....	Jamestown	pwc	1,000	—	—
(5) Flood Control .....	Tracy	pwc	1,000	—	—
(6) Replace Sewage Collector Lines ..	San Luis Obispo	pwc	\$1,028	\$1,028	—
(7) New Domestic Water Supply .....	Tracy	pw	132	—	\$1,861
(8) Sewer Line Infiltration/Inflow Testing .....	Folsom	p	150	—	unknown
(10) Install Emergency Power .....	Chino	pwc	350	—	—
(11) Install Emergency Generator—East Facility (Construction of Generator and Preliminary Plans and Working Drawings for Cogeneration Plant) .....	San Luis Obispo	pwc	1,386	—	—
(12) Install Emergency Power .....	Vacaville	pwc	612	—	—
(24) Renovate Electrical Systems .....	Soledad	pw	100	—	1,700
(25) Replace Heating System in Cell Blocks, N, E and S .....	San Quentin	pwc	470	—	—
(26) Replace Primary Electrical System .....	Jamestown	pw	90	—	820
Totals .....			\$9,218	\$1,028	\$4,381

<sup>a</sup> Phase symbols indicate: p = preliminary plans, w = working drawings, c = construction

<sup>b</sup> CDC estimate.

**Projects to Upgrade Utilities for Overcrowding May Not Be Needed**

*We recommend deletion of \$4,032,000 proposed for upgrading of domestic water systems and sewage treatment facilities at three institutions because (1) the department has not provided adequate justification for the proposed improvements and (2) the need for the proposed upgrades is questionable in light of the department's current schedule for occupying new facilities.*

The budget requests \$4,032,000 for five projects at three institutions intended to upgrade domestic water systems and sewage treatment plants. The projects include:

• **Upgrade water distribution system, Jamestown (\$550,000), Item 5240-301-036(1).** This project is for preliminary plans, working drawings and construction to modify the water supply system at the Sierra Conservation Center at Jamestown. The project is based on a consultant engineer's report and would provide for replacement of existing filters and a pump to increase the capacity of the water supply system. Proposed modifications would increase the available water supply from 0.4 million gallons per day to approximately 1.0 million gallons per day. The department has provided no justification to increase the water supply at this site.

• **Rehabilitate sewage treatment plant, Tracy (\$600,000), Item 5240-301-036(2).** This request is for preliminary plans, working drawings and construction to rehabilitate the waste water treatment plant at the Deuel Vocational Institution at Tracy. The department indicates that the existing waste water treatment facility, constructed in 1976, needs to be modified and expanded to meet waste water treatment requirements at this institution. The budget includes \$600,000 for the proposed work. However, no architectural/engineering detail has been prepared to substantiate either the need for the work or the amount requested. Moreover, the institution initially proposed \$1,370,000 to fund the proposed improvements. The department has not provided any information regarding the change in project scope that would result from this funding reduction.

• **Sewage treatment plant expansion, Soledad (\$1,750,000), Item 5240-301-036(3).** This request is for construction funds to expand the existing waste water treatment plant serving the Correctional Training Facility at Soledad. The existing plant has a rated capacity of 0.83 million gallons per day. The department proposes to modify the plant to increase treatment plant capacity to 1.4 million gallons per day, based on design criteria to serve a population of 6,000 inmates—approximately 3,000 inmates above the prison's capacity. The department has not justified the need for permanent expansion of this plant. A consulting engineer studied various alternatives to expand waste water treatment capabilities at this institution with the least costly alternative amounting to \$1,712,000. Presumably, the amount proposed in the budget would fund this alternative.

• **Expand sewage treatment plant, Jamestown (\$1,000,000), Item 5240-301-036(4).** This request is for preliminary planning, working drawing and construction funds to expand the sewage treatment plant at Jamestown. No information has been submitted to substantiate the need for or the cost of the proposed project.

• **New domestic water supply, Tracy (\$132,000), Item 5240-301-036(7).** This request is for preliminary planning and working drawings to install a new domestic water supply at the Deuel Vocational Institution at Tracy. The project proposes to draw water for the institution from the California Aqueduct. The project includes (1) a pumping station capable of delivering 2.0 million gallons per day, (2) eight miles of piping and, (3) a water treatment plant. No engineering evaluation of either the existing water system or of the proposed project has been provided. The department indicates that the future cost of constructing this project is \$1,861,000.

**Project Justification Lacking.** We do not deny that these institutions may be experiencing some problems associated with the water supply or sewer treatment facilities. The department, however, has not submitted the information required by the Legislature to substantiate the need for these projects. It has neither adequately described the problem, nor identified the proposed solution. Any proposed improvements should be based on water consumption and sewage treatment plant capacity

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

criteria which have been identified as part of the planning process for new prisons at Tehachapi, Folsom and Vacaville. No information of this nature has been submitted for these projects.

***Planned Additional Bed Capacity Should Reduce Overcrowding at Existing Institutions.*** In some cases, we believe that the problems addressed by the proposal may be temporary, in that they stem from the overcrowding of these existing institutions. Currently, these three institutions are housing between 144 percent and 185 percent of the number of inmates for which they were designed. Based on the Department of Corrections' new plan for occupying new prison facilities, however, overcrowding at existing institutions should be reduced substantially by December 1986, when the overcrowding rate for the system as a whole will be only 10 percent of design capacity. Thus, by the time construction of the proposed water supply and sewage plant expansion projects are completed, the population at these institutions should have been reduced substantially.

In sum, the department has not documented a current need for these projects, nor has it established that the needs are of a permanent nature. On these bases, we recommend deletion of funds to upgrade water and sewage systems at Jamestown, Tracy, and Soledad, proposed in subitems (1), (2), (3), (4), and (7), for a reduction of \$4,032,000.

**Flood Control—Tracy**

***We recommend deletion of Item 5240-301-036(5), \$1,000,000 for preliminary planning, working drawings, and construction of flood control at Tracy, because no information has been provided to substantiate the need for the requested funds.***

The budget includes \$1,000,000 for preliminary planning, working drawings, and construction of flood control improvements at Deuel Vocational Institution, Tracy. A portion of this facility was inundated with water during 1983 because of heavy rains. The Budget Act of 1983 appropriated \$2,208,000 for repair of damage caused by the flooding. As of December 19, 1983, the department had spent \$154,000 on this effort.

We have not received *any* information to indicate what improvements would be funded by the amount requested in the Budget Bill. Consequently, we have no basis on which to evaluate the requested funds and we recommend deletion of Item 5240-301-036(5), for a reduction of \$1,000,000.

**Replace Sewage Collector Lines—San Luis Obispo**

***We recommend approval of Item 5240-301-036(6), \$1,028,000 for preliminary plans, working drawings, and construction to upgrade the existing main sewage collector lines at the California Men's Colony, San Luis Obispo.***

The budget includes \$1,028,000 for preliminary planning, working drawings and construction to upgrade existing main sewer collection trunk line at the California Men's Colony at San Luis Obispo. The project is based on findings and recommendations derived from a video camera investigation and smoke test of the existing system. The department indicates that the current system has many breaks which result in excess infiltration to the sewer collector system which in turn results in excessive flows to the sewage treatment plant. This project would replace the cracked and bro-

ken pipes and manholes and upgrade the system. The Budget Act of 1983 appropriated \$150,000 for (1) the special testing of the system and (2) preliminary planning and working drawings for the needed improvements.

Based on the tests conducted by the Office of State Architect, the amount of funds needed to complete this project is \$1,028,000. The previously appropriated funds, however, are sufficient to fund all design work including preliminary plans and working drawings. The amount proposed in the budget is for construction and should be so designated. Based on our review of the test results provided by the department, we recommend approval of the requested funds.

#### **Sewer Line Infiltration/Inflow Testing—Folsom**

*We recommend that Item 5240-301-036(8), \$150,000 for testing of the sewer line at the existing Folsom Prison, be deleted because adequate funds have already been appropriated to fund the needed study.*

The budget includes \$150,000 to perform various tests on the sewer lines at Folsom Prison. The purpose of this study is to identify the source of excess infiltration of irrigation and storm water into the collection system. This infiltration water, together with the prison's sewer waste, results in excess flow to the sewage treatment plant operated by the City of Folsom.

The environmental impact report for construction of the new Folsom State Prison confirms that the flow from the existing Folsom prison is excessive. In order for the city plant to accommodate the sewage flows from the existing Folsom prison and from the proposed new Folsom prison, the excess infiltration must be eliminated.

The existing contract specifies two limiting factors on flows to the plant—a limit on the total amount of flow which can be treated *annually*, and a limit on the *peak* average *daily* flow. Based on the project architect's study of the current system, the excess infiltration must be controlled or the maximum annual allowance will be exceeded. Even with this improvement, the department will have to construct holding ponds so that effluent from the new prison complex can be stored during peak hours for processing at the city plant during off peak hours.

Our analysis indicates that the testing of existing sewer lines should be funded as part of the engineering effort for construction of the new Folsom prison. In fact, the department has indicated that additional studies of the sewage treatment requirements for the new prison currently are being developed. The environmental impact report for the new prison indicates that development of the complex is dependent upon these improvements mitigating a portion of the adverse effect of the new prison project.

We also question the validity of the amount budgeted under this item for the proposed testing. According to the Office of State Architect, a similar testing program of six miles of sewer line conducted at the California Men's Colony, San Luis Obispo cost \$30,000. No information has been provided to indicate that testing at the Folsom site would be more extensive than that which was conducted at the San Luis Obispo prison.

Based on the factors discussed above, we recommend deletion of the funds proposed under Item 5240-301-036(8), for a reduction of \$150,000.

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued****Installation of Emergency Electrical Power—Chino, San Luis Obispo, and Vacaville**

*We recommend that Items 5240-301-036(10), (11) and (12), \$2,348,000 for installation of additional emergency power at three institutions, be deleted because the department's policy on emergency power is inconsistent and should be reevaluated.*

The budget proposes funds for installation of emergency power generators at three institutions:

- *Install emergency power, Chino (\$350,000), Item 5240-301-036(10).* This request is for preliminary plans, working drawings and construction to install additional emergency electrical power for the California Institution for Men at Chino. The project provides for installation of six 20-Kilowatt (KW) generator sets with automatic starting capabilities to provide emergency lighting in control rooms, watch command stations, inmate living areas, and activity areas such as kitchens and messhalls. The units would have a capability to maintain emergency lighting for six to eight hours. The proposed funds are based on a project estimate prepared by the institution. No architectural/engineering study of the proposed solution has been accomplished by the Office of State Architect. In addition, the project description makes reference to another project to install an 1,100-KW generator at this institution, but funds for such a project are not included in the budget.

- *Install emergency generator, San Luis Obispo (\$1,386,000), Item 5240-301-036(11).* This request is to provide for installation of two separate systems for emergency electrical power. The project includes construction funds (an unknown amount) to install an 1,100-KW emergency generator, and preliminary plan and working drawing funds (an unknown amount) for a cogeneration plant at the California Men's Colony at San Luis Obispo. According to the department, the purpose of the project is to provide an alternate source of power to operate the California Men's Colony in the event power from the serving utility company is interrupted. With the installation of this system, *all* systems, except for prison industries equipment, would continue to operate. The institution currently has emergency power systems for (1) lighting in all cell blocks, (2) lighting in the hospital, and (3) lighting and basic electrical needs in the kitchen.

The 1982 Budget Act appropriated \$60,000 for preparation of preliminary plans and working drawings for this project. In addition, the Budget Act required the department to submit a report to the Legislature which identified the feasibility and associated benefits and costs of utilizing a cogeneration system to provide emergency power in lieu of electrical generations.

The department's report (dated January 5, 1984) was not responsive to the Legislature's request. Rather than indicate the feasibility of replacing the emergency generator proposal with a cogeneration plant, the department intends to install both systems—the exact outcome that the Legislature wanted to avoid when it adopted the language.

- *Install emergency power, Vacaville (\$612,000), Item 5240-301-036(12).* This request is for preliminary planning, working drawings, and construction funds to install emergency power at the California Medical Facility at Vacaville. The project would provide emergency power for

all housing units at the prison. The department indicates that the present emergency electrical system provides service to the hospital, medical patient housing, and perimeter security system.

**Inconsistent Departmental Policy on Emergency Power.** In the course of reviewing the Department of Corrections' proposal for construction of a new 2,400-bed prison on the grounds of the California Medical Facility at Vacaville, we questioned the department's policy with regard to emergency power. The department indicated that a separate emergency generator is to be provided for each of the four 600-bed living units, at a total cost of \$120,000. The department did not provide any information to indicate that additional emergency electrical circuits, capable of providing—on a standby basis—100 percent of the power for entire institutional electrical system, security related power requirements, or power for service facilities are required. In the case of the three existing institutions, however, the department seems to be saying that this additional back-up equipment *is* needed. Consequently, the department's policy regarding the installation of emergency electrical power is inconsistent.

**National Standards.** The standards adopted by the American Correctional Association (ACA) recommend that a correctional institution have "equipment necessary to maintain essential lights, power and communications in an emergency. The institution should have emergency power units, either battery or motor-driven, to provide essential lighting and to maintain the life-sustaining functions within the institution and to continue communications with outside interests." No information has been provided to indicate whether the proposed projects are aimed at meeting the ACA standard, or some other standard developed by the department.

Our analysis indicates that, before going forward with any new projects in this area, the department should evaluate prison emergency electrical power needs and establish a consistent policy which identifies those components of the electrical system which *must* be part of an emergency system. The evaluation should consider the life safety and security needs of the institutions.

Until such a policy is formulated, the addition of emergency electrical power for other than life safety and security purposes would seem to be premature. On this basis, we recommend deletion of the funds proposed in Item 5240-301-036(10), (11), and (12), for a reduction of \$2,348,000.

#### **Renovate Electrical Systems—Soledad**

***We recommend deletion of Item 5240-301-036(24), \$100,000 for preliminary plans and working drawings to renovate the electrical system at the Correctional Training Facility, Soledad, because the existing system should be adequate to provide essential electrical service.***

The budget includes \$100,000 for preliminary plans and working drawings to renovate the electrical systems at the Correctional Training Facility, Soledad. The project consists of installing an additional duplex electrical outlet in each of the 2,600 cells in the Central and North Facilities. This improvement also requires the installation of additional transformers, switch gear and circuits. In 1978, the Office of State Architect evaluated the installation of these electrical outlets and associated elements. Adjusting the 1978 cost estimate for inflation indicates that the project should cost about \$1,800,000 at this time.

The department indicates that the system needs to be upgraded to provide a 300-watt capability per cell to accommodate color televisions,

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

radios, record players, and other electrical appliances which, according to department policy, inmates are permitted to have in their cells.

Given the high cost of installing additional electrical capability in the 2,600 cells located in the North and Central Facilities, we believe the department should reevaluate its current policy in an effort to avoid the need for upgrading the electrical system. In fact, the existing system already provides a duplex outlet in each cell in the North unit and the department has an on-going program to install duplex outlets in each cell in the Central unit. On this basis, we recommend deletion of the \$100,000 proposed in Item 5240-301-036(24).

**Replace Heating System in Cell Blocks, North, East, and South—San Quentin.**

*We recommend Item 5240-301-036(25), \$470,000 to replace the heating system in three cell blocks at San Quentin, be deleted because there is no data substantiating that the proposed project would provide a viable system for heating and ventilating the existing cell blocks.*

The budget includes \$470,000 for preliminary planning, working drawings and construction to replace the heating system in the north, east, and south cell blocks at San Quentin. The proposal includes installation of new steam heating units to be installed on the outside of the housing units, with heating ducts installed through the outside walls of the building. According to the department, the proposed system would replace the current inadequate system which provides heat through a duct in each individual cell. The proposed funds are based on an estimate prepared by the department to replace the heating system in these three cell-blocks. No architectural/engineering evaluation of the project has been completed.

Our analysis indicates that the proposed new heating system would not solve the heating/ventilation problems in the cell blocks at San Quentin. There is a substantial amount of air loss from the buildings because during any time of the year, many of the exterior windows are broken. Moreover, the proposed system will not provide ventilation to the individual cells. The American Correctional Association (ACA) standards require that all cells be provided with a minimum ventilation rate of 10 cubic feet per minute, per occupant. Based on the sketchy description provided for the proposed system, we believe conditioned air from the new air handling units would not provide sufficient heat or ventilation within the individual cells, and thus would not meet ACA standards.

According to the department, the proposed new heating system is in response to a court order to improve the temperature control in inmate housing units. The department, however, withdrew its request for upgrading the West block system because a recent court decision specifically cited this building as being deficient. Presumably, special legislation will be introduced to address all funding requirements associated with the court order.

The department's plan raises two concerns in our minds. First, if the correction of the West block is critical, why has the department not begun planning the corrective measures? Second, what is the priority of upgrading the remaining cell blocks? Prior to legislative hearings, the department should explain these aspects of its plan.

In any event, our analysis indicates that the proposed solution is not an adequate one, and the department should study alternative means of meeting this court mandate. Funding for this study could be provided



from the \$200,000 appropriated in Item 5240-301-723 of the Budget Act of 1983 for planning and studies. The department should undertake the needed study immediately and propose an alternative solution prior to legislative hearings on the budget. A proposal which provides adequate engineering detail and appropriate ventilation rates would warrant legislative support. At this point, however, we have no basis for recommending approval of either the proposed project or the \$470,000 requested for it, and we therefore recommend deletion of Item 5240-301-036 (25).

#### Replace Primary Electrical System—Jamestown

*We recommend deletion of Item 5240-301-036 (26), \$90,000 for preliminary plans and working drawings to replace the primary electrical system at the Sierra Conservation Center, Jamestown, because the proposed project includes (1) maintenance work which should be funded in the support budget and (2) expansion of the system which is not justified.*

The budget includes \$90,000 for preliminary plans and working drawings to replace the primary electrical system at Jamestown. The department indicates that the electrical distribution system failed three times for unspecified durations in the past three years. The proposed project is to replace existing feeder cables, switch gear, and transmission lines throughout the institution. In addition, the project proposes installation of an additional feeder cable to serve the institution. According to an estimate prepared by the Department of Corrections, the future cost of construction is \$820,000.

The department has not provided any information to justify either replacing or expanding the existing primary electrical system. Specifically, the department has provided no information to substantiate that the power failure was caused by the system elements to be replaced or that this is an \$800,000 problem. If replacement is needed, the department should fund the needed repairs from existing resources in the special repairs portion of the department's support budget. Furthermore, we note that the department's justification for expanding the system is the need to accommodate a new 250-bed modular facility. It is our understanding, however, that the department no longer intends to locate this facility at Jamestown.

In sum, we see no basis for appropriating funds to expand or replace the system and we therefore recommend that the \$90,000 requested in Item 5240-301-036 (26) be deleted.

**Table 6**  
**Department of Corrections**  
**Projects to Expand/Replace Support Facilities—1984-85**  
**Item 5240-301-036**  
**(in thousands)**

Project Title	Location	Phase <sup>a</sup>	Budget	Analyst's Estimated <sup>b</sup>	
			Bill Amount	Recom- mendation	Future Cost
(9) Replace Food Service Building .....	Soledad	c	\$1,925	\$1,888	—
(13) Enlarge Visitor Processing .....	Vacaville	pwc	340	—	—
(14) Entry Building and Visitor Parking .....	Chino	pwc	410	pending	—
Totals .....			\$2,675	pending	—

<sup>a</sup> Phase symbols indicate: p = preliminary planning, w = working drawings, and e = equipment

<sup>b</sup> CDC estimate

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued****B. PROJECTS TO IMPROVE/REPLACE SUPPORT FACILITIES**

The budget proposes \$2,675,000 from the SAFCO for three projects to expand or replace support facilities at existing institutions. The proposed projects and our recommendations on each are summarized in Table 6.

**Replace Food Service Building—Soledad**

*We recommend that Item 5240-301-036(9), \$1,925,000 for construction funds to replace the food service building at Soledad, be reduced by \$37,000 to eliminate overbudgeting.*

The budget includes \$1,925,000 for construction of a food service facility to replace the kitchen/dining facilities at the Correctional Training Facility, Soledad, South Facility. The proposed project would replace a Quonset-hut building which has been used for approximately 35 years. This facility has a capacity to adequately serve 200 inmates. This area of the prison, however, has a design capacity of 410 inmates, and currently houses over 665 inmates. The proposed facility will be designed to serve the design capacity of the south facility. Preliminary plans and working drawing funds (\$90,000) for the project were appropriated in the 1982 Budget Act and reappropriated in the 1983 Budget Act.

Preliminary plans for this facility recently were completed. Our review of the preliminary plans and cost estimates indicates that the department's latest proposal reflects a substantial savings from the construction costs anticipated when the Legislature considered funds for preliminary planning and working drawings for this project. The total estimated project cost has been reduced from \$2,298,000 to \$1,994,000, for a savings of \$304,000. The savings have been achieved by using more cost-efficient building systems such as pre-cast concrete materials. The proposed facility will provide a functional building at a reasonable cost, and the department and the Office of State Architect should be commended for implementing cost-saving measures for this project.

Our analysis of the current project cost estimate indicates, however, that the request amount is overbudgeted. A total of \$106,000 has been provided for this project—the \$90,000 appropriated by the Legislature and \$16,000 allocated by the Department of Finance for schematic drawings. Consequently, based on the current estimated *total* project cost of \$1,994,000, a balance of \$1,888,000 is needed to complete the project. Thus, the budget request—\$1,925,000—is \$37,000 more than the amount that is needed. We therefore recommend that Item 5240-301-036(9) be reduced by \$37,000 to eliminate overbudgeting.

**Enlarge Visitor Processing Area—Vacaville**

*We recommend that Item 5240-301-036(13), \$340,000 for construction of an addition to the Vacaville entrance building, be deleted because the project is based on accommodating visitors to the new 2,400-bed Vacaville prison addition which will have its own visitor processing facilities.*

The budget includes \$340,000 for preliminary plans, working drawings and construction to enlarge the entrance building at the California Medical Facility (CMF) at Vacaville. The department indicates that the enlarged area is needed to accommodate the anticipated increase in visitors resulting from the construction of the new 2,400-bed prison at Vacaville. The existing 660 square foot entrance building would be expanded by

2,106 square feet to provide restrooms, offices, handicraft sales area, visitor processing facilities, and visitor waiting area.

The Legislature has appropriated \$79.8 million for planning and partial construction of two 1,200-bed facilities at Vacaville. The department's draft facilities program for this new development (submitted to the Legislature December 13, 1983) indicates that new visitor processing facilities will be included in the new prison complex. Consequently, expansion of the existing CMF Vacaville entrance building cannot be justified based on needs associated with the new facility. Accordingly, we recommend deletion of \$340,000 proposed under Item 5240-301-036(13).

The department should reevaluate its long-term requirements for visitor processing at the existing CMF facility, and, if appropriate, propose a project to meet the needs of this institution.

#### Entrance Building and Visitor Parking—Chino

*We withhold recommendation on Item 5240-301-036(14), \$410,000 for construction of a new entrance building and visitor parking area at Chino, pending reevaluation by the department of the proposed staff savings to be achieved through implementation of this project.*

The budget includes \$410,000 for preliminary plans, working drawings, and construction of a new entry building and visitors parking area at the California Institution for Men (CIM), Chino. The new entry building would provide space for processing visitors to the CIM Main, Central, and West facilities. The department indicates that construction of the new entry building and additional parking area would provide a more effective operation and improve utilization of staff. Upon completion of the proposed project, the department would be able to eliminate 4.9 security positions currently assigned to visitor processing duties. This savings in personnel amounts to \$140,000 per year.

The Department of Corrections has increased substantially its security staff at the CIM Main facilities. In addition, the Legislature has appropriated \$500,000 for construction of various security modifications at this institution. These security measures were not contemplated when the department formulated its proposal for construction of the new entry building and visitor parking area. Consequently, it is not known whether the staff savings identified in the justification for the proposed projects can still be achieved.

We recommend that prior to budget hearings, the department reevaluate the need for the proposed facility in light of recent security improvements at this institution. Pending receipt of this reevaluation, we withhold recommendation on Item 5240-301-036(14).

Table 7  
Department of Corrections  
Security Projects—1984-85  
Item 5240-301-036  
(in thousands)

Project Title	Location	Phase <sup>a</sup>	Budget Bill Amount	Analyst's Recom- mendation	Estimated <sup>b</sup> Future Cost
(15) Security Lighting, Main Facility .....	Corona	pwc	\$290	pending	—
(32) Gunwalks on Roof.....	Susanville	pw	30	pending	\$276
Totals .....			\$320	pending	\$276

<sup>a</sup> Phase symbols indicate: p = preliminary planning, w = working drawings and c = construction.

<sup>b</sup> CDC estimate.

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued****C. SECURITY PROJECTS**

The budget proposes \$320,000 from the SAFCO for security improvements at two existing prison facilities. The requested funds and our recommendations are summarized in Table 7.

**Security Lighting, Main Facility—Corona**

*We withhold recommendation on Item 5240-301-036(15), \$290,000 for preliminary planning, working drawings, and construction of security lighting at the California Rehabilitation Center, Corona, pending receipt of additional information.*

The budget includes \$290,000 for preliminary plans, working drawings and construction to install additional security lighting at the California Rehabilitation Center (CRC), Main Facility, in Corona. This facility has a design capacity for 1,878 inmates. Recent population data reveals that 2,675 inmates currently are assigned to the facility, or 140 percent of design capacity. The department proposes installation of additional lighting standards and fixtures at seven locations because, given the current inmate population, the existing lighting is not adequate and poses a hazard to the security of the institution. These areas include the football field, handball area, women's dormitory area, industrial/vocational education building, men's canteen, and the proposed new receiving/release building to be funded in the minor capital outlay budget. The department indicates that additional lighting will allow the institution to extend its recreation hours and also allow use of these areas as isolation areas in the event of a major disturbance.

The amount of funds proposed in the budget is based on an estimate developed by department personnel. The Office of State Architect has not evaluated the engineering aspects or the cost of the proposed lighting system. Consequently, the adequacy of the proposal or the requested amount cannot be substantiated.

Adequate preliminary planning for the proposed improvements should be funded from planning funds appropriated in the current year, and should be completed prior to legislative hearings on the Budget Bill. Accordingly, we withhold recommendation on this item, pending receipt of the needed preliminary plans.

**Gunwalks on Roofs—Susanville**

*We withhold recommendation on Item 5240-301-001(32), \$30,000 for preliminary plans and working drawings to install gunwalks on the roofs of the housing units at Susanville, pending receipt of (1) a reevaluation of the least costly solution to this problem and (2) an updated project cost estimate and schedule based on the work to be done.*

The budget requests \$30,000 for preliminary plans and working drawings to install gunwalks on the roofs of the housing units at the California Correctional Center at Susanville. The project also includes bridges and staircases to connect the roofs to the armory. These improvements would be used by armed security personnel to secure the main yard and dormitory area. Such access was required about 15 times over the past 12 months, and has resulted in some damage to the roofs. The estimated

future cost for construction is \$276,000.

Our analysis indicates that some improvements are needed to allow access to roofs without causing damage. The department, however, needs to reevaluate its proposed solution to this problem. The Office of State Architect prepared a schematic budget plan for the proposed security improvements at Susanville in October of 1980. The Department of Corrections indicates that the plan developed by the OSA was not adequate because the project would have provided only a one-inch asphalt walking surface on the roofs of the housing units. The department proposes installation of metal grating, raised approximately eight inches off the roof surface, so that the walkways would be accessible during ice and snow conditions in the winter months. This solution is costly, and other alternatives should be evaluated by the OSA before proceeding with the project.

Moreover, the department indicates that a portion of this project may be carried out using inmate labor. The amount proposed for planning and the estimate of construction costs, however, assume that the project will be constructed through a contract with an outside party. The department should evaluate the specific tasks which can be accomplished using inmate labor and propose appropriate reductions to the project estimate to account for this work.

Finally, since the work needed to solve this problem would be simple in design, and could be constructed rapidly, the department should consider revising its schedule to begin construction during the budget year in order to implement this security measure as quickly as possible and prevent further damage to roofs.

**Table 8**  
**Department of Corrections**  
**Projects to Upgrade Buildings to Meet Code Requirements—1984-85**  
**Item 5240-301-036**  
**(in thousands)**

<i>Project Title</i>	<i>Location</i>	<i>Phase<sup>a</sup></i>	<i>Budget Bill Amount</i>	<i>Analyst's Recom- mendation</i>	<i>Estimated<sup>a</sup> Future Cost</i>
(17) Fire and Life Safety Improvements, Phase 2 .....	Corona	pw	\$78	—	\$817
(18) Exiting and Corridor Improvements, Building 105 .....	Chino	pw	178	—	1,531
(19) Exiting and Corridor Improvements, Building 374, Administration and RC West .....	Chino	pw	35	—	287
(20) Exiting and Corridor Improvements, RC Central and Building 204.2 .....	Chino	pw	72	—	758
(21) Smoke Purge, Buildings 204.1, 204.4 and 204.6 .....	Chino	pw	60	—	629
(22) Structural Improvements, Buildings 204.1, 204.3 and 204.4 .....	Chino	pw	46	—	487
(23) Fire and Life Safety Structural Improvements .....	San Luis Obispo	c	1,461	—	—
Totals .....			\$1,930	—	\$4,509

<sup>a</sup> Phase symbols indicate: p = preliminary planning, w = working drawings and c = construction.

<sup>b</sup> CDC estimate.

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

In summary, we withhold recommendation on the \$30,000 proposed for preliminary plans and working drawings for this project, pending receipt of additional information which updates the project schedule and cost estimate to reflect (1) the least costly type of walking surface needed (2) the budget savings to be achieved using inmate labor, and (3) the feasibility of constructing the proposed improvements during the budget year.

**D. PROJECTS TO CORRECT CODE DEFICIENCIES**

This portion of the analysis addresses projects proposed to upgrade existing facilities to meet fire and life safety code, seismic safety codes, and other building requirements. Table 8 summarizes the seven requested projects and our recommendations.

**Fire and Life Safety Improvements/Structural Improvements—Corona, Chino, and San Luis Obispo.**

*We recommend deletion of Items 5240-301-036(17) through (23), \$1,930,000 to upgrade existing facilities at three institutions, because the requests are premature. We further recommend that the department develop a plan which systematically addresses statewide priority needs for upgrading existing correctional facilities to meet fire/life safety and seismic structural improvements.*

The budget includes funds for seven projects at three institutions to upgrade existing buildings for (1) fire and life safety code requirements, and (2) structural improvements. The requests include:

- *California Rehabilitation Center, Corona, Item 5240-301-036(17).* The budget requests \$78,000 for preliminary plans and working drawings to upgrade four buildings to meet fire and life safety requirements. The project includes upgrading of major corridors, installing new doors, modifying the heating and ventilation system, and installing fire sprinklers. The department's estimate for future construction costs is \$817,000.

- *California Institution for Men, Chino (\$285,000), Item 5240-301-036(18), (19) and (20).* Preliminary planning and working drawing funds for three projects are proposed to provide additional exiting and upgrading of corridors in the administration buildings at the CIM main, west, and central facilities. The requests total \$285,000, with the future costs for construction estimated at \$2,576,000. Preliminary plans and working drawings in the amount of \$60,000 are also proposed to install a smoke purge system in three housing units that were recommended but not required by the State Fire Marshal in a 1979 evaluation of fire and life safety improvements. The department's estimated future cost for this project is \$629,000. In addition, preliminary plan and working drawing funds (\$46,000) are proposed to provide structural strengthening in three housing units. The estimated future cost for this project is \$487,000.

- *California Men's Colony, San Luis Obispo, Item 5240-301-036(23).* Construction funds (\$1,461,000) are proposed to make various corrections to several buildings needed to meet fire and life safety requirements. The work includes enclosing stairways, upgrading corridors and exit ways, installing fire sprinklers, and placing fire proofing materials. Preliminary plans for this project recently were completed, and working drawings are underway. Funds for this work were provided in the 1981 Budget Act.

**1980 Report Evaluated Existing Institutions.** In April 1980, the Department of Corrections submitted a comprehensive Facilities Require-

ment Plan to the Legislature. The document included a systematic analysis of population trends, facility planning standards, and a plan for correcting existing deficiencies in the facilities over an 11-year period. Development of the document cost over \$5 million and it was to be updated on an annual basis.

The original 1980 plan included an inventory of the state's correctional facilities and a thorough evaluation of the condition of these facilities. The report concluded that there were serious deficiencies in existing prisons which required remedial action.

In outlining several options available to the state, the report indicated that the *minimum* cost to upgrade existing facilities to meet life safety and structural requirements would be \$471 million. Table 9 summarizes the minimum cost identified in the 1980 report to upgrade existing institutions. The minimum-cost option was not the preferred option for existing institutions because it did not address renovations needed to make the facilities more secure or operationally efficient.

**Table 9**  
**Department of Corrections**  
**Statewide Fire and Life Safety/Structure Improvement Costs**  
**1980 Facilities Requirement Plan**

<i>Institution</i>	<i>Beds<sup>a</sup></i>	<i>Minimum Cost to Upgrade<sup>b</sup> (in 000's)</i>	<i>Cost per Bed</i>
Susanville.....	1,224	\$8,500	\$6,944
Tehachapi.....	1,177	13,900	11,810
Jamestown.....	1,224	8,100	6,618
Chino.....	2,667	57,100	21,410
Soledad.....	2,191	66,100	30,169
San Luis Obispo.....	2,409	29,100	12,080
Tracy.....	1,523	15,600	10,243
San Quentin.....	2,686	106,300	39,576
Folsom.....	1,778	62,400	35,096
Vacaville.....	1,959	39,300	20,061
Corona.....	2,363	50,700	21,456
Subtotal.....	21,201	\$457,100	\$21,560
Frontera.....	930	13,700	14,731
Totals.....	22,131	\$470,800	\$21,273

<sup>a</sup> Excludes new capacity added since July 1980.

<sup>b</sup> 1980 report data updated to July 1984 cost.

**Recent Facilities Requirement Plan Updates Do Not Address Existing Institutional Needs.** Subsequent to preparation of the 1980 report, the Department of Corrections issued a number of Facilities Requirement Plan Updates which identified the department's current plan of construction for new prison facilities. Because of the substantial increase in projected population beyond that which was assumed in the original report, the updates have concentrated on providing new capacity, rather than on upgrading existing prison facilities. Consequently, the only information available which addresses the statewide needs to upgrade existing facilities is the 1980 Facilities Requirement Plan.

**Statewide Plan Needed to Identify Priorities and Associated Costs to Upgrade Existing Facilities.** Based on the information developed in 1980, the funds proposed in the budget to upgrade existing facilities to

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

meet life safety and structural requirements address a small portion of the overall problem. Moreover, there is no indication that the proposed projects represent the highest priority needs in either the system as a whole or at the individual prisons.

To ensure that the Legislature has an adequate basis for determining the system's highest priority needs and the cost of meeting those needs, the Department of Corrections should prepare a new statewide plan. The plan should include:

- An evaluation of needs, given the contents and status of the current plan for constructing new prison facilities. This evaluation should compare the cost of upgrading facilities with the cost of a new replacement facility.
- A methodology for listing life safety and structural improvement projects in priority on a *statewide* basis. This would provide the Legislature with the information necessary to determine how best to distribute the funds available to correct problems identified in the department's plan.
- A multi-year plan for undertaking the needed corrective work which addresses the level of funding required in each year.

Without such a plan, there is no analytical basis on which the Legislature can evaluate the priority of the projects included in the budget, relative to other needed life safety and structural improvement correction work at the existing prisons. Accordingly, we believe the request for these projects is premature, and recommend deletion of the funds proposed in Item 5240-301-036(17) through (23), for a reduction of \$1,930,000. We further recommend adoption of the following supplemental report language to direct the Department of Corrections to update its Facilities Requirement Plan for existing institutions.

"By November 1, 1984, the Department of Corrections shall submit to the chairpersons of the fiscal committees and the Chairman of the Joint Legislative Budget Committee an update of its facilities requirement plan for existing institutions. The plan shall include an evaluation of needs to upgrade existing facilities to meet fire/life safety and seismic code *requirements*, a priority list of proposed projects, an explanation of the criteria used to establish priorities, and a multi-year plan for funding of needed improvements."

To expedite this effort, we suggest that the department use the information which was developed in the 1980 plan, modified as needed to account for any changes since 1980, and establish a statewide priority program for eliminating the code deficiencies.

**E. PROJECTS TO REPLACE EXISTING CAPACITY**

The budget proposes funds for one project to replace existing prison capacity at San Quentin State Prison.

**Ranch Dormitory—San Quentin**

*We withhold recommendation on Item 5240-301-036(16), \$499,000 for preliminary planning, working drawings and construction of a new dormitory at San Quentin, pending reevaluation of the need for these facilities in light of the department's proposal to install modular facilities to house 500 additional inmates at the minimum security portion of this prison.*

The budget proposes \$499,000 for preliminary planning, working draw-



ings and construction to replace minimum security housing units (the ranch dormitories) at San Quentin. The ranch dormitories consist of trailers which were purchased in used condition from the U.S. Forest Service and relocated to San Quentin in 1970. The dormitories provide housing for 108 minimum-custody inmates who are assigned to various maintenance work programs at San Quentin. The trailers are beyond their useful life and have sustained significant damage/deterioration over the years. The department proposes to purchase replacement trailers to house the 108 inmates.

The Budget Acts of 1982 and 1983 appropriated a total of \$4 million for construction of modular housing units to partially mitigate overcrowding of existing prisons. The department's plan for expenditure of these funds includes allocation of \$2.7 million for construction of four 250-bed minimum security units at Susanville, Jamestown, Vacaville, and San Quentin. These facilities are scheduled to be occupied by July 1984. Inmates housed in these modular facilities would be assigned to various work crews related to support of the four institutions.

The department currently is reevaluating its plan for placement of these 250-bed units. One alternative being considered is to place two of the units on the grounds of the San Quentin State Prison, thereby providing a total of 500 beds for minimum security inmates at this prison. If this proposal proceeds, the number of minimum security inmates assigned to this prison may be in excess of the number needed to maintain the existing institution or for which work programs would be available. Consequently, the San Quentin ranch dormitories may not be needed. We recommend that prior to budget hearings, the department indicate (1) its current plan for placement of the 250-bed modular housing units and (2) its assessment of the work assignments available for inmates assigned to these modular units.

Moreover, the funds proposed in the budget are based on estimates prepared by department personnel and no architectural/engineering evaluation of the proposed project has been completed. We suggest that the department use the existing design for 108-bed modular facilities which have been installed at several other prisons, (including San Quentin) rather than trailers. This design can be adapted to the San Quentin site and should expedite the project if it is approved by the Legislature.

**Table 10**  
**Department of Corrections**  
**Projects to Expand Vocational/Academic Education 1984-85**  
**Item 5240-301-036**  
**(in thousands)**

<i>Project Title</i>	<i>Location</i>	<i>Phase<sup>a</sup></i>	<i>Budget Bill Amount</i>	<i>Analyst's Recom- mendation</i>	<i>Estimated<sup>b</sup> Future Cost</i>
(27) Vocational Education Building .....	Frontera	pwc	\$478	—	—
(28) Vocational Education Shops .....	Vacaville	pwc	982	—	—
(29) Vocational Education Shops .....	Soledad	pwc	440	—	—
(30) Academic Education Classrooms ..	Soledad	pw	85	—	872
(31) Food Processing and Storage (Work Program) .....	Soledad	pwc	158	—	—
(33) Vocational Produce Greenhouse ..	Susanville	pw	77	—	794
(34) Vocational Chicken Ranch .....	Susanville	pw	178	—	1,550
Totals .....			\$2,398	—	\$3,216

<sup>a</sup> Phase symbols indicate: p = preliminary plans, w = working drawings, and c = construction.

<sup>b</sup> CDC estimate.

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

In summary, we withhold recommendation on funds proposed to replace the ranch dormitories at San Quentin because (1) the department needs to reevaluate the need for these beds, given its current plans for locating 500 additional minimum security beds at San Quentin and (2) no architectural/engineering detail is available to substantiate the requested funds.

**F. PROJECTS FOR VOCATIONAL/ACADEMIC EDUCATION PROGRAMS**

This section includes \$2,398,000 from the SAFCO for seven projects at four institutions to provide new or remodeled facilities for vocational or academic education programs. The proposals and our recommendation on each are summarized in Table 10.

**No Statewide Plan for Vocational/Education Facility Improvements**

*We recommend deletion of Items 5240-301-036(27) through (31), (33) and (34), \$2,398,000 for preliminary plans, working drawings and construction of new vocational and academic educational facilities, because the department does not have a plan for addressing the need for facilities of this type on a statewide basis.*

The budget includes \$2,398,000 for new and expanded vocational education and academic education facilities. The specific request includes the following:

- *Vocational Education Building, Frontera (\$478,000), Item 5240-301-036(27).* This request is for preliminary plans, working drawings, and construction for a 6,000 square foot building consisting of classrooms, shop areas, offices, restrooms, and storage space. The project will provide three vocational education classrooms for graphic arts, office machines, and electronics. Classroom space will also be provided for data processing and business machine classes.

- *Vocational Education Shops, Vacaville (\$982,000), Item 5240-301-036(28).* This request is for preliminary plans, working drawings, and construction of a 12,000 square foot prefabricated metal building to house four additional vocational shops, including offices, restroom, and classroom areas. The new facility will house vocational programs in electrical, dry-cleaning, heating/air conditioning, and plumbing. According to the department, the programs would interface with existing maintenance and laundry programs and would provide full-time work assignments for 80 inmates.

- *Vocational Education Shops, Soledad (\$440,000), Item 5240-301-036(29).* This item is for preliminary plans, working drawings and construction of a 6,800 square foot pre-engineered metal building, including shop areas, offices, toolrooms, restroom facilities and one classroom. The department has *not* identified the programs to be housed and the number of inmates to be assigned to the programs in the facility.

- *Academic Education Classrooms, Soledad (\$85,000), Item 5240-301-036(30).* This request seeks funds for (1) preliminary plans and working drawings to alter existing space, and (2) construction of new space to provide seven academic classrooms. The proposal includes converting the Catholic chapel into three classrooms, and constructing four classrooms in

a new building adjacent to the remodeled chapel. Each classroom is to be 880 square feet in size. The Protestant chapel will be converted to a multi-denominational space. The department estimates future cost for construction to be \$872,000.

- ***Food Processing and Storage (Work Program), Soledad (\$158,000), Item 5240-301-036(31).*** This item is for preliminary planning, working drawings and construction of a building to house cleaning, processing and storage area for produce grown under the institution's farming program.

- ***Vocational Produce Greenhouse, Susanville (\$77,000), Item 5240-301-036(33).*** This proposal is for preliminary plans and working drawings to construct three 45,000-square-foot greenhouses, a 3,200-square-foot support building, and a water well. According to the department, the new facilities would provide this institution and other unspecified correctional facilities with fresh produce and would employ 30 inmates. The department's estimated future cost for construction of these improvements is \$794,000.

- ***Vocational Chicken Ranch, Susanville (\$178,000), Item 5240-301-036(34).*** This proposal is for preliminary plans and working drawings to construct four egg-laying houses, each containing 16,000 square feet—a total of 64,000 square feet or 1.5 acres. In addition, a 1,600 square foot support building for classroom, processing space, restroom, and storage facilities would be included. The department indicates that the program would produce eggs and poultry for the department's food service program and provide full-time work assignments for 52 inmates. The department's estimated future cost for construction is \$1,550,000.

***Statewide Plan Needed to Evaluate Proposed Facilities.*** Chapter 1, Statutes of 1982 (AB 1403), directs the department to put all able-bodied inmates to work and to seek to achieve the prison system's self-sufficiency through development of prison labor and skills. Thus, the department is under a mandate by the Legislature to establish sufficient assignments in academic/vocational training and industries programs for *all* inmates in the prison system. Based on this mandate, plans for new prison facilities are to include training/work space to provide the work assignments needed for all inmates. The department, however, has not developed plans identifying the improvements that are needed at the existing prisons to meet this mandate.

Based on our review of the proposed work programs at the new Maximum Security Complex at Tehachapi, we concluded that a Statewide Inmate Work Plan was needed. In November 1982, the Chairman of the Joint Legislative Budget Committee requested such a plan from the department. In response, the department indicated that the plan would be available by March 1, 1983. As of January 1984, however, the promised report had still not been submitted. If the Legislature is to have the data it needs to assess the proposed programs and associated funding requirements, an overall plan which addresses statewide needs must be made available. Lacking such a plan, the Legislature is in no position to adequately evaluate the relative priority of the projects included in the budget request.

Moreover, we question the advisability of implementing certain programs as vocational programs, rather than through the Prison Industries Authority. For example, the substantial capital investment for development of vocational programs related to poultry and egg production at Susanville and produce production at Susanville and Soledad are extensive, yet only a few inmates are assigned to participate in the program. In

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

our judgement, these programs *are* industries, and the facilities and operations should be financed through the Prison Industries Authority (PIA). Moreover, establishing these programs under the Prisons Industries Authority would have the advantage of eliminating the need for state funding of capital improvements as well as providing income to PIA for developing additional prison industry programs throughout the correctional system.

Finally, the amount of funds needed for these seven projects cannot be established because the proposed amounts are based on estimates prepared by institutional personnel. The Office of State Architect has not prepared schematic budget plans or cost estimates for the projects. Consequently, adequate architectural/engineering and cost information is not available to the Legislature to substantiate the need for the planning or construction funds proposed in the budget.

In summary, we recommend deletion of \$2,098,000 proposed in Item 5240-301-036 (27) through (34) because (1) a statewide plan for vocational education needs is needed before individual projects proceed, (2) some of the activities planned for vocational programs should be considered for funding through the Prison Industries Authority, and (3) the amount of funds needed for these facilities cannot be determined because adequate architectural/engineering development of the projects has not been completed.

We urge the department to complete the plan it promised the Legislature nearly a year ago (March 1983). If such a plan were available for legislative consideration during hearings on the 1984 Budget Bill, some of the projects requested by the department probably would warrant legislative consideration.

**G. MINOR CAPITAL OUTLAY PROJECTS—STATEWIDE**

The budget includes \$1,764,000 from the SAFCO for minor capital outlay (\$200,000 or less per project) for the Department of Corrections. The request would fund 36 projects at various institutions. Table 11 summarizes this program by descriptive category, and shows our recommendations for each category.

Table 11  
Department of Corrections  
Minor Capital Outlay—1984-85  
Item 5240-301-036 (35)  
(in thousands)

<i>Project Type</i>	<i>Number of Projects</i>	<i>Budget Bill Amount</i>	<i>Analyst's Recommendation</i>
1. Security Improvements.....	6	\$152	152
2. Fire Safety Improvements .....	2	235	85
3. Mitigate Overcrowding.....	13	599	pending
4. Program Improvements .....	13	582	528
5. Maintenance Projects .....	2	196	—
Totals.....	36	\$1,764	pending

### Minor Capital Outlay Program

*We recommend a reduction of \$622,000 in Item 5240-301-001(35) to delete seven projects which are not justified. Further, we withhold recommendation on \$377,000 requested for 10 projects to mitigate overcrowding, pending reevaluation of the need for these projects given the department's current schedule for occupancy of new prison facilities.*

**Projects Recommended for Approval.** We recommend approval of 19 projects totaling \$765,000. These projects include (1) statewide security improvements, such as additional security lighting, construction of security fencing, and installation of hospital security rooms, (2) installation of additional fire hose connections at CTF Soledad, (3) statewide projects to improve programs such as construction of a diet kitchen at CMC San Luis Obispo, construction of weather protection, expansion of prison armory, installation of screens on cell windows, construction of family visiting unit, and modifications to sewage treatment facilities. The requested projects and associated costs appear reasonable and we recommend approval of the \$765,000 request.

**Projects Recommended for Deletion.** Our review of the minor capital outlay projects indicates that seven projects are not justified and should be deleted from the program. These projects include:

- **Improvements to the water system, Susanville (\$90,000)**—the department originally requested \$148,000 for a new well for domestic water at this institution. The proposed request has been reduced to \$90,000 and no information has been provided to indicate the purpose of the proposed funds or the need for a new well.

- **Remodel records office to inmate visiting, Tracy (\$40,000)**—no information has been provided to substantiate the need for this project.

- **Expand ranch dining hall, San Quentin (\$92,000)**—this project would provide for additional seating in the minimum security ranch portion at San Quentin State Prison. Replacement of the ranch dormitories is proposed under the major capital outlay program under Item 5240-301-001(16). Our analysis indicates that in view of the fact that the department intends to abandon (in June 1984) the 1,000 beds currently housed in tent facilities adjacent to the San Quentin ranch, the modular kitchen and dining facilities associated with the tents can be relocated or assigned to service the ranch facilities.

- **Construct canteen building, Tehachapi (\$54,000)**—no information has been provided to substantiate the need for or the cost of this proposed improvement.

- **Construct fire-rated walls, Chino (\$150,000)**—as indicated in our analysis of major capital outlay projects proposed for upgrading of corridors for fire protection, the department has not developed an overall systematic plan for evaluating needs such as this. Accordingly, we recommend deletion of the funds, pending development of a statewide plan.

- **Gunwalk replacement (\$108,000) and gun post replacement (\$88,000), San Quentin**—these two projects would replace existing facilities which have deteriorated. Our analysis indicates that these projects are special repair / maintenance projects which should be funded on a priority basis within existing resources available in the support budget. Accordingly, we recommend deletion of the minor capital outlay funds proposed for this work.

**Projects on Which Recommendation is Withheld.** Of the \$599,000 requested for 13 projects to mitigate overcrowding, we recommend dele-

**DEPARTMENT OF CORRECTIONS—CAPITAL OUTLAY—Continued**

tion of \$172,000 for the projects at Susanville, Tracy, and San Quentin discussed above. The remaining 10 projects in this category total \$377,000 and would provide various improvements to mitigate overcrowding of existing correctional institutions. These projects include expansion of laboratory facilities and hospitals, expansion of receiving and release areas at reception centers, expansion of dental clinics, construction of new showers in areas recently converted to temporary inmate housing, and construction of additional visiting facilities. The department submitted these projects for review by the Department of Finance in May 1983. Since that time, the Legislature has appropriated funds for construction of additional prisons at Vacaville, Ione, and Avenal. Based on the department's schedule for occupying these new facilities, the overcrowding at existing institutions should be diminished significantly. Accordingly, the department should reevaluate the need for these measures in light of the current occupancy schedule. Pending this reevaluation, we withhold recommendation on the balance of projects proposed for mitigation of overcrowding.

**Supplemental Report Language**

For purposes of project definition and control, we recommend that supplemental report language be adopted by the fiscal subcommittees which describes the scope of each of the capital outlay projects approved under this item.

**Projects by Descriptive Category**

To aid the Legislature in establishing and funding its priorities, we have divided those capital outlay projects which our analysis indicates warrant funding into the following seven descriptive categories:

1. Reduce the state's legal liability—includes projects to correct life threatening security/code deficiencies and to meet contractual obligations.
2. Maintain the current level of service—includes projects which if not undertaken will lead to reductions in revenue and/or services.
3. Improve state programs by eliminating program deficiencies.
4. Increase the level of service provided by state programs.
5. Increase the cost efficiency of state operations—includes energy conservation projects and projects to replace lease space which have a payback period of less than five years.
6. Increase the cost efficiency of state operations—includes energy conservation projects and projects to replace lease space which have a payback period of greater than five years.
7. Other projects—includes noncritical but desirable projects which fit none of the other categories, such as projects to improve buildings to meet current code requirements (other than those addressing life threatening conditions), utility/site development improvements and general improvement of physical facilities.

Individual projects have been assigned to categories based on the intent and scope of each project and are identified in Table 12. These assignments do not reflect the priority that individual projects should be given by the Legislature.

**Table 12**  
**Department of Corrections**  
**Projects by Descriptive Categories**  
**1984-85**  
**(in thousands)**

<i>Category</i>	<i>Project Title</i>	<i>Phase</i> <sup>a</sup>	<i>Analyst's Proposal</i>	<i>Estimated Future Cost</i>
1. None				
2. None				
3.	Replace Sewage Collector Lines, San Luis Obispo .....	c	\$1,028	—
	Replace Food Service, Soledad .....	c	1,888	—
4. None				
5. None				
6. None				
7.	Minor Capital Outlay, Statewide .....	pwc	765	—
Total	.....		\$3,681	—

<sup>a</sup> Phase symbols indicate: p = preliminary plans, w = working drawings, c = construction, e = equipment.

### Youth and Adult Correctional Agency BOARD OF CORRECTIONS

Item 5430 from the General  
 Fund and various special  
 funds

Budget p. YAC 34

Requested 1984-85 .....	\$109,633,000
Estimated 1983-84 .....	33,925,000
Actual 1982-83 .....	17,213,000
Requested increase (excluding amount for salary increases) \$75,708,000 (+223 percent)	
Total recommended reduction .....	None

#### 1984-85 FUNDING BY ITEM AND SOURCE

Item	Description	Fund	Amount
5430-001-001—Support		General	\$365,000
5430-001-170—Support		Corrections Training	1,222,000
5430-001-725—Support		County Jail Capital Expenditure	498,000
5430-101-170—Local Assistance		Corrections Training	7,548,000
5430-101-725—Local Assistance		County Jail Capital Expenditure	100,000,000
Total			\$109,633,000

#### SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS

*Analysis  
page*

1. County Jail Construction Program. Recommend board report prior to budget hearings on the program's cash needs in 1984-85.

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**BOARD OF CORRECTIONS—Continued****GENERAL PROGRAM STATEMENT**

The Board of Corrections has three basic programs: (1) inspecting county jails to monitor their compliance with state standards for county jails and providing technical assistance to local governments, (2) awarding grants from the County Jail Capital Expenditure Fund for the construction and remodeling of county jails, and (3) establishing minimum standards for the recruitment, selection, and training of local corrections and probation officers and assisting local governments through grants from the Corrections Training Fund. Revenues to the Corrections Training Fund are derived from penalty assessments on traffic and criminal fines.

The board is authorized 19.9 personnel-years in the current year.

**OVERVIEW OF THE BUDGET REQUEST**

The budget proposes several appropriations from various state funds totaling approximately \$110 million to support the Board of Corrections in 1984-85. This is an increase of \$75.7 million, or 223 percent, over estimated current-year expenditures. This increase will grow by the cost of any salary or staff benefit increase approved for the budget year.

Table 1 shows the board's expenditures, by program and funding source, for the past, current, and budget years.

**Table 1**  
**Board of Corrections**  
**Budget Summary**  
**1982-83 through 1984-85**  
**(dollars in thousands)**

	<i>Actual</i> <i>1982-83</i>	<i>Estimated</i> <i>1983-84</i>	<i>Proposed</i> <i>1984-85</i>	<i>Change from</i> <i>1983-84</i>	
				<i>Amount</i>	<i>Percent</i>
<i>Programs</i>					
1. Inspection and technical assistance	\$110	\$258	\$344	\$86	33%
2. County jail construction .....	10,757	25,453	100,498	75,045	295
Administration .....	(379)	(453)	(498)	(45)	(10)
Local assistance .....	(10,378)	(25,000)	(100,000)	(75,000)	300
3. Standards and training.....	6,346	8,214	8,791	577	7
Administration .....	(683)	(935)	(1,243) <sup>a</sup>	(308)	(33)
Local assistance .....	(5,663)	(7,279)	(7,548)	(269)	(4)
Totals .....	\$17,213	\$33,925	\$109,633	\$75,708	223%
<i>Funding</i>					
General Fund .....	\$110	\$258	\$365	\$107	41%
Corrections Training Fund .....	6,346	8,214	8,770	556	7
County Jail Capital Expenditure Fund	10,757	25,453	100,498	75,045	2957-

<sup>a</sup> Due to a technical error, this amount includes \$21,000 from the General Fund that will be expended by the inspection and technical assistance program.

The major budget changes proposed for 1984-85 involve all three of the board's programs.



## ANALYSIS AND RECOMMENDATIONS

### Inspection and Technical Assistance Program

*We recommend approval.*

The board requests \$344,000 for jail inspection and technical assistance activities in 1984-85. This is an increase of \$86,000, or 33 percent, over estimated current-year expenditures. The higher funding level is requested because (1) the board indicates that in past years it had to leave positions vacant in order to generate savings that could be used to cover operating expenses, and (2) jail inspection program costs inappropriately were charged to the standards and training program and the county jail construction program. Our analysis indicates that the requested funds are justified on a workload basis.

### County Jail Construction

The budget proposes expenditure of over \$100 million for the county jail construction program in 1984-85. This is an increase of \$75 million over current-year expenditures. Expenditures in 1984-85 will be financed by the proceeds from the sale of general obligation bonds approved by the voters at the November 1982 election. Of the \$280 million in bond sales authorized by the voters, the board expects to spend approximately \$25 million in the current year.

**Cash Needs for Jail Construction Program Uncertain** + 152,310,062 per DOF letter  
~~\$50 million per Board~~

*We recommend that the board report to the fiscal committees, prior to budget hearings, on the amount of bonds that must be sold during 1984-85 in order to meet the cash requirements of the county jail construction program.* report

As mentioned above, the board proposes to sell \$100 million in bonds to finance the county jail construction program in 1984-85. A firm estimate of the program's actual cash needs in 1984-85, however, will not be available until after February 1984, when the board will award specific grants to counties. Because projects in different counties will have different cash flow requirements, it will be possible to estimate the program's needs in the budget year only after the grants are awarded.

A reliable estimate of the program's cash requirements is important because if the board's estimate is too low, it is possible that not enough bond funds will be appropriated to support the program in the budget year. This could delay county jail construction projects. On the other hand, if the board's current cash flow projections are too high, interest payments on these bonds would be overbudgeted.

To ensure that the Legislature has the best information available on which to base the appropriation of bond funds for 1984-85, we recommend that the board report to the fiscal committees prior to budget hearings on the amount of bonds that must be sold in 1984-85 in order to meet the cash needs of the jail construction program.

### Standards and Training Program

*We recommend approval.*

The board's budget includes \$8,791,000 for the standards and training program in the budget year. This is an increase of \$577,000, or 7 percent, over estimated 1983-84 expenditures. Increased administrative costs of \$308,000 account for most of the increase. The higher funding level is

**BOARD OF CORRECTIONS—Continued**

requested due to (1) projected increases in the number of law enforcement departments participating in the training program, (2) a \$169,000 research contract for the development of selection standards for local correctional personnel, (3) central administration (pro rata) charges of \$56,000 that will be billed to the board for the first time in the budget year, and (4) a \$21,000 transfer from the General Fund, which due to a technical error, is included in this program, instead of the inspection and technical assistance program. The Department of Finance indicates that it intends to propose amendments to correct this error. On that basis, we recommend approval of the requested funds.

**Youth and Adult Correctional Agency****BOARD OF PRISON TERMS**

Item 5440 from the General  
Fund

Budget p. YAC 40

Requested 1984-85 .....	\$6,374,000
Estimated 1983-84.....	6,304,000
Actual 1982-83 .....	5,258,000
Requested increase (excluding amount for salary increases) \$70,000 (+1.1 percent)	
Total recommended decrease .....	50,000

**SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS**

*Analysis  
page*

1. *Operating Expenses. Reduce Item 5440-001-001 by \$50,000 (General Fund).* Recommend deletion of overbudgeted operating expenses.

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**GENERAL PROGRAM STATEMENT**

The Board of Prison Terms:

- considers parole release for persons sentenced under the Indeterminate Sentence Law, or to life imprisonment with the possibility of parole;
- decides whether and for how long a parolee should be returned to prison for violations of parole;
- reviews sentences of all felons committed to the Department of Corrections to ascertain whether specific sentences conform to those received by other inmates convicted for similar offenses; and
- advises the Governor on applications for clemency.

The board has 112.3 authorized personnel-years in the current year.

**ANALYSIS AND RECOMMENDATIONS**

The budget proposes an appropriation of \$6,374,000 from the General Fund for support of the Board of Prison Terms in 1984-85. This is an increase of \$70,000, or 1.1 percent, over estimated current-year expenditures. This increase will grow by the cost of any salary or staff benefit increases approved for the budget year.

The board proposes to reduce its staff to 110.3 personnel-years in the

budget year, a decrease of two personnel-years from the current-year level. The net decrease results from (a) three hearing representative positions that are no longer needed because the board has developed a more efficient parole revocation hearing process, and (b) one additional clerical position that is justified on a workload basis.

### Operating Expenses Overbudgeted

*We recommend deletion of overbudgeted operating expenses, for a General Fund savings of \$50,000.*

The Board of Prison Terms' budget request includes \$1,847,000 for operating expenses and equipment. Our analysis of the proposed expenditures indicates that \$50,000 of this amount is not justified, as summarized in Table 1. A discussion of the overbudgeted items follows.

**Table 1**  
**Board of Prison Terms**  
**Reductions in Operating Expenses**  
**Recommended by Analyst**

<i>Purpose</i>	<i>Amount Requested</i>	<i>Analyst's Recommendation</i>	<i>Difference</i>
Teale Data Center .....	\$194,000	\$172,000	\$22,000
Telephone service.....	75,000	60,000	15,000
Miscellaneous general expenses .....	19,000	11,000	8,000
Department of Corrections .....	104,000	99,000	5,000
Total .....			\$50,000

**Teale Data Center.** The board's budget includes \$194,000 to pay for data processing services at the Teale Data Center. During the past two years, the board has achieved significant economies in its data processing activities by redesigning programs and procedures. Based on actual charges during 1983, the expected price increase of 4.5 percent during 1984-85, and increased workload, we estimate that the board will incur charges of \$172,000 during the budget year. Therefore, \$22,000 of the amount requested for 1984-85 is not needed, and we recommended its deletion.

**Telephone Service.** The board's budget proposes \$75,000 for telephone services during 1984-85—an increase of about 60 percent over actual 1982-83 expenditures. Our analysis indicates that based on actual charges during 1983, an expected price increase of 25 percent during the budget year, and increased workload, the board will need to spend \$60,000 on telephone services in 1984-85. Therefore, we recommend deletion of \$15,000.

**Miscellaneous General Expenses.** The budget includes \$19,000 for miscellaneous general expenses, which is approximately double actual 1982-83 expenditures. The board has provided no justification for \$8,000 of the requested amount. Therefore, we recommend deletion of this amount.

**Department of Corrections.** The board's budget proposes to reimburse the Department of Corrections \$104,000 for accounting services that the department performs for the board. The Department of Corrections, however, plans to charge the board \$99,000 for these services. As a result, the board's budget can be reduced by \$5,000. Accordingly, we recommend a reduction of \$5,000.

**Youth and Adult Correctional Agency  
YOUTHFUL OFFENDER PAROLE BOARD**

Item 5450 from the General  
Fund

Budget p. YAC 42

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Requested 1984-85 .....	\$2,386,000
Estimated 1983-84.....	2,397,000
Actual 1982-83 .....	2,512,000
Requested decrease (excluding amount for salary increases) \$11,000 (-0.5 percent)	
Total recommended reduction .....	52,000

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**SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS**

*Analysis  
page*

1. *Personal Services. Reduce Item 5450-001-001 by \$52,000.* 1397  
    Recommend reduction to eliminate overbudgeted funds.

**GENERAL PROGRAM STATEMENT**

The Youthful Offender Parole Board is responsible for paroling persons (wards) committed to the Department of the Youth Authority. In addition, it may:

- Revoke or suspend parole.
- Recommend treatment programs.
- Discharge persons from commitment.
- Return persons to the committing court for an alternative disposition.
- Return nonresidents committed to the department to their home states.

The board has seven members who are appointed by the Governor and confirmed by the Senate. It has 39.5 authorized positions in the current year.

**ANALYSIS AND RECOMMENDATIONS**

The budget proposes an appropriation of \$2,386,000 from the General Fund for support of the Youthful Offender Parole Board in 1984-85. This is a decrease of \$11,000, or 0.5 percent, from estimated current-year expenditures. The decrease, however, makes no allowance for any salary or benefit increase that may be approved by the Legislature for the budget year.

The net decrease in the budget year reflects (1) a reduction of \$186,000 in one-time deficiency funds allocated in the current-year to cover the cost of eight employees whose positions were eliminated by the 1983 Budget Act, but whom the board is supporting until other suitable positions can be found, (2) an increase of \$63,000 for board member salaries and benefits authorized by Ch 803/83, (3) an increase of \$53,000 to reflect the full-year cost of compensation increases granted to state employees in the current year, and (4) other miscellaneous adjustments totaling \$59,000.

The budget proposes the reduction of one authorized position in 1984-85 as an efficiency measure. Thus, the board requests authorization for a total of 38.5 positions in the budget year.

**Parole Agent Classification Study Required**

The *Supplemental Report to the 1983 Budget Act* required the State Personnel Board (SPB) to conduct a study of the classification of certain employees of the Youthful Offender Parole Board. Specifically, the Legislature directed the SPB to examine the duties of the board coordinating parole agents, whose responsibilities include various technical and specialized duties related to the parole violation hearing process. The board was asked to determine whether these duties could be performed by employees classified in lower level positions.

The SPB reviewed the personnel specifications for board coordinating parole agents, and compared them to the specifications of two related personnel classifications—parole agent I and parole agent II. The SPB determined that the role of the board coordinating parole agent requires an employee to have more technical legal expertise and a greater ability to work independently than is required for parole agent I and II positions. The SPB concluded that the coordinating parole agent position is properly classified.

**Personal Services Overbudgeted**

*We recommend a reduction of \$52,000 because the board has overbudgeted for personal services (Item 5450-001-001).*

Our review of the Youthful Offender Parole Board's budget indicates that personal services have been overbudgeted by a total of \$52,000 for the following reasons:

1. **Red circle rates (\$31,000).** Existing law provides that a civil service employee may be paid above the maximum step of his job classification provided that (a) the employee was demoted to that classification as a result of reductions in force or other management-initiated changes, and (b) the employee has a minimum of 10 years state service. The salary level received by such an employee is referred to as a "red circle rate." A total of \$31,000 is included in the board's budget in 1984-85 to pay red circle rates for employees who were demoted as a result of staff reductions. The board has indicated, however, that by February 1, 1984, these employees will be placed in other positions with salaries sufficient to eliminate the need for red circle rates. Consequently, the \$31,000 requested for this purpose should not be needed.

2. **Attrition blanket (\$16,000).** The board requests an "attrition blanket" of \$16,000 in 1984-85 to provide funds for salaries and benefits of employees whose positions are eliminated but whom the board will continue to support until other suitable positions are found. Our review indicates that the board proposes to eliminate only two half-time clerical positions in 1984-85. Furthermore, the board traditionally has not filled these positions. Instead, it has contracted with the Youth Authority for the provision of clerical services, in an attempt to consolidate workload in jointly operated field offices. Because it has not filled the positions that are proposed to be eliminated, the board indicates that the related attrition funds should not be needed in the budget year.

3. **Staff benefits (\$5,000).** A total of \$363,000 is provided for staff benefits for board employees in 1984-85. Our review indicates that the amount included for retirement is overbudgeted by \$5,000. These funds are not needed by the board and should be deleted.

**Youth and Adult Correctional Agency  
DEPARTMENT OF THE YOUTH AUTHORITY**

Item 5460 from the General  
Fund

Budget p. YAC 44

Requested 1984-85 .....	\$249,615,000
Estimated 1983-84 .....	241,839,000
Actual 1982-83 .....	230,838,000
Requested increase (excluding amount for salary increases) \$7,776,000 (+3.2 percent)	
Total recommended reduction .....	\$1,649,000

**1984-85 FUNDING BY ITEM AND SOURCE**

Item	Description	Fund	Amount
5460-001-001—	Department support	General	\$182,842,000
5460-001-890—	Department support	Federal	(889,000)
5460-101-001—	Local Assistance	General	66,773,000
Reimbursements			(11,585,000)
Total			\$249,615,000

**SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS**

*Analysis  
page*

1. *Population Increase. Reduce Item 5460-001-001 by \$291,000 (General Fund).* Recommend reduction because ward living costs are overbudgeted. 1401
2. *Staff Reduction Savings. Reduce Item 5460-001-001 by \$256,000 (General Fund).* Recommend reduction to reflect full savings of proposed staff reduction. 1402
3. *Subsistence and Personal Care. Reduce Item 5460-001-001 by \$591,000 (General Fund).* Recommend elimination of subsistence and personal care funds which are not justified. 1403
4. *New Positions. Reduce Item 5460-001-001 by \$109,000 (General Fund).* Recommend that proposed new positions be budgeted at the minimum step of the appropriate salary ranges. 1404
5. *Miscellaneous Equipment. Reduce Item 5460-001-001 by \$54,000 (General Fund).* Recommend reduction to eliminate equipment funds which are not justified. 1405
6. *Youth Service Bureaus. Reduce Item 5460-101-001 by \$348,000 (General Fund).* Recommend deletion of funds for four new youth service bureaus because (1) the request is premature and (2) other funds are available for this purpose. 1407

**GENERAL PROGRAM STATEMENT**

The Department of the Youth Authority is responsible for protecting society from the consequences of criminal activity on the part of young people. The Welfare and Institutions Code directs the department to operate training and treatment programs which seek to correct and rehabilitate youthful offenders, rather than punish them. This mission is carried out through four programs: (1) Prevention and Community Cor-

rections, (2) Institutions and Camps, (3) Parole Services, and (4) Administration.

The department's current-year staffing level is estimated at 4,371.4 personnel-years.

### OVERVIEW OF THE BUDGET REQUEST

The budget proposes total expenditures of \$262,089,000 to support the activities of the Department of the Youth Authority in 1984-85. Table 1 provides a summary of these expenditures and the department's staffing levels, by program, for the past, current, and budget years. As shown in the table, the level of proposed expenditures for 1984-85 is \$7,842,000, or 3.1 percent, higher than estimated current-year expenditures. This increase will grow by the cost of any salary or staff benefit increases approved for the budget year.

**Table 1**  
**Department of Youth Authority**  
**Program Summary**  
**1982-83 through 1984-85**  
**(dollars in thousands)**

<i>Expenditures</i>	<i>Actual 1982-83</i>	<i>Estimated 1983-84</i>	<i>Proposed 1984-85</i>	<i>Change From 1983-84 to 1984-85</i>	
				<i>Amount</i>	<i>Percent</i>
Prevention and Community Corrections	\$67,652	\$68,171	\$69,877	\$1,706	2.5%
Institutions and Camps .....	148,454	160,729	165,853	5,124	3.2
Parole Services .....	24,386	25,232	26,249	1,017	4.0
Planning, Research, Evaluation, and Development .....	1,024	—	—	—	—
Administration					
Undistributed .....	—	115	110	-5	-4.3
Distributed .....	(9,176)	(10,822)	(11,224)	(402)	(3.7)
Totals .....	\$241,516	\$254,247	\$262,089	\$7,842	3.1%
<i>Personnel-Years</i>					
Prevention and Community Corrections	64.2	54.9	52.9	-2.0	-3.6%
Institutions and Camps .....	3,660.8	3,701.0	3,652.0	-49.0	-1.3
Parole Services .....	409.2	379.0	371.5	-7.5	-2.0
Planning, Research, Evaluation, and Development .....	24.2	—	—	—	—
Administration .....	216.3	236.5	233.0	-3.5	-1.5
Totals .....	4,374.7	4,371.4	4,309.4	-62.0	-1.4%

Table 2 summarizes the budget changes proposed by the department for 1984-85, by funding source. As indicated in the table, General Fund expenditures are proposed to increase from \$241,839,000 in the current year to \$249,615,000 in the budget year. The net increase of \$7,776,000 in General Fund support includes \$5,999,000 for state operations and \$1,777,000 for local assistance.

## DEPARTMENT OF THE YOUTH AUTHORITY—Continued

**Table 2**  
**Department of the Youth Authority**  
**Proposed 1984-85 Budget Changes (in thousands)**

	<i>General Fund</i>			<i>Federal Funds and Reim- bursements</i>	<i>Total</i>
	<i>State Operations</i>	<i>Local Assistance</i>	<i>Total</i>		
1983-84 Expenditures (Revised) .....	\$176,843	\$64,996	\$241,839	\$12,408	\$254,247
Proposed Changes:					
Baseline Adjustments					
Inflation Adjustments .....	2,706	1,256	3,962	—	3,962
Full-year funding of 1983-84 salary and benefit increase .....	4,829	—	4,829	—	4,829
Full-year cost adjustments .....	546	173	719	—	719
Current-year population deficiency .....	-1,300	—	-1,300	—	-1,300
Current-year attrition blanket .....	-1,284	—	-1,284	—	-1,284
Subsistence and personal care .....	591	—	591	—	591
Miscellaneous adjustments .....	-82	—	-82	87	5
Workload Adjustments					
Ward population .....	1,073	—	1,073	—	1,073
Staffing efficiencies .....	-1,291	—	-1,291	—	-1,291
YOPB clerical support .....	—	—	—	-21	-21
Proposed Program Changes					
New Youth Service Bureaus .....	—	348	348	—	348
Nelles Public Service Program .....	107	—	107	—	107
Industries/Free Venture Program <sup>a</sup> .....	(60)	—	(60)	—	(60)
Energy Conservation Program .....	104	—	104	—	104
Management Development Pro- gram <sup>a</sup> .....	(42)	—	(42)	—	(42)
M-2 Sponsors <sup>a</sup> .....	(74)	—	(74)	—	(74)
1984-85 Expenditures (Proposed) .....	\$182,842	\$66,773	\$249,615	\$12,474	\$262,089
Change from 1983-84:					
Amount .....	\$5,999	\$1,777	\$7,776	\$66	\$7,842
Percent .....	3.4%	2.7%	3.2%	0.5%	3.1%

<sup>a</sup> Program is funded through redirection of funds budgeted for other departmental functions.

**ANALYSIS AND RECOMMENDATIONS****STATE OPERATIONS**

The budget proposes an increase of \$5,999,000 in the department's operating budget for 1984-85. The increase is the net result of cost adjustments, population changes, personnel adjustments, and various program changes. The department is requesting an increase of \$4,829,000 to pay for the full-year cost of compensation increases granted to its employees in the current year, and \$2,706,000 to adjust operating expenses for the effects of inflation.

A net increase of \$910,000 is requested for population-related changes. This amount includes (1) an adjustment of \$546,000 to pay for the full-year cost of operating the new Oak Glen dormitory, (2) an increase of \$1,073,000 for costs associated with higher population levels, (3) the deletion of the current-year population deficiency allocation of \$1,300,000, and (4) a special adjustment of \$591,000 for subsistence and personal care costs.

The budget also includes reductions in personal services expenditures. According to the Governor's Budget, savings of \$1,291,000 can be achieved in 1984-85 as a result of operating efficiencies. The proposed reduction amounts to 63 positions, or 1.4 percent of the department's currently



authorized positions. In addition, the budget proposes to delete \$1,284,000 used in the current year for salaries, benefits, and operating expenses for employees whose positions were eliminated in the 1982 and 1983 Budget Acts, but whom the department continued to support until suitable positions could be found.

### Population Exceeds Projections

The department's institutions and camps budget for the current year assumes that the ward population would decline from 5,788 on July 1, 1983 to 5,613 by June 30, 1984. The projected decrease in population, however, has failed to materialize. In fact, the department's population was 5,840 at the beginning of the current year and has remained stable since that time. As shown in Table 3, the budget projects that the department's population will remain at 5,840 through the end of the current year.

**Table 3**  
**Department of the Youth Authority**  
**Institutions and Camps**  
**End-of-Year Population**  
**1982-83 through 1984-85**

	<i>Actual</i> 1982-83	<i>Estimated</i> 1983-84	<i>Projected</i> 1984-85
Reception centers (male and female wards) .....	793	670	670
Facilities for male wards .....	4,811	4,954	4,974
Facilities for female wards .....	236	216	216
Totals.....	5,840	5,840	5,860
Change from prior year.....	+77	—	+20

The Department of Finance is proposing to allocate \$1.3 million from the reserve for contingencies or emergencies to the Youth Authority in the current year to offset the costs of the higher-than-anticipated population. The department indicates that these funds will be used to care for increased population by (1) keeping open certain living units at the Youth Training School which had been scheduled for closure, (2) renovating the vacant dormitory over the infirmary at the Preston School of Industry, and (3) overcrowding the department's reception center/clinics.

### Ward Living Costs Overstated for the Budget Year

*We recommend a General Fund reduction of \$291,000 because ward living costs are overbudgeted (Item 5460-001-001).*

The budget projects that the Youth Authority's population will increase from 5,840 at the beginning of the budget year to 5,860 by June 30, 1985. To accommodate this increased population, the department requests a budget augmentation of (1) \$546,000 to provide full-year operating funds for the new dormitory at the Oak Glen Camp, and (2) \$1,073,000 to house additional wards at the Preston School of Industry, the Youth Training School, the Washington Ridge Camp, and the northern and southern clinics.

Our analysis indicates that the department's request is overbudgeted for two reasons. First, in calculating the amount of additional funds needed in the budget year, the department assumed that its 1983-84 budget included funds to house an average monthly population of 5,613. Our review of the 1983-84 budget indicates, however, that the budget provided funds to house an average monthly population of 5,700. Thus, the amount requested by the department for increased population costs includes funds

**DEPARTMENT OF THE YOUTH AUTHORITY—Continued**

for housing 87 wards which are already included in the department's baseline budget. A total of \$211,000 has been overbudgeted as a result of using the wrong population base.

Second, the budget includes \$546,000 to provide funds for the full-year operation of a new dormitory at the Oak Glen Camp. This newly constructed facility, which will house 80 wards, is scheduled to open during the current year. Funding to operate this dormitory for seven months is included in the department's 1983-84 base budget. The additional \$546,000 requested in 1984-85 provides funds for staffing, operating and ward living expenses for the other five months which are not funded in the 1983-84 base. In calculating the amount of additional funds needed for ward living costs in 1984-85, the department included \$80,000 for the increase in the Oak Glen population. Funds for this increase, however, are also included in the \$1,073,000 requested for population increases throughout the system. Thus, these funds have been double-budgeted.

In summary, we recommend a reduction of \$291,000 in overbudgeted ward living expenses, consisting of (1) \$211,000 because the wrong population base was used to calculate budget year costs and (2) \$80,000 which has been budgeted twice for living costs associated with the expanded Oak Glen Camp population.

**Population Projections May Increase**

Chapter 701, Statutes of 1983 (SB 821), provides that in sentencing a person under the age of 21 to serve time in the Department of Corrections, the court may order that the person be transferred to the custody of the Youth Authority. A person transferred to the Youth Authority under this provision would remain with the department until (1) the Director of the Youth Authority orders the inmate returned to the Department of Corrections, (2) the inmate is paroled by the Board of Prison Terms, (3) the term of imprisonment is completed, or (4) the inmate reaches the age of 25. The Director of the Youth Authority has the option of refusing to accept an inmate whose transfer is ordered by the court.

The provisions of Chapter 701 became effective on January 1, 1984. Because the department did not have any experience operating under the act's provisions prior to developing its budget for 1984-85, the effect of the statute is not reflected in the department's population projections. The department indicates that it will better understand the implications of the measure on its population after several months of operating experience. Consequently, the department's population projections may need to be raised to reflect the impact of the legislation. The department advises that these changes, if necessary, will be included in the May revision to the budget.

**Budget Does Not Reflect Full Savings From Staff Reduction**

*We recommend a reduction of \$256,000 in General Fund support (Item 5460-001-001) to reflect the full savings which will result from the proposed 1.4 percent position reduction.*

In the current year, the Department of Finance directed each department to develop a plan to reduce the number of its authorized positions by 3 percent, in order to permanently capture the personnel-year savings which have occurred as a result of the administration's hiring freeze. A total of \$1,291,000 in General Fund support and 63 positions have been cut from the Youth Authority's budget pursuant to this requirement. This is equal to 1.4 percent of the department's total authorized positions. The

amount by which the department's budget has been reduced, however, does not reflect the full cost of these positions in 1984-85.

A total of \$4,829,000 from the General Fund has been added to the Youth Authority's budget for 1984-85 to pay for the full-year cost of (1) the 6 percent salary increase granted to all state employees on January 1, 1984, and (2) special adjustments granted to certain categories of state employees on April 1, 1984. This amount is based on the total number of authorized positions, and is adjusted for salary savings and the salaries of employees who work on special projects which are funded from reimbursements and federal funds. Thus, data received from the department indicates that funds were added to the budget to cover the full-year cost of the positions proposed for deletion.

Our review of the savings associated with the position reductions, however, found that the dollar reduction was calculated using the salary rates in effect prior to January 1, 1984. Therefore, an additional \$122,000 should be deleted from the budget, since an augmentation to continue the 1983-84 pay increase will not be needed for the 63 terminated positions. Furthermore, the department indicates that none of the benefits associated with the deleted positions were removed from the budget for 1984-85. Thus, the department's budget overstates by \$134,000 the amount needed to pay benefits in the budget year. Consequently, we recommend a total reduction of \$256,000 in General Fund support to reflect the full savings from the proposed position reduction.

#### **Subsistence and Personal Care Funds Overbudgeted**

*We recommend a General Fund reduction of \$591,000 to eliminate subsistence and personal care funds which are not justified (Item 5460-001-001).*

The Youth Authority's budget includes funds for subsistence and personal care of wards which are housed in its institutions and camps. These funds cover the cost of food, clothing, medical care, recreation, housekeeping, and various other items of expense. The funds also are used to pay for certain costs associated with the department's parolees. The budget provides a total of \$16,194,000 for these purposes in 1984-85.

Our review of the department's request indicates that funds for subsistence and personal care have been overbudgeted. The amount proposed for the budget year is \$1,320,000, or about 9 percent, higher than estimated current-year expenditures. Allowing for both the population growth projected in the budget and adjustments to offset the effects of inflation, the budget for subsistence should have grown by only \$729,000. The remaining \$591,000 has not been justified, and consequently should be deleted from the department's budget.

Discussions with Youth Authority staff indicate that the \$591,000 was added to the department's budget to cover the following two contingencies in the budget year:

- **Chapter 701, Statutes of 1983 (SB 821) Costs.** As discussed earlier in this analysis, Chapter 701 could result in population increases in the Youth Authority's camps and institutions beyond the level currently projected. The department has indicated, however, that the May revision to the budget will make any necessary changes to account for the effects of Chapter 701. The department's current population projections do not warrant the addition of funds for this purpose.
- **Staff Attrition Costs.** As part of the administration's proposed statewide position reduction, 63 positions are proposed for elimina-

**DEPARTMENT OF THE YOUTH AUTHORITY—Continued**

tion from the Youth Authority's budget. The department indicates that rather than laying off employees, it will support them from an "attrition blanket" until other suitable positions can be found. Because the budget suggests that the reduction is intended to capture savings related to *vacant* positions, it is not clear why funds are needed for an attrition blanket. Moreover, 41 of the 63 positions proposed for elimination are temporary help positions for which no attrition funds should be needed.

If the department requires funds for either of these purposes, the funds should be requested and justified on that basis. Lacking sufficient justification for the \$591,000 requested from the General Fund for subsistence and personal care, we recommend that the funds be deleted.

**New Positions Not Budgeted at Minimum Step**

*We recommend a reduction of \$109,000 in General Fund support to correct for overbudgeted salaries and wages for proposed new positions (Item 5460-001-001).*

The budget proposes to establish 45.5 additional permanent positions for the Youth Authority in 1984-85. Of the total, 19.8 positions are ongoing positions related to the federal Elementary Consolidation and Improvement Act. These positions have been established administratively each year. The budget proposes to establish these positions permanently in 1984-85. Five of the 45.5 new positions actually are existing positions which the department proposes to redirect to new programs. Finally, a total of 20.7 positions are new positions requested for various Youth Authority programs.

According to the State Administrative Manual (SAM) and budget instruction letters issued by the Department of Finance, departments generally must budget for new positions at the minimum step of the salary range of each job classification. Our review of the department's budget indicates that 17 of the new positions are *not* budgeted at the minimum step of their respective salary ranges. These positions are listed in Table 4 along with the monthly salary range, the budgeted amount, and the appropriate entry level amount.

**Table 4**  
**Department of the Youth Authority**  
**Salaries for Proposed New Positions**

Job Classification	Number of Positions	Monthly Salary Range	Annual Salaries (in thousands)		
			Budgeted	Low Step	Difference
Teacher .....	1	\$1,827-2,778	\$33	\$22	\$11
Youth Counselor .....	11	1,239-2,150	249	164	85
Senior Youth Counselor .....	1	1,959-2,360	28	24	4
Group Supervisor .....	3	1,706-1,959	72	62	10
Accounting Technician .....	1	1,214-1,425	14	15	-1
Totals .....	17		\$396	\$287	\$109

As shown in the table, the Youth Authority has overbudgeted by \$109,000 for these proposed new positions. Accordingly, we recommend a reduction of \$109,000 in General Fund support to correct for this overbudgeting.

**Miscellaneous Equipment Funds Not Justified**

*We recommend a General Fund reduction of \$54,000 to eliminate funds for miscellaneous items of equipment that have not been justified.*

The Youth Authority's budget includes \$54,000 for the purchase of miscellaneous items of equipment for which no specific justification is available. The department indicates that these funds provide a reserve for the purchase of replacement equipment for items which are damaged beyond repair during the course of the fiscal year. Such a reserve, however, should not be necessary since the department has the flexibility to defer the purchase of any budgeted item of equipment in the event funds are needed to acquire a replacement for an item which has been damaged beyond repair. Because we have received no information which justifies the appropriation of a contingency amount for equipment, we recommend deletion of the \$54,000 budgeted for this purpose.

**Other Departmental Support Budget Changes**

*We recommend approval.*

The department is proposing total program changes of \$387,000 in its state operations budget. Of this amount, \$211,000 represents increased General Fund support and \$176,000 will be redirected from funds budgeted for other departmental functions. The proposed program changes include:

- **Nelles Public Service.** The department is requesting \$107,000 to establish at the Nelles School a pre-parole program oriented toward public service projects. Wards would be paid a minimal salary for work in the community, as well as work on the grounds of the school.
- **Industries/Free Venture.** A total of \$60,000 and 1.5 staff years will be redirected to plan and develop an institutions industries/free venture program. The purpose of this program is to provide relevant work experience for wards through employment in both the public and private sectors.
- **Energy Conservation.** The budget includes \$104,000 for an energy audit of Youth Authority facilities to determine ways in which energy consumption can be reduced. The funds for this work come from rebates received by the department under the Pacific Gas and Electric Solar Demonstration program for installing solar water heating systems at various Youth Authority facilities.
- **Management Development.** The department is proposing to redirect \$42,000 and 0.5 staff years toward a joint program with the Department of Corrections to develop methods for identifying and training candidates for supervisory and managerial positions. Chapter 1074, Statutes of 1983 required the two departments to develop standards for the selection of correctional peace officers for advanced training, and to develop curricula for the training.
- **M-2 Sponsors.** The budget includes a redirection of \$74,000 to expand the existing M-2 Sponsor program. This program matches volunteer citizens and wards for the purpose of providing social interaction between wards and the community.

Our review indicates that the requested augmentations are reasonable, and accordingly, we recommend approval of these proposed budget changes.

**DEPARTMENT OF THE YOUTH AUTHORITY—Continued****LOCAL ASSISTANCE**

The budget provides a total of \$66,773,000 for the Youth Authority's local assistance programs in 1984-85. This is an increase of \$1,777,000, or about 3 percent, above estimated current-year expenditures. Table 5 provides a summary of local assistance funding, by program, for the past, current, and budget years.

**Table 5**  
**Department of the Youth Authority**  
**Local Assistance Program**  
**(dollars in thousands)**

	<i>Actual</i> 1982-83	<i>Estimated</i> 1983-84	<i>Proposed</i> 1984-85	<i>Change From</i> <i>1983-84 to</i> <i>1984-85</i>	
				<i>Amount</i>	<i>Percent</i>
County justice system subvention .....	\$62,812	\$62,812	\$64,068	\$1,256	2.0%
Delinquency prevention .....	1,500	1,675	2,196	521	31.1
Transportation of wards .....	108	95	95	—	—
Detention of parolees .....	414	414	414	—	—
Totals .....	\$64,834	\$64,996	\$66,773	\$1,777	2.7%

**County Justice System Subvention Program Revised*****We recommend approval.***

Chapter 288, Statutes of 1983 (SB 789) replaced the previous program for providing subventions to counties for crime and delinquency prevention with a new County Justice System Subvention Program (CJSSP). Under the new program, a county can apply to the Youth Authority for a block grant to develop and maintain:

1. Programs for persons who are eligible for commitment to the Departments of Corrections or the Youth Authority, or who are considered to be a high risk of becoming eligible for commitment.
2. Programs for specified minors who are committed to a juvenile hall, juvenile home, ranch, camp, or forestry camp.
3. Programs to prevent crime and delinquency by persons who are not currently under the jurisdiction of the justice system.
4. Services or programs required or authorized by Ch 1071/76 (AB 3121), which made major changes in the way juveniles are processed by the criminal justice system at the local level.

In addition, counties may use the funds to pay for necessary administrative expenses incurred under the block grant program. Funds cannot be used, however, for capital construction, travel outside of the state, law enforcement investigation or apprehension, prosecution or defense expenses (except as required by AB 3121), or costs of confinement or detention prior to sentencing or disposition by the court.

In allocating the funds received under the program, counties are required to give primary consideration to programs which are local alternatives to the commitment of persons to the Departments of Corrections or the Youth Authority. When applying for block grant funds, a county is required to specify how much will be spent for each of the four program categories listed above and how much will be spent for administrative expenses. The legislation authorizes the Youth Authority to reduce a

county's allocation if the county (1) reduces the capacity of its homes, ranches, and camps below the county's 1982-83 capacity level and (2) subsequently increases the number of commitments to the Youth Authority from the county's juvenile court.

The budget includes \$64,068,000 for the CJSSP in 1984-85. This is \$1,256,000, or 2 percent, more than the amount appropriated in the current year. The budget indicates that this increase is a special adjustment to allow counties to maintain or expand existing programs, or to fund new programs.

#### **Funding for Additional Youth Service Bureaus is Premature**

*We recommend a General Fund reduction of \$348,000 to delete funds for four additional Youth Service Bureaus because (1) the request is premature, and (2) other funds are available for this purpose (Item 5460-101-001).*

The department requests an additional \$348,000 to increase from 12 to 16 the number of youth service bureaus (YSBs) it will finance from its delinquency prevention program budget in 1984-85.

The Youth Authority is authorized to provide funds to local YSBs which are designed to (1) divert young people from the justice system, (2) prevent delinquent behavior by young people, and (3) provide opportunities for young people to function as responsible members of their communities. These organizations provide such services as personal and employment counseling, tutoring, crisis intervention, referral services, and community activities, although the program emphases of different YSBs vary considerably. For example, a recent department report indicates that during 1982-83, one YSB devoted 96 percent of its time to counseling activities and the other 4 percent to crisis intervention. During the same time period, another YSB spent only 4 percent of its total service hours on counseling, placing its major emphasis on group education (54 percent of service hours). The Youth Authority's contribution to each YSB is limited by statute to \$87,200, or 50 percent of the organization's budget, whichever is less.

From 1979-80 through 1982-83, the state provided General Fund support for the operation of eight YSBs. The 1983 Budget Act appropriated \$697,600 for the eight existing bureaus, and an additional \$329,000 to expand the number of YSBs by four. The Legislature also adopted Budget Act language directing that the additional funds were to be used for youth service bureaus which emphasized delinquency prevention rather than recreational activities.

In the budget year, the administration is proposing again to expand the number of YSBs by four. This would result in a 100 percent increase in the number of bureaus over a two year period. We recommend that these funds be deleted for two reasons.

**Request is Premature.** In approving the funds for the four additional YSBs in 1983-84, the Legislature also adopted language in the *Supplemental Report to the 1983 Budget Act* requiring the Youth Authority to evaluate the performance of youth service bureaus. The report, which is due to the Legislature by January 1, 1985, will address the effectiveness of YSBs in reducing the severity and frequency of problems for which young people are referred to the bureaus. The Youth Authority's plan to increase the number of YSBs before it completes the study required by the Legislature is premature, since it pre-judges the results of the study.

**Other New Funding Available.** The Youth Authority advises that lo-

**DEPARTMENT OF THE YOUTH AUTHORITY—Continued**

cal governments may use funds received under the County Justice System Subvention Program (CJSSP) to support the operation of YSBs. The budget proposes a total of \$64,068,000 for the CJSSP in 1984-85, an increase of 2 percent above the current-year appropriation. Local governments could use a portion of these funds to finance additional youth service bureaus within the guidelines established for the County Justice System Subvention Program, if they determine that this is a high priority program which will meet the needs of their communities. Given the increased funding level for the CJSSP and the flexibility that local jurisdictions have in the use of these funds, additional funds for YSBs should not be needed in 1984-85.

For these reasons, we recommend deletion of the funds proposed for four additional YSBs, for a General Fund savings of \$348,000.

### DEPARTMENT OF THE YOUTH AUTHORITY—CAPITAL OUTLAY

Item 5460-301 from the General  
Fund, Special Account for  
Capital Outlay

Budget p. YAC 54

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Requested 1984-85 .....	\$3,758,000
Recommended approval .....	2,190,000
Recommended reduction .....	1,482,000
Recommendation pending .....	86,000

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**SUMMARY OF MAJOR ISSUES AND RECOMMENDATIONS**

*Analysis  
page*

1. Transfer to the General Fund. Recommend that total recommended reductions of \$1,482,000 be transferred from the Special Account for Capital Outlay to the General Fund, to increase the Legislature's flexibility in meeting high-priority needs statewide.

1409
2. *New Camp—Rose Valley. Reduce by \$211,000.* Recommend deletion of preliminary planning and working drawing funds for this project because the department has not established the need for additional capacity, and the need to acquire a new camp at this time is questionable. (Future Savings: \$2,625,000)

1410
3. *Vocational Education Shops—Preston. Reduce by \$232,000.* Recommend reduction in order to bring costs for the new vocational shops in line with previously approved costs.

1411
4. *Renovate and Reconstruct Infirmary—Preston. Reduce by \$10,000.* Recommend deletion because the proposed study of the infirmary/pre-forestry building can be accomplished through the department's support budget.

1412
5. New Adjustment Center—Nelles School. Recommend that the department reduce the scope of the project from a 30-bed to a 16-bed adjustment unit. Withhold recommendation, pending receipt of a project cost estimate from the Office of State Architect.

1412



6. *Commissary Addition—Paso Robles. Reduce by \$32,000.* 1413  
Recommend deletion because the department has not justified the need for the additional amount of storage space requested. (Future Savings: \$325,000)
7. *New Maintenance Building—Paso Robles. Reduce by \$220,000.* 1414  
Recommend deletion because the department has not justified the need for additional maintenance space. (Future Savings: \$2,200,000)
8. *Minor Capital Outlay. Reduce by \$777,000.* 1415  
Recommend deletion of five projects which are not justified and sixteen projects for which we have no cost information.

## ANALYSIS AND RECOMMENDATIONS

The budget includes \$3,758,000 from the General Fund, Special Account for Capital Outlay, for seven major capital outlay projects and 36 minor projects for the Department of the Youth Authority. These projects and our recommendations on each are summarized in Table 1.

**Table 1**  
**Department of the Youth Authority**  
**1984-85 Capital Outlay Program**  
(in thousands)

<i>Project</i>	<i>Budget Bill Amount<sup>a</sup></i>	<i>Phase</i>	<i>Analyst's Recommendation</i>	<i>Estimated<sup>b</sup> Future Cost</i>
Industrial Water Line Assessment .....	\$115	c	\$115	—
Rose Valley Camp—Renovation .....	211	pw	—	\$2,625
Vocational Education Shops—Preston School of Industry .....	1,734	c	1,502	—
Renovate and Reconstruct Infirmary—Preston School of Industry .....	10	s	—	1,823
Construct New Adjustment Center—Nelles School .....	86	pw	pending	859
Paso Robles—Commissary Addition .....	32	pw	—	325
Construct New Maintenance Building—Paso Robles .....	220	pw	119	2,416
Minor Projects—Statewide .....	1,350	pwc	<del>578</del>	—
Totals .....	\$3,758		pending	\$8,048

<sup>a</sup> Phase symbols indicate: s = studies, p = preliminary plans, w = working drawings, c = construction.

<sup>b</sup> Department's estimate.

## Transfer to General Fund

*We recommend that the savings resulting from our recommendations on Item 5460-301-036—\$1,482,000—be transferred from the Special Account for Capital Outlay to the General Fund, in order to increase the Legislature's flexibility in meeting high-priority needs statewide.*

We recommend reductions amounting to \$1,482,000 in the Department of the Youth Authority's capital outlay proposal. Approval of these reductions, which are discussed individually below, would leave an unappropriated balance of tideland oil revenues in the Special Account for Capital Outlay, where it would be available only to finance programs and projects of a specific nature.

Leaving unappropriated funds in special purpose accounts limits the Legislature's options in allocating funds to meet high-priority needs. So

**DEPARTMENT OF THE YOUTH AUTHORITY—CAPITAL OUTLAY—Continued**

that the Legislature may have additional flexibility in meeting these needs, we recommend that any savings resulting from approval of our recommendations be transferred to the General Fund.

**Industrial Water Line Assessment**

*We recommend approval of Item 5460-301-036(1).*

The budget includes \$115,000 under Item 5460-301-036(1) to fund an adjustment claim for final costs associated with the State's portion of the upgrade of the Industrial Water Line Project. This project has been undertaken jointly by Amador County, the cities of Jackson, Sutter Creek and Amador City, the Amador Regional Sanitation Authority (ARSA), the Preston School of Industry and the State Water Quality Board, in order to eliminate sewage effluent from discharge to surface drainage and improve the Preston School's industrial water conduit system.

The state initially transferred \$219,000 to the ARSA in 1976 when work began on this project. A provision in the contract between the state and the ARSA requires that a cost adjustment be made upon completion of the project. A final accounting of project costs indicates that the state's share of the final project cost is \$334,000, or \$115,000 more than has been paid to date. This adjustment is consistent with the contractual agreement and we recommend approval of the \$115,000 under Item 5460-301-036(1).

**Rose Valley Camp**

*We recommend deletion of Item 5460-301-036(2) because (1) the department has not established the need for additional capacity for the Youth Authority system, and (2) the need to add a camp at this time is questionable. (Future Savings: \$2,625,000).*

The budget includes \$211,000 under Item 5460-301-036(2) to convert a youth conservation camp owned by the U. S. Forest Service into a youth authority camp. The funds are requested to develop preliminary plans and working drawings to remodel the Rose Valley Camp in Ventura County. The department estimates that the future cost for this project will be \$2,625,000.

The Rose Valley Camp was last operated by the U. S. Forest Service in 1981. At that time, the camp had a population of 60. The department is proposing a number of modifications to make the Rose Valley Camp "compatible" with the needs of the Youth Authority. These modifications include, remodeling of the dormitory, kitchen and dining areas, administration and education buildings and vehicle maintenance. The department also plans to construct a new commissary warehouse and an addition to the dormitory. Other improvements include, refurbishing and enlarging the existing power plant, reworking the water and electrical distribution systems and general site improvements. After modifications, the camp will provide space for 100 wards.

**Additional Capacity Not Needed.** The department bases its decision to remodel the Rose Valley Camp on its latest population projections for the youth authority institution and camp system. According to the department, the system has a capacity for 5,830 wards, including a six percent overcrowding capacity (326 beds). The budget indicates that the institution/camp ward population on June 30, 1983, was 5,840, is projected to be 5,840 on June 30, 1984, and 5,860 by June 30, 1985. Thus, the population is fairly stable and nearly equal to existing capacity. Moreover, construction

of the adjustment center at the Fred C. Nelles School (Item 5460-301-036(5)) would, if our recommendation is approved, add 16 beds to the system's existing capacity. Consequently, we do not believe the department has justified the need for additional capacity.

**Camp Solution is Questionable.** We have additional concerns regarding the department's decision to establish a new forestry camp to accommodate the department's population. During recent years, the characteristics of the ward population have been changing. The department is now dealing with more sophisticated and violence-prone individuals for whom placement in a camp program is not necessarily appropriate.

Moreover, the department has indicated in another budget proposal that it is experiencing some difficulty in identifying qualified wards for its Transitional Residential Program (TRP). This program permits wards who meet specific criteria to spend the final three months of their institutional stay in a community facility. The TRP program relies on the same "pool" of wards as the camp program. Consequently, we would expect the department to experience the same difficulty identifying qualified wards to fill a new forestry camp facility.

Because (1) the department has not established the need for additional capacity and (2) the need to add a new camp at this time is questionable, we recommend that Item 5460-301-026(2) be deleted, for a savings of \$211,000 (Future savings: \$2,625,000).

#### **Vocational Education Shops**

*We recommend that Item 5460-301-036(3), construct new vocational education shops, be reduced by \$232,000 to bring the costs for this project in line with previously approved costs.*

The budget includes \$1,734,000 under Item 5460-301-036(3) to construct a 17,320 square foot vocational education building at the Preston School of Industry in Ione. The building will provide five new vocational trades classrooms for 75 wards. The Legislature appropriated \$42,000 in the 1979 Budget Act to fund preliminary plans and working drawings for this project. The amount requested in the budget year is for construction of the vocational facility.

The Preston School presently has an average daily population of 574 wards. Existing educational and training facilities, however, are only adequate to serve a population of 415 wards. The department indicates that additional vocational programs will provide job experience and allow the wards to be involved in productive work and earn wages. In addition, these vocational programs produce products which are either sold to the public or are used by the Youth Authority.

The proposed building will provide shops for air conditioning and refrigeration, auto body and fender, trowel trades, industrial painting, and will increase space for the welding program. This proposal is the same as the one approved by the Legislature in 1979.

While we agree with the need for this project, the proposed cost of \$77.00 per square foot for the new vocational shops is too high. The Legislature approved preliminary plans and working drawings for this project in 1979 at a cost of \$42 per square foot. This was also the basis of the State Public Works Board approval of preliminary plans for allocation of the working drawing funds. Updating that figure for inflation, the cost per square foot of the new building should be approximately \$62 per square foot. The Office of State Architect (OSA), however, has designed the building at the higher cost per square foot, according to the most recent OSA project estimate.

**DEPARTMENT OF THE YOUTH AUTHORITY—CAPITAL OUTLAY—Continued**

We recommend that the Legislature reduce this item to conform with the \$62 per square foot cost. Our analysis indicates that at this level, the balance of funds required for the project should be \$1,502,000. This includes \$1,282,000 for construction, \$64,000 for contingencies, \$67,000 for Group II equipment and \$89,000 for contract administration. Consequently, we recommend that Item 5460-301-036(3) be reduced by \$232,000 to bring the costs for the new vocational education shops at Preston into line with past legislative approval.

**Renovate Preston Infirmary—Study**

*We recommend that Item 5460-301-036(4) be deleted because a study of the infirmary/pre-forestry building can be accomplished within the department's support budget.*

The budget includes \$10,000 under Item 5460-301-036(4) to conduct a study to determine methods for eliminating seismic and fire/life safety hazards in the infirmary/pre-forestry building at the Preston School of Industry.

The OSA conducted a study of this building in 1975. The need to reevaluate the building may be appropriate, especially since the department has made an administrative decision to use a portion of the building as a dormitory. Studies of this nature, however, should be financed in priority using consultant services funds in the department's support/operations budget. The need for additional funding has not been substantiated.

If the department does conduct a study of the infirmary/pre-forestry building, however, we suggest that the study be conducted within the following parameters:

- The building should be used only as an infirmary, since the Youth Authority system does not, at this time, need an additional 60-bed capacity.
- The seismic safety of the building should be evaluated using the methodology developed by the Seismic Safety Commission.
- The study should take into consideration the infrequent amount of seismic activity in the Preston/Ione area.

Because such a study can and should be funded on a priority basis from the department's support budget, we recommend that the funds be deleted from Item 5460-301-036(4), for a reduction of \$10,000.

**New Adjustment Center—Nelles School**

*We recommend that the department reduce the size of the proposed project from 30 to 16 beds, which is consistent with prior legislative approval. We also recommend that the department provide an accounting to the Legislature as to why this project was not completed as originally intended. We withhold recommendation on funding for the project, pending receipt of a revised cost estimate reflecting the reduction in the scope of the project.*

The budget proposes \$86,000 under Item 5460-301-036(5) to fund preliminary plans and working drawings for a 30-bed adjustment center at the Fred C. Nelles School in Whittier. Adjustment centers are facilities which provide security space for wards requiring lock-up or temporary detention.

**Background.** The Legislature appropriated \$336,000 in the 1981

Budget Act for the purpose of constructing a *16-bed modular* adjustment center at the Nelles School. According to the department, this project was never completed because construction bids were higher than anticipated. Consequently, the project was deferred and the construction funds have reverted. During legislative hearings on the 1981 proposal, the department maintained that this project was critical. On this basis, the Legislature appropriated funds for preliminary plans, working drawings and construction. In view of the department's previous stipulations to the Legislature, we believe that prior to budget hearings, the department should provide the Legislature with an accounting of this project, and an explanation for why it has not been completed as the Legislature originally intended.

**Current Proposal.** The department is proposing in the budget year to construct a new *30-bed* adjustment center. The existing adjustment center at the Nelles School has a 20-bed capacity for lock-up wards and a 30-bed capacity for protective custody wards. As was the case in 1981, the department indicates that the major reason for constructing the new facility is to separate the protective custody wards from the lock-up wards. The lock-up and protective custody cases currently are located in different wings of the adjustment center and the department indicates that the lock-up wards are disruptive and intimidating to the protective custody wards.

This project would also provide additional space for protective custody. Construction of an adjustment center would allow the existing 20-bed lock-up unit to be converted to a protective custody unit, thereby increasing capacity for this purpose to *50 beds*.

The department has not provided adequate justification for the construction of a new *30-bed* (rather than a 16-bed) adjustment center at the Nelles School. Lacking this justification and given the Legislature's previous action to approve the construction of a 16-bed adjustment unit at Nelles, we recommend that the proposed project be reduced in scope to provide a 16-bed adjustment unit. The department, in conjunction with the Office of State Architect, should prepare a revised budget estimate for a 16-bed adjustment unit and submit it to the Legislature prior to budget hearings. Accordingly, we withhold recommendation on Item 5460-301-036(5), pending receipt from the department of a revised cost estimate for a 16-bed adjustment unit.

#### **Addition to Commissary—Paso Robles**

*We recommend that Item 5460-301-036(6) be deleted because the department has not provided sufficient information to justify the additional amount of storage space requested, for a savings of \$32,000. (Future savings: \$325,000)*

The budget includes \$32,000 under Item 5460-301-036(6) to construct an addition to the commissary building at Paso Robles. This addition would provide for an additional walk-in freezer, refrigerator storage boxes, pallet rack system and an automatic fire control sprinkler system. Future cost for construction is estimated by the department to be \$325,000.

The department indicates that the present commissary (5,750 square feet) does not provide adequate storage space for the number of commodities which are purchased by the school. Bulk food shipments are received approximately every two months and the department indicates that it has, on occasion, rented additional storage space and/or stored items in other areas of the school. In addition, the department indicates

**DEPARTMENT OF THE YOUTH AUTHORITY—CAPITAL OUTLAY—Continued**

that the State Fire Marshal has cited the school for creating a fire and safety hazard when the overflow of items is stored in other buildings and/or in aiseways.

The department's proposal calls for a 3350 square foot addition to the existing warehouse, at an estimated total project cost of \$357,000.

It is not clear why the department is requesting a warehouse addition which is over half-the-size of the present facility, particularly given the absence of any information describing how the existing space is used or how the additional space would be utilized. The department should provide information indicating the amount of existing space for refrigerated storage, freezer storage and dry storage, and what additional amounts of space are required for each of these categories. Without this information, we have no basis on which to evaluate the request.

The department also indicates that because of the lack of warehouse space, the school has been forced to occasionally rent additional warehouse space. The department has not provided any information, however, describing the frequency of such occurrences, the rental costs which have been incurred, or an estimate of the potential cost savings if the new commissary addition is constructed.

Furthermore, we have not yet received a cost estimate for this project from the Office of the State Architect (OSA). Until this information is provided, we have no basis to evaluate the adequacy of the amount proposed in the budget.

Because the department has not provided adequate information to justify the request for funding of an addition to the commissary, we recommend that Item 5460-301-036(6) be deleted, for a savings of \$32,000. (Future savings: \$325,000)

**Construct New Maintenance Building—Paso Robles**

*We recommend that Item 5460-301-036(7) be deleted because the department has not justified the need for a new maintenance building, for a savings of \$220,000. (Future savings: \$2,200,000)*

The budget includes \$220,000 under Item 5460-301-036(7) for preliminary plans and working drawings for a new maintenance building at Paso Robles, and conversion of the existing maintenance building into an industrial arts/pre-vocational facility. The new 15,200 square foot maintenance building would be located between the inner and outer security fences east of staff housing. It would also have an attached 1,600 square foot maintenance garage area, 8,500 square feet of attached covered storage and parking and a 2,400 square foot detached paint and glazing shop. Future construction costs for the new maintenance facility and conversion of the existing maintenance building is estimated at \$2,200,000.

**Existing Situation.** The present maintenance facility is located adjacent to the education department in a building which originally was designed and used for maintenance and industrial arts/vocational education. Although the maintenance department now occupies the entire building, the department states that the facility is inadequate for this use for two reasons, (1) the facilities are not large enough for present needs, and (2) the location, near the educational classrooms, creates a security hazard (theft of maintenance materials, etc.).

The department also indicates that present industrial arts and vocational classroom space is inadequate to meet the needs of the school. Convert-

*new approval of \$119,000  
for PW only for new  
beds*

ing the existing maintenance building into an industrial arts/pre-vocational center would relieve overcrowded classrooms and allow the addition of new vocational trade offerings.

**Need For Project Not Substantiated.** The existing maintenance facility is 14,924 square feet in size and was designed to provide sufficient space for maintenance operations at the Paso Robles School. Since the school has not increased in size, it is not clear why the present amount of maintenance space is inadequate, particularly since the maintenance operation now occupies an *entire* building which originally was designed for use by both maintenance and vocational education.

Moreover, the department has not justified the need for constructing the proposed maintenance building *outside* the security area. Maintenance facilities at other institutions in the Youth Authority system are located inside the security area, and the department has not indicated why the Paso Robles maintenance facility cannot be secured within the school complex. In addition, it is questionable that building the maintenance facility outside the security fence area will eliminate the referred-to security hazard, since the wards that work with the maintenance staff would continue to have access to maintenance materials.

On the other hand, our analysis indicates that the need for additional vocational education/industrial arts space may be justified. The maintenance function occupies space that originally was constructed for vocational education and there appears to be an overcrowding problem in this area. The project included in the budget, however, does not specifically address this problem. Instead the project would provide new maintenance space and secondarily allow the vocational/education program to re-occupy the space it previously had.

In any event, the department has not provided adequate information regarding either the vocational/education program or space it needs. Consequently, we recommend deletion of the \$220,000 requested for a maintenance building. (Future savings: \$2,200,000).

In our judgment, a proposal which specifically addresses the space needs of vocational programs would warrant legislative consideration. Such a proposal should, at a minimum, include information on:

- The present size of existing vocational/industrial arts facilities, and the number and types of programs offered.
- The space requirements for vocational education and the number and types of additional programs to be added.
- The cost-effectiveness of (1) remodeling existing facilities, (2) converting a portion of the existing maintenance building back to use for industrial arts, and (3) constructing a new addition for vocational/industrial arts education.

#### **Minor Capital Outlay**

*We recommend that Item 5460-301-036(8), minor capital outlay, be reduced by \$777,000 to eliminate funding for five projects which are not justified, and sixteen projects for which we do not have sufficient cost information.*

The budget proposes \$1,350,000 under Item 5460-301-036(8) for 36 minor capital outlay projects for the Department of the Youth Authority. These projects are summarized, by category, in Table 2. Our analysis indicates that 15 of the requested projects are justified and the associated costs (\$573,000) are reasonable. Consequently we recommend approval of \$573,000 under Item 5460-301-036(8). The remaining 21 projects costing

**DEPARTMENT OF THE YOUTH AUTHORITY—CAPITAL OUTLAY—Continued**

\$777,000, however, have not been justified. These projects, with which we have concerns, are discussed below.

**Table 2**  
**Department of the Youth Authority**  
**1984-85 Minor Capital Outlay Projects by Category**  
**(in thousands)**

<i>Category</i>	<i>Budget Bill Amount</i>	<i>Analyst's Recommendations</i>
Correct fire and life safety deficiencies .....	\$52	\$6
Improve institution and camp security .....	502	69
Improve and expand existing facilities.....	618	320
Projects to provide energy savings .....	178	178
Total .....	\$1,350	\$573

**Perimeter Fence Security Alarm.** The budget includes \$150,000 to install an electronic, zoned sensitivity device on the perimeter fence at the Youth Training School (YTS). This device would provide improved security to the isolated areas of the existing fence. The department acknowledges that the YTS has a low incidence of escapes, but that the fence is needed because of public concern over recent escapes from other prison institutions.

The department has not identified any problems with the existing 16-foot perimeter fence, or indicated that it is incapable of providing sufficient security for the school and the surrounding community. Moreover, the department has not provided any information on recent escapes from the YTS or how the proposed project would reduce such escape risks. Consequently, we recommend that the funds for this item be deleted.

**Cottage Security Fences.** The budget includes \$100,000 to install security fences around the recreation areas of ten cottage living units at the Nelles School. The department indicates that the installation of these fences will provide a secure outside recreation area for each cottage, reduce escapes from these areas, and permit nighttime ward recreational activities in short daylight months.

The Nelles School presently is surrounded by a 16-foot high perimeter fence. Installation of 10-foot fences around individual cottage recreation areas is not needed to insure the security of the school, and will do little to prevent escapes from the recreation area. Moreover, the department has not indicated that any wards are being denied recreation time because the recreation areas are not fenced. Up to fifteen wards are allowed in the outside recreation area in the evening, and each living unit also has a dayroom for other recreational activities. Because the department has not justified the need for this project, we recommend that the funds be deleted.

**Fire Safety Projects.** The budget includes funding for two fire safety projects. A total of \$11,000 is provided for a sprinkler system in the upholstery shop at the Nelles School, and \$20,000 is budgeted for a smoke detection system in the industrial arts shop at the O.H. Close School. These systems are not required by code and the department has provided no justification for them. Consequently, we recommend the \$31,000 be deleted.

**Increase Preston Dining Facilities.** The budget includes \$50,000 for modifications to the dining facility at Preston. The dining facility presently



serves approximately 450 wards, but can only accommodate 100 wards at any one time, and consequently, Preston operates four to five "shifts" per meal period. The department indicates that existing policy requires that each ward be given 30 minutes to receive and consume food. According to the department, however, the number of meal shifts requires that those wards who eat in later shifts take only 15 to 20 minutes for their meal. The department's proposed solution would modify an adjacent dining area to provide two additional dining rooms for feeding wards.

The space that the department proposes to remodel originally served as a dining area for the Preston School. The department has submitted no information to justify \$50,000 worth of modifications to an area which previously has been used as a dining facility. If additional room for ward dining is needed, the school should be able to reopen the vacant dining room at little or no cost. Consequently, we recommend that the funds for this project be deleted.

*Projects with Inadequate Cost Information.* The budget includes two projects for which the funds provided in the budget do not equal the cost estimates prepared by the department. One project, to install evaporative coolers in the kitchen and dining areas at Nelles School, is estimated by the department at \$14,000. The Department of Finance (DOF) indicates, however, that this project has been expanded to include evaporative coolers for the classrooms and is now estimated at \$35,000. We have received no new cost estimate or a description of the additional work to be performed from either the DOF or the department.

Another project, to construct patio covers on living cottages at Paso Robles, is estimated by the department to cost \$101,000. The budget, however, provides only \$70,000 in minor capital outlay for this project, and we have no information describing what work will be done for this amount.

Adequate justification for these projects has not been provided and we have no basis for determining the adequacy of the funds included in the budget. Consequently, we recommend deletion of funds for these projects for a savings of \$84,000.

*Projects with Insufficient Information.* The budget also includes funds for 14 projects for which the department has not provided sufficient justification or information to justify the cost estimate. These projects are listed below.

*now recommend approval of these projects*

Project	Location	Department's Estimate
Exhaust Fans in Shop .....	Nelles	\$3,000
Remodel Control Entrance .....	Nelles	50,000
Perimeter Fence Alarm .....	Preston	25,000
Security Fence for Recreation Area .....	N.R.C.C.	8,000
Sallyport .....	N.R.C.C.	25,000
Yuba Hall Conversion .....	Karl Holton	50,000
Replace Observation Post .....	Y.T.S.	75,000
Administration Building Corridor .....	O.H. Close	4,000
Modify Central Adm. Building .....	N.C.Y.C.	15,000
Modesty Shields .....	N.R.C.C.	20,000
Entrance to Dining Room .....	N.R.C.C.	15,000
Dust and Chip Removal System .....	O.H. Close	12,000
Enlarge Day Room .....	Oak Glen	50,000
Enlarge Freezer Space .....	N.R.C.C.	10,000
Total .....		\$362,000

**DEPARTMENT OF THE YOUTH AUTHORITY—CAPITAL OUTLAY—Continued**

We have no analytical basis for determining the adequacy of the funds included in the budget, or what the amounts included would be spent for. Therefore, we recommend deletion of \$362,000 proposed for these projects.

**Supplemental Report Language**

For purposes of project definition and control, we recommend that supplemental report language be adopted at the time of budget hearings which describes the scope of each of the capital outlay projects approved under this item.

**Projects by Descriptive Category**

To aid the Legislature in establishing and funding its priorities, we have divided those capital outlay projects which our analysis indicates warrant funding into the following seven descriptive categories:

1. Reduce the state's legal liability—includes projects to correct life threatening security/code deficiencies and to meet contractual obligations.
2. Maintain the current level of service—includes projects which if not undertaken will lead to reductions in revenue and/or services.
3. Improve state programs by eliminating program deficiencies.
4. Increase the level of service provided by state programs.
5. Increase the cost efficiency of state operations—includes energy conservation projects and projects to replace lease space which have a payback period of greater than five years.
6. Increase the cost efficiency of state operations—includes energy conservation projects and projects to replace lease space which have a payback period of less than five years.
7. Other projects—includes noncritical but desirable projects which fit none of the other categories, such as projects to improve buildings to meet current code requirements (other than those addressing life-threatening conditions), utility/site development improvements and general improvement of physical facilities.

Individual projects have been assigned to categories based on the intent and scope of each project. These assignments do not reflect the priority that individual projects should be given by the Legislature.

The industrial water line assessment (\$115,000) falls under category one. The vocational education shops at the Preston School (\$1,502,000) fall under category three and the fifteen minor projects (\$573,000) fall under category seven.