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TE FOR ECONOMIC AND POLICY STUDIES, INC.

Correctional Economics Center

901 N. Washington St., Alexandria, Virginia 22314

✓ Cost Analysis of
Correctional Standards:

✓ MAINE

NCJRS

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ACQUISITIONS

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Foreword

The Cost Analysis of Correctional Standards project was one component in a larger LEAA-funded effort entitled, The Correctional Standard, Accreditation Program (CSAP). Other components included a Standards Management Team (SMT) at the state level to oversee the self-evaluation and planning processes, the Commission on Accreditation for Corrections to assist in developing comprehensive plans and supervise the accreditation process, and Analogs, Inc., to evaluate the entire program.

A key assumption underlying CSAP was that technical and financial resources would provide the necessary incentive for state correctional agencies to enter an otherwise voluntary accreditation process and ultimately to implement standards developed by the profession. This approach is a marked departure from many federal initiatives which either disburse funds with few, if any, constraints attached (revenue sharing) or create elaborate regulations for determining eligibility and "acceptable" programs (categorical grants). CSAP, however, took the body of standards developed by the Commission on Accreditation for Corrections as representing a preferred corrections policy and attempted to facilitate change by providing the wherewithal to evaluate policies, procedures and operations on a comprehensive state-wide basis. An added incentive was the prospect of funds for implementation, if states showed progress toward complying with so-called "no-cost" standards during the first funding cycle.

Within this context, the principal objective of the Cost Analysis project was to estimate the cost of complying with corrections standards. This objective was consistent with prior work by the Institute for Economic and Policy Studies/Correctional Economics Center which estimated the costs of complying with standards in 45 Washington State jails and with those promulgated by the National Advisory Commission on Criminal Justice Standards and Goals. However, a unique feature of the project was the 865 standards and some 65 organization units involved. Another feature was the development of guidelines which others who entered the accreditation process could use to project standards' compliance costs. Unlike a methodology that focuses narrowly on a few standards or a limited set of compliance alternatives, this one must be applicable in a wide variety of settings and accommodate a host of different departures from accepted practices. Work is still continuing on describing the procedures used in this project so that they can be tested by others.

Results presented in this and other state reports are intended to increase the information available to policy-makers who must make the difficult choices regarding the quality of correctional services in their state. Costs, however, are only one kind of information that enters the decision-making process and often are the least important. Personal values, concern for the human condition, local politics and tradition are but a few of the considerations which temper a preference for decisions based solely on rational, economic criteria.

Billy Wayson
Alexandria, Virginia
December, 1979

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The following list of people are some of those who were helpful in providing data for this project. The primary data collectors were the Standards Management Team:

- Robert Greene at Central Office,
- Don Saastimoinen at MSP, and
- Dick Thayer at MCC.

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 - Stephen Petley, Bureau of Public Improvements
 - Stewart Sabeau, Bureau of Purchases
2. Maine Criminal Justice Academy
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My special thanks in this project belong to our architectural consultant, Ms. Maria Teresa Cruz-Garcia, who provided invaluable knowledge and assistance on the capital aspects of this report.

EXECUTIVE SUMMARY

As a result of its self-evaluation, the Maine Bureau of Corrections demonstrated an overall 52.7 percent compliance rate with the Commission on Accreditation (CAC) Standards for Adult Correctional Institutions (See Appendix 1 and 2). Individually, the Maine State Prison had a total compliance rate of just under 50 percent of the standards, and the Maine Correctional Center complied with approximately 55 percent. In examining the total compliance rate against the CAC standards weighting factors, Maine's two institutions complied with 52 percent of the "essential," 62 percent of the "important," and 60 percent of the "desirable" standards. By institution, the Maine Correctional Center complied with 54 percent of the essential, 66 percent of the important, and 60 percent of the desirable standards; whereas the State Prison complied with 49 percent of the essential, 57 percent of the important, and 60 percent of the desirable standards.

The total costs for the State to come into compliance with CAC standards are as follows: system-wide, compliance costs range from \$13,765,100 to \$21,857,100; for the Maine State Prison, the range is \$12,363,825 to \$20,455,825; and for Maine Correctional Center, it is approximately \$1,346,000. Capital expenditures account for the largest proportion of the total cost at around \$15,000,000 (with another \$2 million going towards capital-related equipment costs), but non-capital costs are significant at approximately \$1,000,000. Aside from capital, the other costs, in order of significance, include personnel, additional funds, and purchase of services (Chapter 5 provides a summary of these cost factors).

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CHAPTER 1

INTRODUCTION

PURPOSE OF REPORT

The intent of this analysis is to assist the state in estimating the actual costs of complying with correctional standards. Its primary objective is to facilitate policy choices by providing planning information for administrators and legislators alike. In addition, this report may be used as a basis for comparison with other states to determine total costs of complying with individual as well as groups of standards. Since the analysis is intended for a broad audience, detailed description of the state correctional system facilities and programs has been incorporated in this report for those unfamiliar with the system.

ANALYTICAL PROCESS

At the risk of oversimplification, the process employed in analyzing compliance costs for the 465 CAC Standards for Adult Correctional Institutions involved four steps. These were: 1. Examination of potential impacts on resources; 2. Determination of data sources and data collection; 3. Determination of current rates of compliance for each facility; and 4. Application of cost estimates for the necessary improvements through a case study of each facility.

The first step was to examine standards for potential resource impacts, the degree to which these impacts could be measured, and the type of cost associated with implementation by standard accounting principles. The second step was to associate these information needs with various data sources. The latter included budgets, expenditure reports, personnel records, grant applications, special surveys and possible published information sources such as annual reports, comprehensive planning reports, etc. The third step was the determination of the current standards compliance rate via self-evaluation. The purpose of using compliance rates is to estimate

the additional costs associated with the standards implementation. The fourth and final step in the process involves the application of cost estimation using a case study method for each facility. This involved interviews and site visits for each of the facilities. Maine's plans of action of June 1, 1979, were used as the basis for these case studies. Throughout the entire process, there was close contact maintained with the Standards Management Team in order to retrieve all the necessary information. After the site visits were completed, follow-up data collection was done extensively by telephone. In this way, the state could respond to additional data requests needed for CEC cost estimation. Whenever the necessary data could not be found, or simply was not available, surrogate measures were used as a basis for estimating costs. For example, the cost of construction of a gymnasium at MSP (to meet standards #4419) are based on a similar unit recently built at Maine's Correctional Center (with appropriate modifications in the cost estimate due to size of the inmate population and other economic factors, especially rising costs).

UNIQUE STATE CONSIDERATIONS (GROUP COST SETS: REFERENCE LIST OF STANDARDS)

Several policy issues may be raised in discussion of the standards and compliance costs. Questions surrounding the accuracy of the estimates are among the most common. It must be stressed that the actual estimate will not be an absolute figure. Rather it will vary depending on whose needs the cost report figures are intended to satisfy, i.e., administrators, line staff, trainers, etc. For example, the actual costs of meeting the training standards at MSP will include a certain percentage of the requested Training Coordinator's time in Central Office as well as the new staff, a Training Officer at MSP and OT costs. The scope of training costs actually

goes beyond the training section of the standards, since training is mandated by related standards in other sections (see also 4182, 4237 at MCC).

In terms of capital, the costs will also vary depending upon the price of materials and labor at the time the building is begun, or equipment purchased, etc. Thus it is apparent that the dollar amount of complying with standards will vary depending upon which set of standards is in question. Likewise, a definite dollar figure cannot always be attached to any particular standard. In other words, the question of how much it costs to comply only with standard #4090 (New Employee Training) may not easily be answered. The importance of 'interrelatedness' cannot be over-emphasized here. Finally, there may be ranges attached to each capital option (e.g., high range for 80 sq. ft. per cell as opposed to the low range for 60 sq. ft. per inmate).

The actual dollar figure noted in the final list is necessitated by the total sum of resources requested to meet the standards. Yet this dollar figure is provided only for a particular select group (or subset) of standards. The reader must keep in mind, then, that the costs associated with these standards relate to and also subsume a larger group of standards. (See now Appendix 3: Group Cost Sets - Reference List of Standards.)

For example, the Central Office staff (Asst. Bureau Director) will also be needed to comply with standard numbers 4018 and 4100, which deal with planning and evaluation. Likewise, the Program Development and Training Coordinator necessary for 4088 (Training Supervision) is also required by Standard #4092 (Direct Contact Training). Thus, the costs involved with these new staff persons are only listed once. (See Appendix

for groupings.) Usually costs have been noted with the first standard that calls for the resources. Similarly, with respect to capital or physical plant standards, the costs are only mentioned once even though they may be required by several standards.

In sum, we find that, although there are 94 cost standards at Maine State Prison, 48 of these can be referenced to some other standard to determine their costs. Thus, these 'reference' standards actually have costs which are hidden within other standards (simply by nature of their position or place in the total set of standards). At MSP, then, this leaves 46 standards for which there are 'unique' costs, or for which the attached costs have been described. It is imperative that this method of assigning costs be understood before exploring the financial section of this report any further.

Ideally, it would have been preferable for the state to identify the actual hours, percentage of time or resources devoted to each individual standard. For example, if a Human Services Worker III was requested to meet standards in the Social Services, Inmate Supervision, and Classification sections, there could be a partitioning of time necessary to comply with each of these standards. However, this was not the case here since we were not able to ascertain this level of detailed information.

ASSUMPTIONS

Several assumptions underlying this report should be made explicit. First, whenever additional or new personnel were requested, their salary was calculated on the basis of the beginning or starting pay for the appropriate classification and range. For instance, a Guard or Correctional Officer I position, which is a range 12, will start at a salary of \$9,817.60 (with fringe benefits being added to that base).

Second, non-capital cost standards at MSP (especially requests for additional personnel), are based on the present population and operating capacity. If this were to change due to renovations and/or new construction, a major reallocation of existing resources would inevitably occur (see section on MSP Physical Plant). In addition, some present renovations that are now planned may have to be excluded, e.g., security bars for the East Wing or building a new watch tower.

Third, the reader should be able to distinguish between one time expenditures as opposed to ongoing costs, i.e., the cost of achieving compliance versus that of maintaining compliance. Essentially, the capital cost standards (those concerned with facility and equipment needs) will require a one-time outlay of funds. Conversely, the operating standards are usually going to entail outgoing costs. Standard #4182 (Specially Trained Unit) is one of the few exceptions to this general rule. Once this particular standard is complied with, there will only be limited ongoing costs (due to turnover). Lastly, yet not the least important, these cost estimates are, in many instances, relatively gross indicators of future

expenditures. Therefore, they should be used as an indicator of the relative magnitude of financial requirements to be accredited rather than as a definitive statement of future financial obligations. If any further word of caution is in order, the reader should keep in mind that these estimates are in terms of 1979 dollars. There has been no attempt to anticipate future inflation rates in making these estimates. However, most of the expenditures are likely to occur two to three years hence with a much deflated dollar.

COST ANALYSIS AND COST ESTIMATES

A common question of policy makers is what is the cost of complying with standards. As discussed in a prior section (Unique State Considerations), compliance costs will vary by CAC category or area, such as Training, Security, etc. In addition, the response to the question of compliance costs will often vary according to the vantage point of the questioner.

Legislators, for example, may only be looking at costs in terms of additional monies for the next fiscal year. One technique for incorporating these different perspectives is to partition the cost estimates. Thus, the cost figures provided herein may be partitioned in a number of ways:

1. Resources above and beyond the organization's current year budget;
2. Dollar value of reallocated resources, either from one function to another or one subunit to another;
3. Cost of work-in-progress before accreditation that will bring agency into compliance;
4. Conflicting estimates prepared by difference sources.

Resources Above and Beyond the Organization's Current Year Budget

This group of resources represents the dollar figure that is over and above the current level of operations for the upcoming budget year. The actual cost figures can be found in the summary tables and are explained in the section on compliance costs. Although these costs on the surface appear to be the most significant to an agency because of the budget process, the next group (reallocated resources) may be greater in terms of annual resources (time, staff, etc.).

Dollar Value of Reallocated Resources

It is difficult to estimate the dollar value of resources affected by this category. There are probably numerous policies and procedures that have been changed or impacted in some way by the standards. Many of the so-called "no-cost" standards, such as those requiring annual reviews of daily operating procedures, fall into this category.

An effort was made to specify the unique resource requirements associated with reaching compliance with each standard. However, it was not always possible to allocate the costs when a resource required for one standard also led to compliance with another. For example, the standards dealing with Classification, Inmate Supervision and Counseling often required the same new staff to comply. Yet when allocation was not possible the total cost of a factor was listed for one standard only.

For the state of Maine, we are unable to arrive at even a rough estimate of reallocated resources since the data provided is insufficient to determine the costs. There are certain standards, however, which can and will be met simply through the reallocation of slack resources. The following standards fall into this category: #4010, Monitor Operations; #4021, Internship Program; and #4094, Advisory Training Committee at MSP; #4093, Administrative Training at MSP and MCC. In other words, they will

require, say, one week of the Deputy Warden's time on an annual basis (see #4021), yet, the addition of new staff is not really necessary.

Another example of this type pertains to supplies necessary to carry out additional training. Although the state has not identified any costs as such, they most likely plan to assume these administrative costs elsewhere. In most cases, however, these costs may be considered marginal¹ at best.

Cost of Work in Process Before Accreditation that will Bring Agency into Compliance

This means that the facility will comply with the standards by means of the work that has already begun or plans are underway to take action to comply. For example, at the Correctional Center, \$40,000 was allocated by the legislature during the 78-79 session to install an electronics system for the roof. In addition, a second sally port is planned at MCC (under this same standard) for which funds have also been appropriated. Standards #4153 and #4251 at MSP both fall into this category, since their situation is similar with monies already available. This set of expenditures, then, will not fall into the category of new monies for the next year's budget.

Conflicting Estimates Prepared by Different Sources

There are a few standards where cost estimates differed between those prepared by the state as opposed to those from CEC, due to standards interpretation by the Commission or some other factor. One dealt with the physical plant and the establishment of a preventive maintenance plan. The state had requested a set of power shears, but this was not included in the summary table, because the CAC interprets the standard as requiring only a plan (not its implementation). A second example relates to Standard

#4165 where the state requested a new Guard Sergeant to be responsible for security equipment. They have also requested a Guard Sergeant elsewhere (under Inmate Rules, 4318) and an additional Training Officer as well. It was determined by CEC staff that one of these new positions, along with existing staff, could be reallocated to assume this function.

For Standard #4372, which deals with Classification, the plan of action submitted calls for three new Classification Program Officers. This information was based on a study funded by LEAA to determine needs in this area at the prison. Yet ranking prison officials, when asked about this estimate, stated this request was unnecessary. Thus, an internal dispute brings this particular request into question. The estimate used within this report (see summary table) is based upon the initial request made in the plan of action.

The final standard in question at MSP deals with facilities for psychotic inmates (4277). The CAC interpretation states that appropriate facilities do not necessarily have to be on premises, but may well include referral to another agency or location. Based on this interpretation, it was determined that Standard 4277 cannot be considered as a cost standard.

At MCC, the only real question arose with cell size for segregation inmates. Since segregation cells are 80 square feet and inmates are locked in their cells longer than the ten-hour period, they are not now in compliance. They have assessed themselves in compliance (based on 60 square foot needs) with the standard. They will need to alter their schedule or procedure; otherwise, it will necessitate renovations to meet this standard.

CAPITAL COST METHODOLOGY

Renovation and new construction estimates required an especially elaborate methodology. In some instances the Bureau had already developed detailed plans, yet in other instances no such plans existed. In either case, it was necessary for the Correctional Economics Center staff to have a means of independently verifying cost estimates provided by the agency when they were available and to develop the estimates when the Bureau was unable to provide them.

The estimates are based upon the national per unit cost of reconstructing various functional areas in a facility, controlling for level of security, and adjusted for regional variations in wage rates and materials. In effect a hypothetical institution was developed in terms of basic functional modules, for example, visiting areas, dormitory, kitchen, programs, and individual housing. The potential changes were categorized into new construction, major renovation and minor renovation. A cost per square foot was developed according to the extent of change for each of the functional areas. When relevant, the unit costs varied further by security level. This approach permitted an estimate of meeting a standard cost with the least amount of information. A cost estimate could be calculated using the description of the deficiency in the Plan of Action and the blue prints for the facility supplied by the Bureau of Public Improvements. The figures derived from this approach, although crude, are sufficiently reliable to be used for verification of Bureau estimates and to serve as the foundation for preliminary planning for a facility.

FOOTNOTES: Chapter One

1. In other words, the costs are not so significant as to warrant breaking them out into a separate set or group of costs.

CHAPTER 2
SYSTEM OVERVIEW

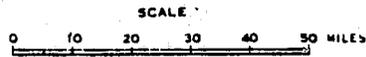
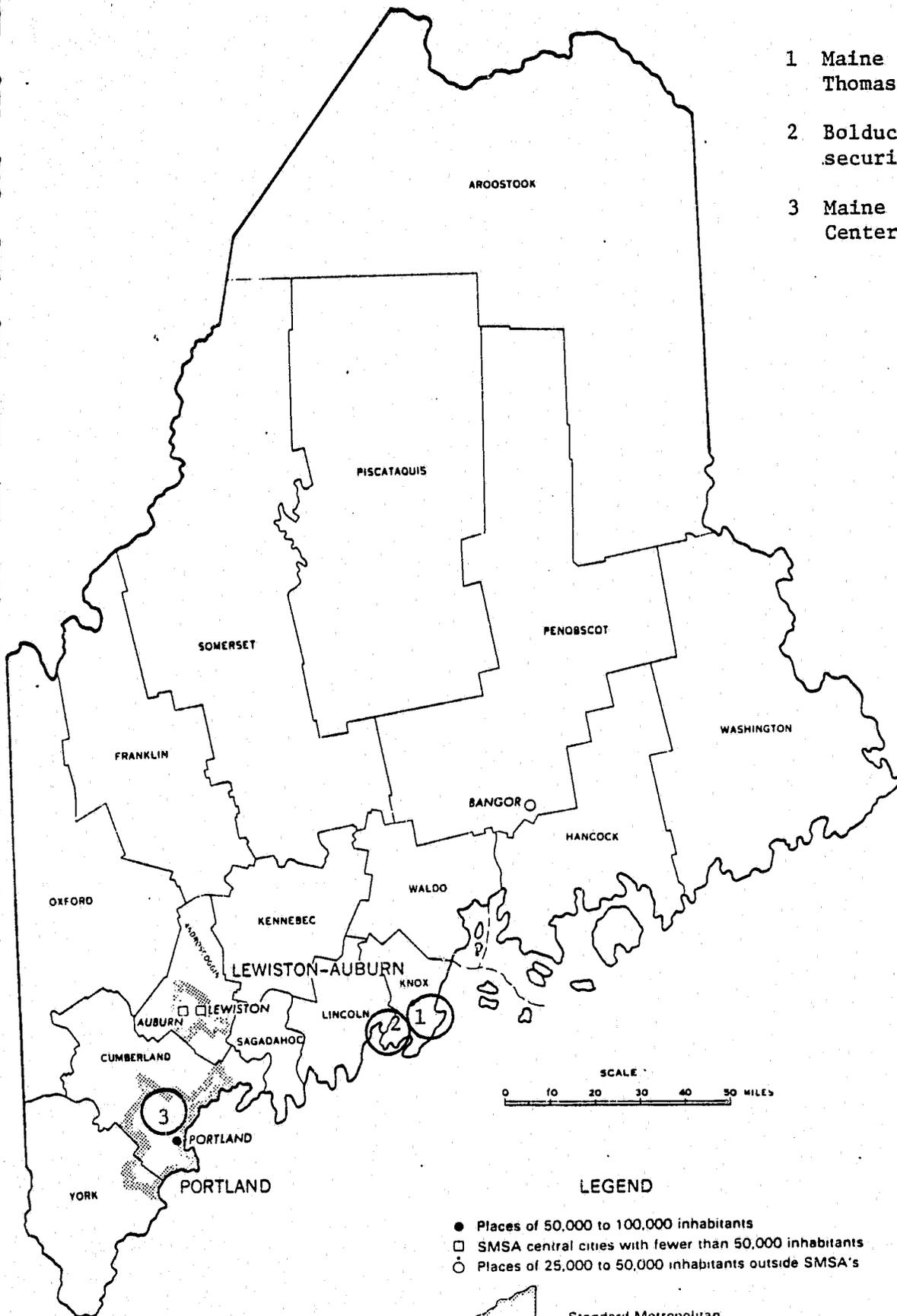
FUNCTIONAL DESCRIPTION: GENERAL RESPONSIBILITY

The Bureau of Corrections is responsible for the Correctional Programs within Maine State Prison, Maine Correctional Center, Maine Youth Center and the Division of Probation and Parole. It adopts and implements correctional treatment programs, including work release and establishes regulations for and permits the furlough of prisoners within institutions under its jurisdiction. The Bureau expends correctional institutional appropriations on persons participating in halfway house, pre-release, vocational training, educational, drug treatment, and other correctional programs physically removed from the person's assigned institution in order to defray the costs of their participation. The Bureau of Corrections may assist in or provide correctional services throughout the state in accordance with Maine law.¹

The State of Maine no longer has authority to place inmates on parole. That function was abolished under a 1974 law requiring all adjudicated felons to serve their full sentence.

Only the two major institutions for adults were included in the standards accreditation project. Therefore, this report will focus on the Maine State Prison, Maine's Correctional Center, and the related Central Office functions at the Bureau level. Maine Correctional Center will include the women's program and the Southern Maine Pre-Release Center adjacent to the grounds. The Maine State Prison will also take into account the Bolduc, or Minimum Security Unit (located near the prison grounds) as well as the Bangor Pre-Release Center. For purposes of this

- 1 Maine State Prison, Thomaston
- 2 Bolduc Unit (minimum security), So. Warren
- 3 Maine Correctional Center, Windham



LEGEND

- Places of 50,000 to 100,000 inhabitants
- SMSA central cities with fewer than 50,000 inhabitants
- Places of 25,000 to 50,000 inhabitants outside SMSA's

Standard Metropolitan Statistical Areas (SMSA's)
Population data as of July 1975; SMSA definitions as of June 1977

U.S. DEPARTMENT OF COMMERCE
BUREAU OF THE CENSUS

Source: City and County Data Book, U. S. Bureau of the Census, 1977.

report and for a summary of client data, refer to page 16.

MINIMUM SECURITY FACILITIES²

Minimum security facilities within Maine's correctional system include two Pre-Release Centers: Bangor and Southern Maine PRC, and the Bolduc Unit, which is located in South Warren near the grounds at Maine State Prison. Bangor PRC is located on the grounds of the Bangor Mental Health Institute, and Southern Maine PRC is adjacent to MCC.

Both Bangor and Southern Maine PRC's serve as work-release facilities. Those inmates with six months or less remaining on their sentences may be eligible for such programs. The Bolduc Unit, formerly the prison farm, is utilized as housing for those offenders sentenced to MSP, yet are classified as minimum security risks. The Bolduc Unit operates the vocational programs, in addition to utilizing resources at the State Prison as well.

PROGRAMMATIC DESCRIPTION³

Maine's correctional system includes four basic sentencing options: Maine State Prison, Maine Correctional Center, Split Sentence, and Probation. Pre-sentence takes place at the court's discretion.

Offenders from Maine Correctional Center and Maine State Prison may move through the system by being transferred, placed on work release or discharged from sentence. Transfer locations include Bangor, Bolduc, Southern Maine Pre-Release, halfway houses and county jails (for work release). Maine Correctional Center offenders also may be placed on home release. Split sentence is a sentence to Maine State Prison and Maine Correctional Center followed by a period of probation. Offenders with sentences of less than five years and women offenders are usually sentenced

to Maine Correctional Center. A more detailed description of these facilities and programs available will follow (see Chapter 4).

NATIONAL SCOPE AND COMPARISON

Maine incarcerates 146 persons per 100,000 populations, which places it 39th nationally.⁴ However, they tend to have a higher than average proportion of inmates housed in maximum security. Maine houses over one-half of its population in its maximum security facility (the State Prison). Meanwhile, about one-fourth of the inmate population is classified as having medium security needs, and the remaining one-fifth, or 20 percent, under minimum security. When a comparison is made on a regional basis, it illustrates that Maine has a large proportion of inmates needing maximum security custody (55% to 46%); while, at the same time, the percentage classified as medium security is below the Northeast average (25% as compared with 33%).⁵

SUMMARY OF CLIENT DATA⁶

Inmates' prior residences give an indication of the areas of potential program needs. There are four counties which account for over one-half of the admissions to Maine State Prison and Maine Correctional Center. They include:

- Cumberland Co. (Portland) ⁷	17.7%
- Penobscot (Bangor)	12.9%
- Kennebec (Augusta and Waterville)	10.2%
- Androscoggin (Lewiston and Auburn)	9.9%

Functional Summary of Correctional System

Maine

<u>Organizational Unit</u>	<u>Normal Operating Capacity</u>	<u>Clients under Supervision</u> ¹	<u>Age Range</u> ²	<u>1978 Admissions</u>	<u>1978 Terminations</u>
Maine Correctional Center (medium-minimum)	201	196	18-26	436	411
Maine State Prison (maximum)	401	427	27 and over	336	305

¹Average Daily Population: This figure also includes the Bolduc Unit or Minimum Security Unit, which is located about five miles from the prison. For Maine Correctional Center this figure includes the Southern Maine Pre-Release Center which is a Minimum Security Unit as well as the Women's program.

²Although both facilities by statute can house any adult male offenders over the age of 18, Maine Correctional Center generally has a younger population while Maine State Prison is used for those inmates with long-term sentences, recidivists, etc. Consequently, the average age of the inmate population at Maine Correctional Center is much lower (approximately 19 years) than that of Maine State Prison (27 years).

Source: Ms. Anita Gerard, Statistician for the Department of Mental Health and Corrections, Central Office. Based on calendar year 1978 data.

The map on page 13 shows the location of Maine's correctional facilities. Only the Bangor Pre-Release Center is located within an urban area. MCC and the Southern Maine Pre-Release Center have limited access to resources in Portland. They do not have public transportation available.

The preceding chart illustrates the present population capacity figures at the two institutions. As shown herein, the operating capacity for MSP is about twice as large as that for MCC. Recently, both institutions have been operating right at capacity levels.

Bed space projections have also been determined for the upcoming year (see Appendix 4). Such projections consider recent determinate sentencing legislation that was passed (and mentioned earlier). According to several state officials, ⁸ this legislation has had a significant effect, resulting in a substantial increase in the population. Consequently, the inmate population over the last five years has nearly doubled, which has burgeoned the crowded conditions that presently exist.

FINANCIAL OVERVIEW OF SYSTEM

The total expenditures for Maine's correctional system⁹ (excluding capital) exceeds seven million dollars (see Table I). While MCC expends approximately two and one-half million (or 35%), MSP's expenditures are more than four million dollars (or 60%). The remaining \$345,000 can be attributed to the Central Office (which includes both the Bureau of Corrections and its ancillary services). The Bureau itself is comprised of seven staff persons in the Central Office. Proportionately, the Central Office operations account for about five percent of the State's correctional expenditures.¹⁰

Table 1

Fiscal Summary of Expenditures
Maine Expenditures 1979¹

Organizational Unit	Total Excluding Capital	Personnel			Non-Personnel	
		Subtotal	Salaries and Wages	Fringe Benefits ²	Operating Costs ³	Plant and Equipment
Maine State Prison (59.6%)	\$4,244,700	\$3,057,500 (72%)	\$2,465,700 (80.6%)	\$591,800 (19.4%)	\$1,187,200 (28%)	\$57,600
Maine Correctional Center (35.5%)	2,531,200	2,028,700 (80.1%)	1,745,400 (86%)	283,300 (14%)	502,500 (19.9%)	5,600
Departmental Operations (Central Office) (4.8%)	345,000 ⁴	300,000 ⁵ (87%)	258,800 (86.3%)	41,100 (13.7%)	45,000 (13%)	---
Total	7,120,900	5,386,200 (75.6%)	4,469,900 (93%)	916,200 (17%)	1,734,700 (24.4%)	63,200

¹Rounded to the nearest hundred.

²Fringe benefits as calculated here include employee maintenance, employer retirement costs, state share of health insurance, clothing for employees, disability compensation, and medical and hospital workman's compensation.

³Includes food and fuel.

⁴The Central Office expenditures include both the Bureau of Corrections and a percentage of the support services (Commissioner's Office and Administrative Services). 37 percent is the figure that is used. It was decided that this proportion is the most appropriate in discussion with Ronald Martell, Associate Commissioner for Administration.

⁵Personnel figured here includes the Bureau personnel as well as a calculated percentage (37%) for support services. Approximately \$90,000 out of the personnel subtotal is for Bureau staff only.

Source: Information provided by the Associate Commissioner and Chief Accountant for Maine Department of Mental Health and Corrections.

COST OF NON-COMPLIANCE STANDARDS AT THE BUREAU LEVEL

In this section of the report, an explanation is provided for the cost estimates outlined in the summary tables that follow (see Table II). The standards will be discussed in terms of the CAC categories, beginning with Administration. The Departmental operations (referring to the Bureau of Corrections) will be discussed first with the two institutions to follow.

For both MSP and MCC, there are certain standards that have been treated at the Central Office level in terms of the costs necessary to comply. These include the following standard numbers: 4011 (Program Analysis), 4088 (Training Supervision), and 4117 (Identify Needs). They call for three additional staff members at the Bureau level, an Assistant Bureau Director, Program Development and Training Coordinator, and a Planning Analyst.¹¹ These three staff positions are also assumed under a number of other standards as shown in Appendix 3.

The needs for additional staff being requested are based on the shortfall of the current level of resources available. Presently, there is no one conducting the annual systematic evaluations of institutional programs. With respect to training, there is a Training Officer at the Maine Criminal Justice Academy (who provides training for both law enforcement personnel and corrections) yet there is no one at the Central Office to coordinate this function. (and develop curricula for non-security staff as well). Finally, the third position request at Central Office relates to a Planning Analyst. Although there is a central planning staff for Mental Health and Corrections, they are usually responsible for ad hoc type program requests. The need exists for one staff person to be in charge of systematic planning, needs assessment, and management information for corrections.

TABLE 2

MAINE BUREAU OF CORRECTIONS

STANDARD BY COST FACTOR FOR CENTRAL OFFICE

Standard Weight	Description	New Personnel	Overtime	Equipment	Supplies	Facilities		Purchase of Services	Additional Funds	Total
						New	Renovate			
<u>Administration</u>										
4011E	Program Analysis	18,948.71		373.00	50.00					19,371.71
<u>Training</u>										
4088E	Training Supervision	18,281.11		373.00	50.00					18,704.11
<u>Management Information Systems</u>										
4117E	Identify Needs	16,665.03		373.00	50.00					17,088.03
TOTALS		\$53,894.85		\$1,119.00	\$150.00					\$55,163.85

The Assistant Bureau Director will be primarily responsible for the coordination and evaluation functions mandated by the standards,¹² while the Planning Analyst will be in charge of the management information systems and program planning in effect at the major institutions. Centralized planning for such needs as inmate work programs and vocational training is presently deficient for both of the adult institutions.¹³ The position of Training Coordinator has been requested along with institutional trainers at each facility (see the sections on training) in order to increase the current level of effort devoted to training and, consequently, to meet the standards.

FOOTNOTES: Chapter Two

1. Maine State Government, Annual Report (77-78)
2. Ibid.
3. Ibid.
4. Refer to LEAA data (12/78) illustrating incarceration rates and states' ranking (NCCD and National Moratorium data).
5. Prison Population and Policy Choices, Vol. I.
6. Op. cit.
7. Major urban areas within these counties are in parentheses.
8. Re: Effects of no parole.
9. This does not include the Maine Youth Center, Probation and Parole or the Juvenile Intake Program.
10. Ibid.
11. Also note: the cost for these three additional personnel include \$423.00 per person for desk and furnishings accompanying the positions.
12. Administrative Assistant to the Director of the Bureau of Corrections, but this position is temporarily on loan from the Maine Correctional Center.
13. Statement made by Bob Greene in interview.

CHAPTER 3

MAINE STATE PRISON

INTRODUCTION

Maine State Prison (MSP) is the maximum security facility for adult males (18 years of age and older) incarcerated within the state. It is located in Thomaston, Me., off U.S. Highway #1, which is approximately 40 miles southeast of Augusta. Situated near the coast, MSP has limited access to community resources.

The primary characteristics which distinguish the prison as a maximum security facility are: a) perimeter security represented by a wall and towers manned by armed guards, b) tight internal security, and c) self-contained programs, whereby most programs at MSP operate inside the prison walls. Fifty-five percent of the Bureau's total bed capacity is of the maximum security type available at MSP. The facility has an overall operating capacity of 401 inmates.

Several living areas at MSP, especially the East wing and security units, are in need of renovation to improve safety and living conditions. (See especially, Physical Plant Standards 4141, 4142, 4143 re: design cap., cell size and furnishings.) In addition, the gymnasium currently being used is inadequate to meet the needs of a maximum security prison. While the floors need refurbishing, the building itself is too small and is also in need of repair. Alternative strategies will be discussed for addressing such inadequacies to improve the physical facility at MSP through renovation (of housing) and construction, i.e., new gym, and other key program areas.

Programs at MSP include various prison industries, education, an

inmate novelty program, psychiatric and psychological treatment. In the program area, their strategies include plans for upgrading the Industries program and providing mental health services.

An examination of inmate population characteristics shows MSP with the highest percentage of inmates convicted of property offenses (41.2%). Crimes against persons accounted for 39.6% of their admissions. In terms of sentence length, statistics illustrate: a) 7.7% of the inmates with sentences of six months or less, b) 9.7% had sentences ranging from 7 months to one year, c) roughly 60% of those admitted had sentences from one to five years, and d) the remaining 20% had sentences ranging from 5 years to life.

The majority of offenders over 27 years of age are sent to MSP. Potential management problems exist at MSP due to the presence of an increasing number of inmates with lengthy sentences. Since the abolition of parole, these inmates have no hope for early release.

COST OF NON-COMPLIANCE STANDARDS AT MSP

Out of 233 non-compliant standards, there are 94 standards that will require funding to comply at the MSP.² Of this total, just over one-half, i.e., 48 standards, are 'reference' standards whose costs can be determined by referring to another standard (see Appendix 3: Group Cost Sets - Reference List of Standards). This leaves 46 actual cost standards remaining, of which 14 have potential capital cost implications.

Since there are numerous cost related standards at MSP, the approach taken here will be sequential in discussing prison operations. With the exception of some specific estimates that were provided by MSP staff, the capital cost estimates will be treated separately since they are so

interrelated (see section on Capital Construction/Renovation Cost Estimates at the end of this chapter). The following areas are deficient at MSP, in terms of CAC standards, and will result in the compliance costs which are described below: Fiscal, Training, Physical Plant, Security, Supervision, Special Management Inmates, Food Service, Sanitation, Medical, Rules, Reception, Classification, Work Programs, Library, Recreation, and Social Services. Although there were non-compliant standards in several other CAC categories, the ones discussed here are most problematical in terms of additional resources necessary to comply (refer to Table 3).

Administration

The first standard having major cost implications for the prison is #4017. This deals with constructive programs, and is a rather broad statement of reference to the more specific program categories that follow. For a full explanation of program requirements which will mandate capital changes, refer to the section on capital for MSP. ³ Standard #4021 is one of several standards (4093 and 4094 also fall into this group) where additional personnel time on the part of an administrator or department head was identified, yet they did not require new staff persons to comply. It was decided to treat these as costs that shall be covered by slack resources. This will especially be true, if one assumes all of the other staff additions that are called for. Thus, this may free up some time of the present administrators to perform these additional duties.

Fiscal

Standard #4051 would necessitate an additional Accountant I in order to perform internal audits, according to the Business Manager at MSP. ⁴ This standard calls for both internal and independent audits of the

TABLE 3
MAINE STATE PRISON

STANDARD BY COST FACTORS

Standard Weight	Description	New Personnel	Overtime	Equipment	Supplies	Facilities		Purchase of Services	Addit'l Funds	Total
						New	Renovate			
<u>Administration</u>										
4017 E	Constructive Programs			832,500.00 ¹			---	6,094,000.00 ²	---	6,926,500.00 ³
4021 I	Internship Program									Slack Resources ⁴
<u>Fiscal</u>										
4051 E*	Audits	11,920.27		373.00	50.00					12,343.27
4054 E	Commissary Controls	9,893.61								9,893.61
<u>Training</u>										
4090 E	New Employee Training	14,709.90		373.00	50.00		2,400.00 ⁵			17,532.00
4091 E	Annual Training		22,089.60							22,089.60
4092 E	Direct Contact Training		58,339.20							58,339.20
4093 E	Administrative Training									Slack Resources
4094 E	Advisory Training Committee									Slack Resources
4097 E	Weaponry Training		4,417.92	1,200.00	675.50				273.40	6,566.32
<u>Physical Plant</u>										
4141 E*	Design Capacity)						---	7,995,000.00 ²	---	7,995,000.00 ³
4142 I*	Cell Size)									
4143 E*	Cell Furnishings			1,090,000.00 ¹						1,090,000.00 ³
4146 E	Preventative Maintenance	23,149.09 ⁶								23,149.09
<u>Security</u>										
4153 E	Watch Towers			6,828.00		22,000.00				28,828.00
4165 E	Control of Firearms			32,980.00						32,980.00
4182 I	Specially Trained Unit		8,496.00							9,746.40
4186 E	Emergency Equipment Testing			13,315.00			39,325.00	1,200.00	50.40	52,640.00
<u>Supervision</u>										
4196 E	Counseling by Staff	15,305.98		373.00	50.00					15,728.98

TABLE 3
MAINE STATE PRISON

STANDARD BY COST FACTORS (CONTINUED)

Standard Weight	Description	New Personnel	Overtime	Equipment	Supplies	Facilities		Purchase of Services	Addit'l Funds	Total
						New	Renovate			
<u>Sp. Mgmt. Inmates</u>										
4203 I	Segregation Unit Conditions			96.00						96.00
4204 E	Non-Isolated Segregation			600.90						600.90
4212 E	Seg Telephone Privileges			90.00						90.00
4213 E	Shave & Shower Frequency	11,669.91								11,669.91
4215 E	Exercise	11,669.91								11,669.91
<u>Food Services</u>										
4232 E	Appeal of Food	23,339.82		11,914.00						35,253.82
<u>Sanitation</u>										
4246 E	Special Clothing				2,276.69					2,276.69
4251 E	Shower Frequency			10,000.00			10,000.00			20,000.00
<u>Medical</u>										
4261 E	Comprehensive Health Eval.	34,254.69		1,246.00	850.00					36,350.69
4266 E	Pharmacist							4,000.00		4,000.00
4271 E	First Aid Training				750.00					750.00
4275 E	Treating Emotional Disturb.							20,800.00		20,800.00
<u>Rights</u>										
4284 E	Supplies for Legal Matters			200.00	50.00					250.00
<u>Rules</u>										
4318 E	Programs and Services	12,814.38		373.00	50.00					13,237.38
<u>Mail</u>										
4344 E	Inspection of Mail				100.00					100.00
<u>Reception</u>										
4357 E*	Adequate Facilities									
4359 E	Admission Reports	13,154.10		373.00	50.00					13,577.10
4362 E	Reception Unit Program			150.00						150.00
<u>Classification</u>										
4372 E*	Classification Plan	52,284.03		1,119.00	150.00					53,553.03

TABLE 3

MAINE STATE PRISON

STANDARD BY COST FACTORS (CONTINUED)

Standard Weight	Description	New Personnel	Overtime	Equipment	Supplies	Facilities		Purchase of Services	Addit'l Funds	Total
						New	Renovate			
<u>Work Programs</u>										
4386 E*	Employment Opportunities									
4390 E	Inmates Paid								114,400.00	114,400.00
<u>Ed. & Voc. Training</u>										
4395 E*	Educational & Voc. Training ⁷									
<u>Library</u>										
4409 E	Library Services Provided				5,000.00					5,000.00
4413 E	Available Daily	11,908.35								11,908.35
<u>Recreation</u>										
4419 E		11,669.91		4,500.00		720,000.00 ⁸				16,169.91
<u>Social Services & Counseling</u>										
4441 E	Involves All Personnel	14,161.51		373.00	50.00					14,584.51
TOTALS		271,905.46	93,342.72	86,476.90	10,152.19	22,000.00	51,725.00	26,000.00	114,723.80	676,325.00
CAPITAL ESTIMATES				1,922,500.00		--	14,089,000.00 ² --			16,011,500.00
GRAND TOTAL				2,008,976.90						16,687,825.00

NOTE: All of those standards marked with an asterisk have capital requirements (and therefore, costs as well) that could not be broken out individually, but have been incorporated in the overall plans (i.e., alternatives re: new construction and/or renovation) for compliance with housing, program, and administrative aspects of the facility.

1/ These equipment costs, i. e., those related to new capital construction have been derived by taking 15% of the total figure for new facilities. This estimate was provided to us as the figure to be used most appropriately when planning for construction of a new facility.

2/ These capital cost estimates represent the mean of the various compliance actions available to the state. Since the alternatives include both renovation and new construction, the estimates are maintained with a general category under facility and differentiated below. (In this manner, one could distinguish between the more immediate operational costs and capital costs of less magnitude and, at the same time, obtain a more specific level of detail.) These gross capital estimates for both housing and program space range from a high of \$17,857,000 million to a low of \$9,765.00 million, depending upon which capital option is selected.

3/ These three cost figures have been included under Capital Estimates below.

4/ Slack resources means that there is a cost involved, although it is not easily distinguishable. Thus, existing resources will most likely be allocated to meet the standard. For example, one week of a staff person's time may be devoted to a particular function mandated by the standard.

5/ This figure is a mean cost estimate which was calculated as minor renovation of the training office to accommodate a second staff trainer. It is based on a high of \$3,000 for 200 gross square foot and a low of \$1,800.00 for 120 net square foot.

6/ The original plan of action states that an Electrician was also needed to comply with this standard, but based on the interpretation made by the Commission, this position request was eliminated from our cost estimate.

7/ Educational and Vocational Training Programs have been included in the overall capital plans for the facility.

8/ This \$720,000 figure for the cost of a new gymnasium is included within the overall capital cost options for constructive programs (see standard #4017 under Administration above).

institution's fiscal activities. Although there are presently three Accountants in the Business Office, the inmate novelties program requires a high volume of financial transactions. In FY '79 alone, the Business Office handled an estimated 275-300 inmate accounts, totalling approximately \$575,000, about two-thirds of which (175 to 200 accounts) were generated from the novelties program. Thus, any additional demands on staff time, such as for ongoing internal audits, will require another position to accommodate the workload. A second Stores Clerk would be needed to run the canteen, since it is currently being run by an inmate.⁵

Training

One of the key areas highlighted by the standards is that of training. Although the Maine State Legislature has just recently passed a new training law⁶ which is in the implementation phase, they still fall short of the CAC standards in this area. This bill, which is currently in effect, approaches the direction outlined by the standards for the training of security personnel (especially #4090, New Employee Training), though sufficient monies have not been appropriated to cover the costs of training. The training standards, as promulgated by CAC, pinpoint the specific amount of hours (for both new and ongoing employees), numbers of staff involved, and the desired curriculum to be covered. The standards call for 160 hours annually for new employees, and eighty hours of annual training for continuing employees (those having direct contact).

Training in particular is one of the areas where the standards can be grouped for cost purposes. The need for a staff training officer at each facility (a second one at MSP), for example, is brought about by the conglomeration of all the training standards. There is also a minor

renovation cost of \$2,400 added to accommodate a second trainer at MSP. This cost is for expanding the existing office in their present training facility. The standards can also be examined on an individual basis to arrive at costs incurred, whereas costs for replacement personnel could be determined by overtime (OT) coverage.⁷

Standard #4090 is basically being met in terms of training for security staff (under the new law), yet not for all others. There are 64 new security positions annually based on the turnover rate of 45%. Administrative, managerial, clerical, and all other personnel, however, need not be replaced while they receive training. For Standard #4091, MSP is totally deficient in that on-going training is not being provided. This would require additional funds as illustrated in the summary tables (see Table 3) to assume the cost of OT necessary to cover for security staff (78 on-going security positions annually). The same situation holds true for #4092, where the costs are quite high due to the significant amount of hours as well as the numbers of staff covered by this standard, i.e., those having 'direct and continuing contact with inmates'. This includes nearly 90% of the total complement of staff at MSP, or 195 employees (142 of which are security staff). In terms of hours necessary for training (over and above the current level), Standard #4090 requires 3600 hours, #4091 will require 5,840 hours and #4092 requires 10,680 hours.⁸

Standard #4097 (Weaponry Training), which calls for the annual requalification of all security staff, will require several different costs to comply, i.e., OT coverage, equipment (handguns and ammunition), facility rental (of a target range), and transportation costs. In summary,

then, the entire training section of the standards will cost approximately \$100,000 to comply. There are also training-related standards in other sections that may also necessitate further costs, e.g., 4182, Riot Squad.

Physical Plant

Standard #4146 will require two additional staff persons in order to establish a plan for preventive maintenance at this facility. The stationary fireman's position is needed just to meet the state law which calls for 24 hours coverage in the boiler room. The Correctional Maintenance Mechanic will also be used to comply with Standard #4162, which deals with periodic security checks at key points in the facility. (See also separate section on capital for specific housing costs related to Standards 4141, Design Capacity, #4142, Cell Size, and #4143, Cell Furnishings).

Security

Standard #4153 will assume a capital cost at MSP for the construction of one additional watch tower and the improvement of perimeter lighting. The installation of sodium vapor lights will cost around \$1,500 and money for this work has already been obligated from the FY 79 budget. Included in the equipment cost for this standard is the price of a closed circuit T.V. and microwave monitors. The State's compliance action for Standard #4165 calls for one Guard Sergeant to be responsible for all security equipment at the prison. This is due to the fact that under the current system, there is really no one person who is designated this responsibility.

The Training Officer at MSP, Vince Blais, is in charge of the armory, its inventory and making sure that weapons are in proper working order. However, the guard who runs the post in the control center area has also assumed this duty of weapons exchange among his many other functions,

which include opening and closing doors at entry points (sally ports), key control, watching who enters and leaves (including visitors), etc.⁹ Although there are sometimes two guards assigned to this post (in the control center area), the flow of traffic is such that there needs to be someone designated sole responsibility for governing the control and use of firearms (preferably a ranking position such as Guard Sergeant). With the addition of a second staff Training Officer and another Guard Sergeant to deal with inmate rules and discipline, someone should then be given this responsibility through the reallocation of staff resources. The list of equipment needs for this standard is quite detailed, and includes such items as firearms, portable radios, etc.¹⁰ Standard #4182 relates to training of the 'riot squad' in case of an emergency situation, and the appropriate figures for OT coverage, instruction costs, etc. were calculated.¹¹ The costs, as figured here, allow for turnover, since they are based on training of thirty guards for this function. Similar to #4165, Standard 4186 deals with emergency equipment, where the list provided gives a detailed description.¹² Some of the necessary items include, among others: emergency lighting/radio crystals, searchlights, and a radio base station (see Appendix 5).

Inmate Supervision

Standard 4196 deals with the supervision of inmates and would require the addition of one Human Services Worker III¹³ (see also section on Classification, Social Services and Counseling). This person would also perform a supervisory function for other program staff requested for social services and counseling purposes.

Special Management Inmates (Administrative Segregation)

In this particular section, most of the capital-related needs have been included in the analysis of physical plant standards (see especially 4142, 4143 regarding renovation of cells). Standard #4203 calls for some recreation equipment, while #4204 requires staff to be capable of observing inmates. The state's chosen compliance action in this case has been the installation of closed circuit T.V. sets to observe inmate behavior. Standard 4212 would necessitate the installation of three phones and jacks on each corridor within the segregation area (to allow telephone privileges approximating that of the general population). The problem is that inmates in administrative segregation are being put in with those in disciplinary detention due to overcrowding. This, in turn, affects the telephone privileges.

Finally, Standard #4213 will require an additional security position to enable inmates in segregation to shower three times per week as opposed to the current practice of twice weekly. For approximately forty inmates, this figures out to one-half a man year (at half an hour per inmate shower). Likewise, an additional guard is being requested to meet Standard #4215, regarding an exercise period. The present policy is to provide the seventeen inmates in administrative segregation and disciplinary detention (eleven on the north side and six on the plank side) with only a quarter of an hour for daily exercise. Based on the standard in question, an additional 63 3/4 man hours would be necessary to meet the one hour exercise requirement.¹⁴ The two additional guards would be able to assist one another in meeting these standards requirements.

Food Service

Food service is a very sensitive subject at MSP, since deficiencies in this area led to an inmate disturbance last spring. A summary of the cost requests for the kitchen (both equipment and personnel) needs are contained in Standard #4232. The list has been taken from a memo to the Commissioner from Warden Oliver,¹⁵ and requests one chef that is needed to replace inmate cooks. (There are 26 inmate workers involved in food service operations.) In addition, the list specifies the creation of a Sanitation Supervisor, which is a new position class. There are presently seven staff that are used in the kitchen and dining area. They have been trained in security-related functions as well as in the area of food service preparation. These include three Cook III's, two Cook II's, one meat cutter, and one guard acting as Sanitation Supervisor.

Sanitation

Standard #4246 deals with inmate personal hygiene and calls for new clothing supplies (whites for the kitchen and overalls for the vocational training program). Standard #4251, Shower Frequency, involves a capital cost for the installation of new showers. Funds have already been appropriated for this, however, and work is under way.

Medical and Health Care

In the critical area of medical and health care services, MSP is also lacking. According to Anthony Taylor, LPN at MSP, a second nurse and a Physician's Assistant will be needed to conduct comprehensive health evaluations for each incoming inmate.¹⁶ An audiometer and increased supplies also become necessary by this standard requirement. For Standard #4266, a contractual agreement with a licensed pharmacist would have

to be arranged.¹⁷ Standard #4275 deals with those inmates having severe emotional disturbances and will require the purchase of additional psychiatric services in order to comply. The cost for such services is over \$20,000 for ten hours per week. According to the Standards Management Team,¹⁸ the 'protective custody' or PC area is inadequate and a larger area is needed for this purpose. This issue has been addressed in the overall plans for physical plant standards at MSP.

Inmate Rules

For Standard #4318, which pertains to rule violations (see also Appendix 3: Reference List of Standards #4328, 4337), a second new Guard Sergeant's position is necessary to meet the turnaround time for due process hearings required by the standards. The standards specify that a hearing is given within seven days after all major and minor rule violations. During the first seven months of calendar year 1979, there were 785 major write-ups and approximately 100 minor write-ups.¹⁹ Although all of these 'write-ups' do not necessarily go before a hearing board, the addition of one Guard Sergeant is necessary if the standard is to be met.

Inmate Programs: Reception and Classification

The area presently used for intake and orientation housing needs major capital improvements.²⁰ The cells need to be renovated, a Psychology Assistant is being requested for testing of all new admissions, and additional equipment items are needed as well. Some testing and evaluation of new inmates is currently performed by the staff Psychologist, although it is not always done on a routine basis.

The Classification standards can be grouped together for purposes of estimating costs (similar to set of training standards: see Appendix 3). The new personnel needed to comply with these standards (and those dealing with Social Services and Inmate Supervision as well) are the addition of three classification staff.²¹

Work Programs

Two other areas which will require costs of major significance involve the work programs (Standard #4386), or expansion of Prison Industries, and Vocational Training for inmates (Standard #4395), which needs to be brought inside the walls.²² The present vocational training program exists at the Bolduc Unit, which is for the Minimum Security inmates adjacent to the prison grounds at MSP. Both of these new programs will necessitate capital costs as well as additional equipment needs. If inmates were to be paid for their work performed, this would cost the state around \$114,000 annually.²³ This \$114,000 figure is based on an hourly wage of 50 cents per hour (for four hours per day or 20 hours per week) multiplied by the number of inmates who do not presently make any earnings from the novelties program in any way.

Library

Finally, the library services need some upgrading at the prison. An additional guard (4413) will be necessary to maintain library hours to be open during evenings and weekends. Although the Prison has the funding for a Librarian's position, they have been unable to recruit and maintain an institutional Librarian for any prolonged period of time over the last five years. Additional funds (4409) are also being requested in the amount of \$5,000 to purchase a new supply of books. These funds include approximately 500 new books and/or periodicals at \$10 average per volume.²⁴

Recreation

Standard #4419 will be a major capital cost item, since a new gymnasium is needed at MSP. The original cost estimate for the construction of this building has been provided by MCC²⁵ where a new gymnasium has recently been built. An updated estimate has been provided by CEC, based on construction figures we have received from the project cost consultants.²⁶ The latest cost estimate of \$720,000 is approximately 40 percent higher than the cost of the gymnasium recently completed at MCC. This figure has been incorporated with the set of compliance alternatives at MSP for the capital standards. Other recreation needs have been dispersed throughout the prison (see especially sections on Reception and write-up on 'Administrative Segregation' area).

CAPITAL CONSTRUCTION/RENOVATION COST ESTIMATES

The ideal method for estimating the capital costs would, obviously, have been for the state to have provided all the specific data input required that translates smoothly into dollars and cents. Practically speaking, a situation such as this may be an oversimplification of a highly complex process. From a planning perspective, the state of Maine had not yet progressed to the point where such detailed data was readily available for our use. While the data available varied in terms of levels of specificity, the typical case found the data in its preliminary stages. Consequently, the information provided here is generally based on gross figures and informed estimates made by the CEC.

Wherever possible, detailed cost estimates have been provided, especially when the appropriate data was supplied to us by the state.

Such detailed estimates were usually assigned to a specific standard, since they were described in the Plans of Action or by the SMT to meet individual standards, (e.g., construction of a watch tower for perimeter security - Standard #4153). More often than not, however, the capital costs have been included in one "lump sum" for inmate program space as described below. (see App. 6 for full description of compliance alternatives).

The dollar figures discussed herein describe the estimated costs necessary to comply with the major capital-related standards, based on the options provided by the state. By examining the tables which outline the capital options, they show that capital costs for Maine State Prison range from a low of \$9,765,000 to a high of \$17,857,000 depending upon the alternative selected (see Tables 4 through 6).

CONCLUSIONS

Upon examining these tables more closely, they illustrate that the difference between the various alternatives, regarding renovation and/or new construction, is not as great as one might think. In fact, based on our knowledge of the existing physical plant in relation to the possible alternatives, the following conclusions and recommendations appear to be in order.

The first alternative (Table 4.0), which uses Substitute Housing Option #1, is not recommended. The cost of building new housing at the present site does not account for the problems encountered by attempting to build in the proximity of the huge hole which exists from a former rock quarry. Such a foundation may add millions of dollars on the present estimate, and therefore may render this option totally unfeasible. If major renovation is to occur, Table 4.1, which uses Substitute Housing

Table 4.0

Alternative #1: Renovation Within Existing Structures and Layout

	<u>Number of Beds</u>	<u>Housing Costs¹</u>	<u>Program Costs</u>	<u>Subtotals</u>	<u>Totals²</u>
A. Renovation based on 80 sq. ft.	227	1,783,000	1,679,000	3,462,000	4,328,000
Use Substitute Housing Option #1 ³	235	5,750,000	453,000	6,203,000	7,754,000
TOTALS	462	7,533,000	2,132,000	9,665,000	\$12,082,000
B. Renovation based on 60 sq. ft.	278	2,004,000	1,679,000	3,683,000	4,604,000
Use Substitute Housing Option #1 ³	184	3,676,000	453,000	4,129,000	5,161,000
TOTALS	462	5,680,000	2,132,000	7,812,000	\$ 9,765,000

¹All cost figures originally based on work in the N.Y. area have been readjusted for construction costs in the Augusta area.

²25 percent has been added to the subtotals for work within an occupied correctional facility.

³Substitute Housing Option #1 is for new construction within the existing site. Thus, an additional 25 percent must be included here as well.

Table 4.1

Alternative #1: Renovation Within Existing Structures and Layout

	<u>Number of Beds</u>	<u>Housing Costs¹</u>	<u>Program Costs</u>	<u>Subtotals</u>	<u>Totals</u>
A. Renovation based on 80 sq. ft.	227	1,783,000	1,679,000	3,462,000	4,328,000 ²
Use Substitute Housing Option #2 ³	235	4,547,000	3,932,000	8,479,000	8,479,000 ⁴
<hr/>					
TOTALS	462	6,330,000	5,611,000	11,941,000	\$12,807,000
B. Renovation based on 60 sq. ft.	278	2,004,000	1,679,000	3,683,000	4,604,000 ²
Use Substitute Housing Option #2 ³	184	3,086,000	3,079,000	6,165,000	6,165,000 ⁴
<hr/>					
TOTALS	462	5,090,000	4,758,000	9,848,000	\$10,768,000

¹All costs originally based on work in the N.Y. area have been readjusted for construction costs in the Augusta area.

²25 percent has been added to these subtotals for work within an occupied correctional facility.

³Substitute Housing Option #2 is for all new construction of housing and programs in a different site.

⁴An additional 25 percent has not been added here, since the work will be done at another site.

Option #2, is much more realistic. This would entail the construction of housing and programs for all those inmates displaced by renovation at a completely different site.

The second alternative available to the state is to reconstruct the interior (see Table 5), essentially 'gutting' the whole facility, and starting all over. This alternative is obviously not recommended due to simple financial reasons, since it will cost more than total new construction!

In conclusion, the real choice appears to lie between Alternative Actions #1 (Table 4.1) along with Substitute Housing Option #2 and that of Alternative #3, i.e., all new construction (see Table 6). New construction would be necessary in either case, since Alternative #1 involves a combination of both renovation and new construction. In terms of the cost differential, there is a 23 percent savings in carrying out Alternative #1 (renovation and new construction would cost \$12.8 million) as opposed to Alternative #3 which would cost \$16.7 million.²⁷ The cost of Alternative #1 is \$27,761 per bed based on 80 sq. ft. for each inmate. The cost per bed would be lowered to \$23,307 using 60 sq. ft. an inmate. This compares with \$36,000 and \$33,500 cost per bed in all new construction, using 80 and 60 sq. ft. respectively.

An overall comparison shows that the difference between 80 and 60 sq. ft. cells is not very significant at around ten percent. With reference to new construction, the cost differential between the two cell sizes is even lower at only seven percent. A factor more significant than cell size is that of inmate relocation costs during construction on-site. To restate it another way, there is a real cost that must

Table 5

Alternative 2: Reconstruct the Interior

	<u>Number of Beds</u>	<u>Housing Costs²</u>	<u>Program Costs</u>	<u>Subtotals</u>	<u>Totals</u>
A. Major Renovation ¹	240	4,421,000	3,436,000	7,857,000	9,846,000 ³
Using Substi- tute Option based on 80 sq. ft. ⁴	222	4,296,000	3,715,000	8,011,000	8,011,000 ⁵
<hr/>					
TOTALS	462	8,717,000	7,151,000	15,868,000	\$17,857,000
B. Major Renovation ¹	240	4,421,000	3,436,000	7,857,000	9,846,000 ³
Using Substi- tute Option based on 60 sq. ft. ⁴	222	3,723,000	3,715,000	7,438,000	7,438,000 ⁵
<hr/>					
TOTALS	462	8,144,000	7,151,000	15,295,000	\$17,284,000

¹The same number of bed space will result whether they are 60 or 80 sq. ft., since each cell will have a window for natural light.

²All cost figures originally based on work in the N.Y. area have been readjusted for construction costs in the Augusta area.

³25 percent has been added to these subtotals for work within an occupied correctional facility. This figure also includes \$25,000 which is the cost of a 155 linear ft. perimeter security fence. This will be needed after demolition of the most western cell block.

⁴Substitute housing in this case must be built on a different site, since program capacity is no longer available for 462 inmates. After reconstructing the interior, only 240 inmates can be accommodated.

⁵An additional 25 percent has not been added here, since the work will be done at a different site.

Table 6

Alternative #3: All New Construction

	<u>Number of Beds</u>	<u>Housing Costs</u> ¹	<u>Program Costs</u>	<u>Totals</u>	<u>Cost per Bed</u>
A. New Construction based on 80 sq. ft.	462	8,940,000	7,731,000	\$16,671,000	\$36,084
B. New Construction based on 60 sq. ft.	462	7,748,000	7,731,000	\$15,479,000	\$33,504

¹All costs originally based on work in the N.Y. area have been readjusted for construction costs in the Augusta area.

be considered while any major renovation is being undertaken. It is extremely difficult to estimate the cost of relocating inmates, as it depends upon the policy decision that is made.²⁸ The cost of relocating inmates would be eliminated if a new facility were built. The question to be addressed, it seems, is how the problems encountered by the need for inmate relocation compare with the alternative of constructing an entire new facility.

SUMMARY

There are 94 non-compliance, cost standards at MSP which cover Administration, Fiscal Training, etc. The total cost of complying with standards at MSP is \$16,687,825 with the costs ranging from a high of \$20,456,000 to a low of \$12,364,000 (see Table 7). The largest single cost area is for that of capital (both housing and programs) at \$14 million and equipment necessitated by new construction. Aside from these gross capital estimates, the remaining cost figures come to \$676,000. Of these funds, the largest factors are for personnel (at \$272,000), overtime coverage (nearly \$100,000), and additional funds for inmate wages (over \$100,000).

An examination of individual CAC categories shows that Physical Plant (for housing) and Administration (for programs) are the most significant cost areas. Some other categories to be noted include Security (at \$125,000) and Training (over \$100,000). Medical and Classification are also significant at \$62,000 and \$53,500, respectively. Overall compliance costs at Maine State Prison represent approximately 90 percent of the total compliance cost for the state of Maine.

TABLE 7

MAINE STATE PRISON

CAC CATEGORY BY COST FACTORS

<u>CAC Standards Category</u>	<u>New Personnel</u>	<u>Overtime Coverage</u>	<u>Equipment</u>	<u>Supplies</u>	<u>Facility</u>		<u>Purchase of Services</u>	<u>Additional Funds</u>	<u>Total</u>
					<u>New</u>	<u>Renovated</u>			
Administration			832,500.00 ¹			-- 6,094,000.00 ¹ --			6,926,500.00
Fiscal	21,813.88		373.00	50.00					22,236.88
Training	14,709.90	84,846.72	1,573.00	725.50		2,400.00	273.40		104,528.52
Physical Plant	23,149.09		1,090,000.00 ¹			-- 7,995,000.00 ¹ --			9,108,149.09
Security		8,496.00	53,123.00		22,000.00	39,325.00	1,200.00	50.40	124,194.40
Supervision	15,305.98		373.00	50.00					15,728.98
Sp. Mgmt. Inmates	23,339.82		786.90						24,126.82
Food Services	23,339.82		11,914.00						35,253.82
Sanitation			10,000.00	2,276.69		10,000.00			22,276.69
Medical	34,254.69		1,246.00	1,600.00			24,800.00		61,900.69
Rights			200.00	50.00					250.00
Rules	12,814.38		373.00	50.00					13,237.38
Mail				100.00					100.00
Reception	13,154.10		523.00	50.00		*			13,727.10
Classification	52,284.03		1,119.00	150.00		*			53,553.03
Work Programs			*			*	114,400.00		114,400.00
Library	11,908.35			5,000.00					16,908.35

TABLE 7
MAINE STATE PRISON

CAC CATEGORY BY COST FACTORS (CONTINUED)

<u>Standards Category</u>	<u>New Personnel</u>	<u>Overtime Coverage</u>	<u>Equipment</u>	<u>Supplies</u>	<u>Facility</u>		<u>Purchase of Services</u>	<u>Additional Funds</u>	<u>Total</u>
					<u>New</u>	<u>Renovated</u>			
Recreation	11,669.91		4,500.00		(720,000.00 ²)				16,169.91
Social Services and Counseling	14,161.51		373.00	50.00					14,584.51
TOTALS	271,905.46	93,342.72	86,476.90	10,152.19	22,000.00	51,725.00	26,000.90	114,723.80	676,325.00
<u>CAPITAL ESTIMATES</u>			1,922,500.00		-- 14,089,500.00 --				16,011,500.00
GRAND TOTAL			2,008,976.90						16,687,825.00

NOTE: The standards cost estimates marked with an asterisk have been figured in with the general "capital estimates" at the bottom.

- 1/ These standard cost estimates (under Facility and Equipment for Administration (programs) and Physical Plant categories) comprise the Capital Estimates shown below.
- 2/ This \$720,000 figure for the cost of a new gymnasium is included in with the overall capital cost options for constructive programs (see Standard #4017 under Administration above).

FOOTNOTES: Chapter Three

1. Maine State Government, Annual Report (77-78)
2. As determined by IEPS in conjunction with Bob Greene in reviewing state designated cost factors along with those deemed as cost items by CEC.
3. The cost standards that relate to this standard deal with more specifics (e.g., see 4357 - Reception, 4372 - Classification, 4394 - Education, etc.) Refer to the listing in the Appendix 3: Group Cost Sets - Reference List of Standards.
4. Ruth Thomas - by telephone interview
5. Information provided by Bob Greene.
6. See HP 2039 - L.D. 2104 (An Act to Establish Training Requirements for Corrections Officers)
7. The reason OT figures have been used instead of adding new personnel is that, practically speaking, this would most likely be the case. The alternative has been ruled out, since the state prison has not even been able to fill their current position openings due to problems with recruitment. The turnover rate at MSP for security staff is 45% calculated over the last three years (Thomas Meiser, Personnel). The formula for calculating staff requirements for training of direct services personnel is as follows: $(160 \times R) + (80 \times I) = \text{Total hours}$.

Where: R = Number of new staff who will fill positions which must be manned at all times;

I = Total number of positions which must be manned at all times less the turnover for these positions.

8. These figures take into account the turnover rate for both security and non-security personnel, the current level of training being provided (according to prison officials), and the need that exists for increased or additional training. All of these hours need not be covered by overtime, however, since non-security staff will not be replaced.

9. List of activities noted by Don Saastimoinen and through on-site observation.
10. Equipment list was made available by Deputy Warden Smith in consultation with Donald Saastimoinen (unit costs were made available by Stewart Sabeau, State Purchasing Agent).
11. In accordance with information provided by Arthur Hildebrand, who is the Training Coordinator at the Maine Criminal Justice Academy. His estimates are based on 40 hours of riot control, physical and tactical strategies and hostage negotiation. The rate charged for classes by an area technical school for law enforcement personnel is \$15 hourly.
12. Memo to Don Allen and notes from Deputy Smith and Chief Graf provided to Donald Saastimoinen.
13. Space would also be needed to accommodate this staff addition and other program personnel required by the standards. See section on Capital for further detail.
14. This also assumes no change in present policy which only allows one inmate out of their cell at a time.
15. Subject: 'Urgent Kitchen Needs', dated April 25, 1979.
16. Backup data estimates were provided by Tony Taylor.
17. Conversations with Tony Taylor and Bob Greene.
18. Bob Greene and Donald Saastimoinen.
19. Data provided by Don Saastimoinen.
20. Interview with Bob Greene.
21. The number of Classification Program Officers (3) is being requested based on a comprehensive needs assessment performed by R. D. Kennedy in 1978 under an LEAA grant. This figure also covers all of those standards which are presently non-compliant in the separate section on Classification.
22. Interview with Bob Greene.

23. If inmates who are enrolled in the academic school program were not paid for work performed, this would lower the estimate to a low range of \$91,520.
24. This figure was provided by Robert Britton, consultant to the State Institutional Librarian, as the amount of funds being requested from the LSCA this coming year.
25. From Anthony Meucci, Business Manager at MCC.
26. The capital cost estimators for this project, Federman Construction Consultants, provided the CEC with 'Square Foot Unit Costs' for various components of correctional facility-type construction, i.e., maximum-minimum security. These unit costs do not include any contingency costs, designer's fees, or agency fees. In some cases, these additional fees may add substantially to the basic unit costs. Most of the information in the following section on Capital Construction/Renovation Cost Estimates is derived on the basis of these Federman figures. For furnishings and equipment, approximately 15 percent of the cost of new construction should be added to arrive at the appropriate dollar figure in this cost category. Also note that the average national escalation of these capital cost estimates is currently increasing at the approximate rate of 1 percent a month.
27. This cost differential or 23 percent savings is based on the 80 sq. ft. per inmate. If the 60 sq. ft. cell size were to be used, then the difference in costs would result in a savings of 30 percent (i.e., from \$15.5 million for Alternative #3 to \$10.8 million for Alternative #1). Refer to Tables 4.1 and Table 6 for further details regarding these costs, esp. by housing and program area.

28. Some alternative ways to deal with this matter have been discussed with Bureau officials. They include setting up trailers inside the prison and contracting inmates out to the local county jails. Both of these solutions render a unique set of issues.

CHAPTER 4

MAINE CORRECTIONAL CENTER

INTRODUCTION

Maine Correctional Center (MCC) is designated as a medium security facility, yet in practice it operates as both a medium and minimum security facility. It accounts for 20% of the State's capacity for males and serves as the State's only facility for adult females. Male offenders, though, can be sentenced to MCC for a maximum of five years.

Although MCC is located in a rural area, it is about ten miles from Portland and thus has access to employment, educational and vocational programs. However, due to its rural location, the facility must furnish transportation to reach Portland and other program sites.

A poor physical layout reduces MCC's effectiveness as a medium security facility. The inefficient design features throughout the interior and along the perimeter of the facility require a large complement of staff to maintain adequate security. The facility as originally built was not intended to accommodate the present capacity of inmates.

Due to recent expansion in population that has occurred, additional cottage units have been built outside the main quadrant of perimeter security. The situation now exists where the administration building is located at one end of the premises, with housing units extending to the far end of the complex. Plans to build a new rear sally port may alleviate this problem to some extent.

The facility has an overall bedspace capacity of 168 inmates with an operating capacity² of only 150. The discrepancy between the two figures is due to both the physical characteristics of MCC and the lack of adequate program capacity.

MCC provides educational and vocational programs within the facility and operates supervised work-release programs for qualified inmates. Yet, there are waiting lists for several inmate programs. MCC does not have adequate programs for inmates with sentences greater than three years. In addition, the use of MCC is restricted by its physical plant which only allows for the handling of offenders who do not present security risk. Specific strategies identified by Maine for improving capabilities to handle the inmate population include plans for establishing industries for both male and female offenders as well as upgrading their mental health services by seeking a permanent funding source.

An examination of offender characteristics shows that 32% of those admitted to MCC committed crimes against persons, while 56% were convicted for property offenses. In terms of sentence length, statistics illustrate: a) 29% had sentences of six months or less, b) 21% had sentences ranging from seven to twelve months, c) 45% were sentenced from one to three years, and d) 5% had sentences of three years or more. In sum, over one-half of inmates admitted to MCC had sentences of one year or less, whereas close to 95% were given sentences of three years or less. While there is no age limit for offenders admitted to MCC since May 1976, sentences are limited to five years.

FACILITIES AND PROGRAMS FOR FEMALE OFFENDERS

The facilities for women at MCC consist of a cottage within the perimeter fence, that is designated as medium security. Access to and from the cottage is closely supervised by staff. Women who are serious security risks are housed with women who are less serious offenders, since there is no maximum length of stay for women. This creates program and management problems at MCC.

Women have limited access to the same programs as men. There is a serious lack of meaningful program activity for long-term female offenders, due to the small number of women offenders in Maine. There are no regionally based correctional programs and facilities for women that are close to their homes and families.

COST IMPLICATIONS FOR NON-COMPLIANCE STANDARDS AT MCC

At MCC, there are 207 non-compliant standards of which 53 will have a cost attached. These are about half as many as there are at the State Prison. Twenty-six of these are part of the 'reference list', which leaves 27 individual cost standards that need to be assessed. However, there are only four capital related standards at MCC, which are usually the greatest cost factors. Those standards which have been treated at the Central Office level may be referred to that section for staff additions (see #4011, 4088, 4117).

The following areas are deficient at MCC and will require additional funds to comply with CAC standards (see Table 8): Training, Records, Plant, Security, Supervision, Sanitation, Medical, Visiting, Classification, Work Programs, Library, Recreation and Social Services. There are also other categories that do not comply with standards, yet these are the most significant in terms of cost implications.

TABLE 8
MAINE CORRECTIONAL CENTER

STANDARD BY COST FACTORS

Standard Weight	Description	New Personnel	Overtime	Equipment	Supplies	Facilities		Purchase of Services	Addit'l Funds	Total
						New	Renovate			
<u>Training</u>										
4090 E	New Employee Training	14,709.90		373.00	50.00					15,132.90
4091 E	Annual Training		23,788.80							23,788.80
4092 E	Direct Contact Training		32,284.80							32,284.80
4093 E	Administrative Training									Slack Resources ¹
<u>Records</u>										
4135 I	Identify Contents			440.00	720.00					1,160.00
<u>Physical Plant</u>										
4141 E	Design Capacity	52,514.60		73,144.00 ²		609,531.00				735,189.60
4146 E	Preventative Maintenance	22,457.64								22,457.64
<u>Security</u>										
4151 E	Secure Perimeter						61,671.00 ³			61,671.00
4152 E	Surveillance Outside	35,725.05								35,725.05
4182 I	Specially Trained Unit		5,097.60					600.00	30.00	5,728.20
<u>Supervision</u>										
4196 E	Counseling by Staff	21,031.64		373.00	50.00					21,454.64
<u>Sp. Mgmt. Inmates</u>										
4210 E	Visits and Mail					25,491.00 ⁴				25,491.00
<u>Sanitation</u>										
4237 E	Fire and Safety Officer		294.60						100.00	294.60
4238 E	Annual Inspection									100.00
<u>Medical</u>										
4271 E	First Aid Training				300.00					300.00
4274 E	Disabled and Infirm			1,952.10			16,268.00			18,220.10

TABLE 8
MAINE CORRECTIONAL CENTER

STANDARD BY COST FACTORS (CONTINUED)

Standard Weight	Description	New Personnel	Overtime	Equipment	Supplies	Facilities		Purchase of Services	Addit'l Funds	Total
						New	Renovate			
<u>Rights</u>										
4284 E	Supplies for Legal Matters			200.00	50.00					250.00
<u>Mail</u>										
4355 D	Visitor Transportation			7,775.00						7,775.00
<u>Classification</u>										
4372 E	Classification Plan	17,428.01		373.00	50.00					17,851.01
<u>Work Programs</u>										
4386 E	Employment Opportunities	11,920.27		58,013.00			86,320.00			156,253.27
4390 E	Inmates Paid							87,360.00		87,360.00
<u>Library</u>										
4413 E	Available Daily	12,301.75								12,301.75
<u>Recreation</u>										
4419 E	Comprehensive Program	35,009.73								35,009.73
<u>Social Services and Counseling</u>										
4422 I	Caseload Determination	29,467.49		746.00	100.00					30,313.49
TOTALS		252,566.08	61,465.80	143,389.10	1,320.00	609,531.00	189,750.00	600.00	87,490.00	1,346,112.50

Footnotes:

- 1/ Slack resources means that there is a cost involved, although it is not easily distinguishable. Thus, existing resources will most likely be allocated to meet the standard. For example, one week of a staff person's time may be devoted to a particular function mandated by the standard.
- 2/ This capital equipment cost has been derived by taking 15% of the total figure for new facilities. This estimate was provided to us as the figure to be used most appropriately when planning for construction of a new facility.
- 3/ This estimate is the one originally provided by the Business Manager at MCC. The funds for these two capital projects have already been appropriated to cover the cost of renovation. Recently, it was determined that the amount of funds which have been allocated will not be adequate to complete the work involved. Another figure of approximately \$100,000 was provided to the CEC, but there was insufficient detail to confirm this latest estimate.
- 4/ This estimate is based on the national average of 15.6 GSF per inmate multiplied by a population of 35 inmates (those in units with special security status who presently are not being accommodated) X \$45.00/sq. ft. for major renovation.

The first significant cost area at MCC is for training. Standard #4090 (New Employee Training) calls for the addition of one institutional training officer at MCC. The Correctional Center currently does not have a staff trainer and is sorely lacking in this particular area. The cost for this position will be around \$15,000 annually. Standards 4091 (Annual Training) and 4092 (Direct Contact Training) are based on OT coverage as replacement costs for security staff.³ The cumulative costs for this overtime coverage is over \$55,000.

In terms of the numbers of staff hours needed for training (over and above the current level of activity), Standard 4090 will require 1,000 hours, #4091 needs 5,440 hours, and #4092 will require 6,480 hours. It should be made clear that only training time for security staff will be covered by overtime. If new staff were to be used as replacements for training rather than overtime, four additional Correctional Officers would be needed. The total cost of meeting the training standards will exceed \$70,000 at MCC.

Standard #4135 calls for the ability to identify contents of case records. In response to this, MCC has requested the purchase of two new filing cabinets and new folders for new admissions to upgrade the record keeping system for client information. The cost of this equipment and supplies are \$1,160.

The capital-related standards at MCC primarily involve the construction of new housing. For example, both standards #4141

(Design Capacity) and #4308 (Co-Educational Institutions) call for the building of one new cottage housing unit for females whereby the present unit for women could then be converted into use by males.⁴ The cost for construction of a new 30-bed housing unit at MCC will be \$609,531. This estimate is based on 6500 square feet of program space at \$55.00 per. The square footage has been taken from blue prints provided by MCC staff. The program space was reduced by two-thirds, since the original estimate was developed for a self-contained unit at Maine Youth Center. The total figure has been adjusted to include 25 percent more for building within an occupied correctional setting.

There will also be a new staffing compliment of 4.5 Correctional Officers required to operate this new cottage. Similar to the situation at MSP, Standard #4146 calls for the addition of two maintenance staff, an Electrician and a Carpenter, in order to establish a program of preventive maintenance. The cost of these maintenance staff will be \$22,458 annually.

Standards 4151 and 4152 will require substantial renovation and personnel needs to be met, respectively. Standard #4151 will require security devices for a rear sally port and an electronics system for the roof, whereas #4152 necessitates three more Correctional Officers for perimeter security coverage during the third shift at night.⁵ The cost of meeting this renovation is \$61,671, and these funds have already been appropriated (see also Table 8, FN 3 for further explanation of this cost figure). Three Correctional Officers will cost \$35,000 a year.

Standard #4182 relates to the riot squad training for all CO II's.⁶

The cost of meeting this standard is \$5,728, which includes OT coverage, purchase of service and transportation.

Standard #4196 will require a psychologist II position to comply with these and other standards (see Appendix 3: Group Cost Sets - Reference List of Standards.) Visiting for segregation inmates (Standard #4210) is presently inadequate, and a new location for this function must be found.⁷ The cost of renovating an appropriate space to accommodate these inmates will be \$25,000. With respect to 4237 (Fire and Safety Officer), a CO II on staff currently performs this function, but will need one extra week of training (at a cost of \$300) to qualify annually.⁸

In the area of health care, Standard #4272 will require renovations to accommodate the needs of the disabled and infirm. This will require a minor renovation of enlarging three cells into use for two equipped with toilet modifications, etc. It will cost almost \$20,000.00, then, to comply with the medical standards.

For Standard 4355, a nine-passenger van would be needed (at a cost of \$7,775) to meet visitation standards. This may also be used in conjunction with the standards dealing with sufficient inmate work programs (see 4386). A Classification Program Officer will be necessary to meet the Classification Standards at a cost of around \$17,500.

Standard #4386 relates to inmate work programs and would require facility, equipment, and staff. Their need here is for a Prison Industry program to provide 'meaningful' employment for inmates, as they are presently deficient in this regard (especially for long-term inmates). The chosen compliance action calls for the renovation of an old building

into a Tire Recapping plant, with a Tire Technician being hired to run the program. Finally, if inmates are to be paid for their work performed, this could potentially cost \$87,360 annually at MCC.⁹

The remaining program standards calling for additional personnel include: #4413 - Librarian I; #4419 - three Recreation/Guard Positions; and #4442 - two Human Services worker positions. These staff will cost approximately \$12,000, \$35,000, and \$30,000 respectively.

SUMMARY

There are 53 non-compliance, cost standards at MCC. The total cost of resources for complying with Training, Administration, Plant standards, etc., is \$1,346,112.00 (see Table 9). The major portion of these dollars will arise from the construction of an additional cottage to house thirty more inmates. This alone will cost over \$600,000, which is 45 percent of the total cost of compliance. Excluding the cost of capital-related standards (both facility and equipment items), compliance costs for operations at MCC will result in an increase of around 20 percent over and above the current expenditure level of \$2.5 million during FY 1979. After physical plant, the largest cost items result from personnel, which accounts for more than \$250,000, equipment, and additional funds (for inmate wages).

The single highest cost standard after housing (#4141 - Design Capacity) is for inmate work programs (Standard #4386). It will cost \$156,000 for renovation, equipment and personnel. This brings the total for the category of work programs to nearly \$250,000. The next highest cost category is in the area of security, which will cost over \$100,000. The cost of training at Maine Correctional Center will be around \$71,000.

TABLE 9

MAINE CORRECTIONAL CENTER

CAC CATEGORY BY COST FACTORS

<u>CAC Standards Category</u>	<u>New Personnel</u>	<u>Overtime Coverage</u>	<u>Equipment</u>	<u>Supplies</u>	<u>Facility</u>		<u>Purchase of Services</u>	<u>Additional Funds</u>	<u>Total</u>
					<u>New</u>	<u>Renovated</u>			
Training	14,709.90	56,073.60	373.00	50.00					71,206.50
Records			440.00	720.00					1,160.00
Physical Plant	74,972.24		73,144.00		609,531.00				757,647.24
Security	35,725.05	5,097.60				61,671.00	600.00	30.60	103,124.25
Supervision	21,031.64		373.00	50.00					21,454.64
Sp. Mgmt Inmates						25,491.00			25,491.00
Sanitation		294.60						100.00	394.60
Medical			1,952.10	300.00		16,268.00			18,520.10
Rights			200.00	50.00					250.00
Mail			7,775.00						7,775.00
Classification	17,428.01		373.00	50.00					17,851.01
Work Programs	11,920.27		58,013.00			86,320.00		87,360.00	243,613.27
Library	12,301.75								12,301.75
Recreation	35,009.73								35,009.73
Social Services and Counseling	29,467.49		746.00	100.00					30,313.49
TOTALS	252,566.08	61,465.80	143,389.10	1,320.00	609,531.00	189,750.00	600.00	87,490.60	1,346,112.00

FOOTNOTES: Chapter Four

1. Maine State Government Annual Report (77-78).
2. The operating capacity means the number of inmates that can be accommodated given the present space available.
3. These calculations are based upon the turnover rate at MCC which is approximately 15% for Correctional Officers, and only 11% for all other employees (according to figures provided by Anthony Meucci, Business Manager at MCC).
4. The initial figures for this unit are based on a 30 bed facility recently completed at the Maine Youth Center. (One large cottage could be built housing 30 male inmates and the women may assume use of a smaller men's cottage.) Prints were obtained by Anthony Meucci and Bob Greene and minor adjustments were taken into account by our staff at IEPS. The revised estimates are based on new construction figures within a minimum security setting.
5. Written documentation has been provided by Jim Clemons, Asst. Supt., MCC.
6. This includes OT coverage, purchase of service, and transportation costs.
7. The CEC cost estimate in this case has been based on a national average of 15.6 sq. ft. of visiting per inmate for 35 special management inmates. The major renovation figure of \$45.00 per sq. ft. of visiting space was used to arrive at the cost of \$25,000. Note: 25 percent was also added for work within an occupied correctional setting.
8. Reported by Bob Greene.
9. See Footnote 18 regarding Standard #4390 at MSP. Likewise, the figure here is based on 20 hours weekly at 50 cents per hour for the overall capacity (168 during calendar year 1978, not including the pre-release population.)

CHAPTER 5

SUMMARY OF COST FACTORS

PERSONNEL

Summarizing the personnel needs for Maine's correctional system, it becomes apparent that the total costs are almost \$600,000. The three new staff persons in Central Office alone will cost over \$50,000. At Maine State Prison, twenty new positions will cost nearly \$275,000. At the Correctional Center, fifteen additional positions needed to comply with correctional standards will cost \$200,000. Another 4.5 Correctional Officer positions, necessitated by new housing construction, will cost a minimum of \$50,000.¹ Approximately one-third of the staff needed at both institutions are for security positions. For a complete listing of all personnel, including salaries and fringe, refer to the Appendix (7 - 9).

EQUIPMENT AND SUPPLIES²

Equipment costs for the state of Maine exceed \$2.1 million. Almost 90 percent of this figure is derived from the 15 percent cost (\$1.9 million) over that of new construction at the State Prison. This equipment cost is inter-related to those capital estimates discussed below. Aside from these general figures, equipment for the two major institutions will cost around \$200,000 (see Table 10 for the final summary of Maine's costs).

The greatest portion of the overall costs are incurred at MSP, where it appears that the major equipment cost (after capital-related items such as cell furnishings) is for security items with food service, sanitation, and other equipment needs comprising the remainder (see Table 7). At MCC, the primary equipment cost is derived from physical plant, followed by work programs, medical service, a visiting van and other minor requests.

TABLE 10

FINAL SUMMARY OF MAINE'S CORRECTIONAL SYSTEM

CAC CATEGORY BY COST FACTOR

<u>CAC Standard Category</u>	<u>New Personnel</u>	<u>Overtime</u>	<u>Equipment</u>	<u>Supplies</u>	<u>Facility</u>	<u>Purchase Of Services</u>	<u>Additional Funds</u>	<u>Total</u>
Administration	18,948.71		832,873.00	50.00	6,094,000.00			6,945,871.71
Fiscal	21,813.88		373.00	50.00				22,236.88
Training	47,700.91	140,920.32	2,319.00	825.00	2,400.00		273.40	194,439.13
Management Info. Systems	16,665.03		373.00	50.00				17,088.03
Records			440.00	720.00				1,160.00
Physical Plant	98,121.33		1,163,144.00		8,604,531.00			9,865,796.33
Security	35,725.05	13,593.60	53,123.00		122,996.00	1,800.00	81.00	227,318.65
Supervision	36,337.62		746.00	100.00				37,183.62
Special Mgmt. Inmates	23,339.82		786.90		25,491.00			49,617.72
Food Services	23,339.82		11,914.00					35,253.82
Sanitation		294.60	10,000.00	2,276.69	10,000.00		100.00	22,671.29
Medical	34,254.69		3,198.10	1,900.00	16,268.00	24,800.00		80,420.79
Rights			400.00	100.00				500.00
Rules	12,814.38		373.00	50.00				13,237.38
Mail			7,775.00	100.00				7,875.00
Reception	13,154.10		523.00	50.00				13,727.10
Classification	69,712.04		1,492.00	200.00				71,404.04
Work Programs	11,920.27		58,013.00		86,320.00		201,760.00	358,013.27
Library	24,210.10			5,000.00				29,210.10
Recreation	46,679.64		4,500.00					51,179.64
Social Services	43,629.00		1,119.00	150.00				44,898.00
TOTALS	578,366.39	154,808.52	2,153,485.00	11,622.19	14,962,006.00	26,600.00	202,214.40	18,089,100.00

1/ For further description on the costs of new and renovated facilities, see the preceding tables for each institution.

CAPITAL

The cost of capital needs for the state of Maine are approximately \$15 million. This is unquestionably the most significant of any cost factor. To reiterate, this cost figure is a general estimate, and actually may range from \$11 million to \$19 million, depending upon the capital options selected.

If the nearly \$2 million in capital-related equipment were also included here, this would leave only \$1,000,000 in costs remaining. These costs have been distributed among the operational cost factors discussed in this chapter, i.e., personnel, additional funds (including overtime coverage), purchase of service, etc.

PURCHASE OF SERVICES

This category applies to contractual agreements that are necessary in order to comply with the standards. These may be in the form of either new or expanded services. The services required here are essentially personnel-related, especially for psychiatric purposes. This is the primary cost at MSP, with the total amount in this cost category coming to \$27,000.

ADDITIONAL FUNDS

This category refers to additional funding required for several reasons, e.g., transportation costs, OT coverage, etc. OT coverage, like the purchase of service category, is a personnel related item. Overtime costs at both facilities will amount to more than \$150,000, most of which is necessary to cover the cost of training. One other extremely significant cost item is the additional funds which will be required to pay inmates for their work performed (see Standard #4390). This amounts to around \$100,000 at each facility, as explained earlier.

FOOTNOTES: Chapter Five

1. These figures do not include any new staff that may be necessitated by building additional Prison Industries and vocational training at MSP.
2. Unit prices for most equipment items were supplied by Stewart Sabeau, State Purchasing Agent.

CHAPTER 6

DESCRIPTION OF STANDARDS GROUPINGS BY CAC CATEGORY

The costs for the Administrative section of the standards for Maine's correctional system involves a huge capital cost estimate to comply with Standard #4017 (Constructive Programs) at Maine State Prison (see Table 10). The cost of program space will exceed \$6,000,000 (it approaches \$7,000,000 when equipment is included). This category also includes an Assistant Director at the Bureau level. A Planning Analyst is necessary to be responsible for their new Management Information System (see #4117) and other duties.¹ Both Central Office staff will be serving the two major institutions. The total for the two staff in these categories is \$36,460.

Two additional staff are needed for fiscal management purposes, both at Maine State Prison. The total request for this category comes to \$22,237, with the addition of a Stores Clerk and one Accountant.

The training standards will cost nearly \$200,000 for the state of Maine to implement, the majority of which is derived from overtime costs for training of security personnel. Overtime costs alone exceed \$150,000 (see also related Standard #4182). If, as an alternative, new staff were hired rather than using overtime payments for replacements, the cost of training would be somewhat lower. Based on the total number of hours² necessary to train security staff, ten new positions would be needed (six at MSP and four at MCC) to cover this training.

In terms of training staff, meeting the standards will require a Central Training Coordinator (see 4088) in addition to one trainer at each of the facilities. The costs for training equipment and supplies were determined to be negligible and will be assumed through reallocation

CONTINUED

1 OF 2

of existing resources.

As mentioned earlier, a Planning Analyst is required to assume responsibility for the state's new Management Information System. The total within the category of records is only \$1,160, which is for two new file cabinets and folders at MCC. There are no additional costs associated with this category at MSP.

The Physical Plant category will be the most expensive one indeed. The cost at MSP will be around \$8,000,000, although it may vary, depending upon the appropriate course of action chosen. At MCC, the physical plant standards will cost approximately \$750,000. (For further description, refer to the Chapter discussions for each institution.)

The security standards encumber quite a large cost, mostly due to equipment needs. The total amount of funds required will exceed \$250,000, with slightly more than half (\$135,000) being spent at the MSP and approximately \$125,000 used for MCC. The majority of these costs stem from equipment and capital items at MSP (e.g., emergency lighting equipment, new watch tower, security bars, etc.), while they are evenly divided between personnel and capital costs at MCC. At MCC the Security Standards call for the addition of three Correctional Officers, and the building of a rear sally port among other needs.

The costs are significant in the area of inmate supervision, partially due to the fact that these standards relate to those on classification and counseling services as well. The costs determined here are almost exclusively for personnel. Both MSP and MCC are highly deficient in the area of social services. Two treatment staff are needed, a Psychologist at MCC and a Human Services Worker at MSP. The total cost for these positions

is \$37,184.

The standards for Special Management Inmates cover those areas of the institutions involving administrative segregation, protective custody (PC), and disciplinary detention. The requirements to meet these standards are two security staff at MSP. There are also some equipment needs at MSP, including the installation of telephones, TV monitors, and a new exercise bike. At MCC, the renovation of appropriate space for visiting facilities will cost \$25,000. The total costs for this category is about \$60,000.

There are no cost standards in the food service area at MCC. MSP, however, will need two additional staff and a list of new kitchen equipment to improve the food service operation. The total cost to meet their needs at MSP amounts to \$35,000.

Costs in the category of sanitation and safety are minimal, with about \$3,000 being requested at both facilities to cover the costs of inmate clothing, showers, inspections, and inspector training.

Medical and health care is another large cost area, with requests of \$60,000 at MSP to comply (see Standard #4261 re: "comprehensive health evaluation). Most of this amount is for personnel needs at MSP, as they need a Nurse Practitioner and Physician's Assistant.

The inmate rights category will require \$250.00 for a typewriter and paper supplies at each of the institutions. Inmate rules will cost around \$13,000 for the addition of a Guard Sergeant at MSP.³ MCC needs a new passenger van to meet visiting standards (i.e., providing transportation) which will cost close to \$8,000.

The Reception standards are only deficient at MSP. The costs of

complying with these standards have been figured in with the various alternatives provided for the overall physical plant at MSP, i.e., renovation or new construction. Costs per square foot may be derived from these calculations.

The classification needs are strictly for new personnel at both facilities. The total costs in this category approximate \$70,000, with 75% of these costs stemming from MSP. MSP will require three Classification Program Officers to meet its needs, while MCC requires only one.

As previously discussed, work programs will also be a major area for both facilities, due to inmate wages (over \$200,000)⁴ and the need for Prison Industries to be established at MCC and upgraded at MSP. At MSP, the cost estimate for the addition and improvements in the work programs has been included within the dollar figure for building renovations or new construction (see specific alternatives to meet physical plant and capital cost standards). At MCC, the costs for work programs will involve the renovation of an old building for use as a Tire Recapping Plant. In addition, a new staff member will be needed to operate the plan resulting in a total cost of \$156,000 to meet these standards at MCC.

The costs resulting from the library standards come out about the same for both institutions, with MSP needing an additional Guard position and MCC requesting a librarian. In addition, MSP has requested \$5,000 for a new supply of books, which brings the total costs to almost \$30,000 for library services in Maine's Correctional system.

The major cost item for recreation resulted from the needs at MSP, which necessitate the construction of a new gymnasium (at a cost approaching \$750,000). The cost of recreation at MCC amounts to \$35,000 for

personnel, which will be needed to fund three Recreation/CO I positions. MSP will also need a Recreation/Guard position bringing the total personnel cost in this category to \$46,678.

The total costs required to meet Social Services standards is approximately \$45,000 for two Human Services staff at MSP and one at MCC. As mentioned earlier, both institutions are deficient in this area (see also section on Inmate Supervision).

SUMMARY

Table 10 illustrates those CAC categories which are the most costly for the state of Maine to comply with. As was noted several times previously, the two most important areas (in terms of cost) are Physical Plant and Administration (for program space). Beyond these two categories, the next most important (by the amount of funds involved) are the following: Work Programs, Security, Training, Medical, Classification and Recreation. From an operational standpoint, these categories are the ones most in need of staff, equipment, etc., in order to come into compliance with the standards.

FOOTNOTES: Chapter Six

1. See write-up in section on Central Office standards.
2. See, for example, Training Section at MSP.
3. A Guard Sergeant's position is necessary to comply with this standard given present disciplinary hearing policy and procedures; also to comply with Standard #4165 dealing with security equipment.
4. See institutional chapters for explanation of inmate pay.

Source List

- City and County Data Book, U.S. Department of Commerce, Bureau of the Census, 1977.
- Contracts at Maine Correctional Center (FY '79), provided by Anthony Meucci, Business Manager.
- Cost Estimate for Tire Recapping Plant provided by Harrelson Rubber Co., Asheboro, N.C. (for the State of Connecticut), 1979.
- Cost Estimate for Watch Tower, in April '78 -- Report to Maine C J Planning Assistant Agency, by Op. Systems, Inc., Arlington, Va.
- Departmental Statement to Committee on Appropriations and Financial Affairs (including Part II Additional) for MSP and MCC, January 3, 1979.
- Description of Personnel needs to comply with CAC standards at MCC, i.e., re: categories of Security and Recreation, provided by Jim Clemons, Assistant Superintendent for Operations and Training.
- "Determining and Defending Personnel Needs in Criminal Justice Organizations," by R. Waldron and J. Altemose, in Public Administration Review, Vol. 39, No. 4, July/August 1979.
- Dictionary of Criminal Justice Data Terminology, Law Enforcement Assistance Administration, National Criminal Justice Information and Statistics Service, 1976.
- Documentation for one additional Recreation Officer to meet standards at MSP, provided by A. Barlow, August 1, 1979.
- Encumbrance Reconciliation, provided by Business Office, MSP, June 1978.
- General Instructions for Preparing the 1980-81 Biennial Program-Oriented Budget, Department of Finance and Administration, Bureau of the Budget.
- "How To Do Business With Maine," Bureau of Purchases, State of Maine, 1976.
- Income and Expenditure Summaries, June 1979, for MSP, MCC, and Departmental Operations, provided by Lowell Hawes, Chief Accountant.
- Inter-Departmental Memo to Comm. Zitnay, from Warden Oliver, re: Urgent Kitchen Needs, April 25, 1979.
- Inter-Departmental Memo to Donald Allen, Director, from Warden Oliver, re: Request for Security Equipment -- Emergency Lighting/Radio Crystals at MSP, July 11, 1979.
- Inter-Departmental Memo to Steve Petley, BPI, from Ruth Thomas, Business Manager, re: Security Bars on East Wing at MSP (Cost estimate prepared by Standard Welding, Inc., So. Portland, Maine and submitted by Chief Graf) April 1979.

(Source List - cont'd)

- Inter-Departmental Memo to Thomas Meiser, Personnel Officer (C.O.), from Anthony Meucci, Business Manager, re: Requested Turnover of Employees at MCC, February 2, 1979.
- List of Authorized Positions, MCC (1/26/79), prepared by Anthony Meucci, Business Manager.
- List of Emergency Equipment needs at Maine State Prison to comply with standards, by Don Saastimoinen and Chief Graf.
- List of Security Equipment needs at Maine State Prison, prepared by Deputy Warden Smith.
- Maine C J Academy, Training Program Objectives, provided by Arthur Hildebrand, Training Officer.
- Maine Correctional Center, Staffing Study Synopsis, April 13, 1979, prepared by Anthony Meucci, Business Manager.
- Maine Corrections Master Plan, Department of MH and Corrections, State of Maine, December 1978.
- Maine State Government Annual Report (77-78), compiled by Department of Finance and Administration.
- Maine State Government, Salary Schedule of Class Titles and Ranges, Department of Personnel, July 1977 (with subsequent updates provided).
- Maine State Prison, Entry Level Training Schedule, provided by Vince Blais.
- Manual of Standards for Adult Correctional Institutions, Commission on Accreditation for Corrections, August 1977.
- Memo on "Physical Exam/Standards Compliance" (#4261), prepared by Anthony Taylor, LPN, July 16, 1979.
- Model Classification and Tracking System, MSP Discretionary Grant, February 1977.
- Preliminary Estimate for control center, Maine Correctional Center, April 3, 1979, provided by Anthony Meucci, Business Manager.
- Prison Personnel Roster as of 7/10/78 (with revisions included) provided by Carl Hennings, Personnel Officer, MSP.
- Prison Population and Policy Choices, Vol. I, National Institute of Law Enforcement and Criminal Justice, LEAA, September 1977, p. 95.
- Security System Proposal, prepared by Del Norte Tech., 18 February 1978.

(Source List - cont'd)

State of Maine, Bureau of Public Improvements, Project Budget for Recreation Center at MCC (10/20/77).

State of Maine Consolidated Cost Allocation Plan (FY '78-80), Department of Finance and Administration, Bureau of the Budget.

State of Maine Financial Report (7/1/77 - 6/30/78), Department of Finance and Administration, Bureau of Accounts and Control.

Statistical Report, Maine State Prison (FY '78), Classification Department.

Summary of Estimated Costs for Security and Treatment Unit, Maine Youth Center, South Portland, Maine, June 5, 1978 (with update for MCC from Anthony Meucci as of July 1979).

Work assignments at Maine State Prison, 7/16/79, provided by Donald Saastimoinen.

Appendices

1. Summary of Cost Implications, Maine State Prison
2. Summary of Cost Implications, Maine Correctional Center
3. Group Cost Sets - Reference List of Standards
4. Maine Bureau of Corrections - Population and Bed Projections
5. Security Equipment List
6. Summary of Compliance Alternatives for Capital Standards
7. Cost of Additional Personnel for Central Office
8. Cost of Additional Personnel for Maine State Prison
9. Cost of Additional Personnel for Correctional Center
10. Adult Correctional Institution Standards Categories
11. Standards Descriptions - Adult Institutions
12. Glossary of Terms
13. Summary of Non-Compliance Standards

APPENDIX 1

SUMMARY OF COST IMPLICATIONS

COST FACTOR	STATE*	CEC*
PERSONNEL:	48(61.54%)	150(86.71%)
MAJDR:		59(34.10%)
MINDR:		91(52.60%)
SUPPLIES:		37(21.39%)
MAJDR:		33(19.08%)
MINDR:		4(2.31%)
EQUIPMENT:	22(28.21%)	30(17.34%)
FACILITIES:	13(16.67%)	23(13.29%)
NEW:	5(6.41%)	
RENOVATE:	8(10.26%)	
OTHER:**	28(34.62%)	3(1.73%)
TOTAL:	79	173
COST NON-COMPLIANCE STANDARDS:		176
NO COST, NON-COMPLIANCE STANDARDS:		57
TOTAL NON-COMPLIANCE STANDARDS:		233

* => STATE: COST ANALYSIS OF STATE PLANS OF ACTION
 CEC: COST FACTORS IDENTIFIED BY CEC STAFF

$$\text{PERCENTAGES} = \frac{\text{INCIDENCE OF COST FACTORS}}{\text{TOTAL NO. OF NON-COMPLIANCE STANDARDS}} \times 100\%$$

(SUM OF PERCENTAGES MAY NOT EQUAL 100% DUE TO MULTIPLE RESPONSES)

** => INCLUDES ADDITIONAL FUNDS IDENTIFIED BY STATE MANAGEMENT TEAM
 PURCHASE OF SERVICES IDENTIFIED BY CEC STAFF

APPENDIX 2

SUMMARY OF COST IMPLICATIONS

COST FACTOR	STATE*	CEC*
PERSONNEL:	37(80.43%)	120(89.55%)
MAJOR:		52(38.91%)
MINOR:		68(50.75%)
SUPPLIES:		28(20.90%)
MAJOR:		26(19.40%)
MINOR:		2(1.49%)
EQUIPMENT:	5(10.87%)	22(16.42%)
FACILITIES:	6(13.04%)	15(11.19%)
NEW:	5(10.87%)	
RENOVATE:	1(2.17%)	
OTHER:**	12(26.09%)	1(.75%)
TOTAL:	46	134
COST NON-COMPLIANCE STANDARDS:		136
NO COST, NON-COMPLIANCE STANDARDS:		71
TOTAL NON-COMPLIANCE STANDARDS:		207

* => STATE: COST ANALYSIS OF STATE PLANS OF ACTION
CEC: COST FACTORS IDENTIFIED BY CEC STAFF

PERCENTAGES = $\frac{\text{INCIDENCE OF COST FACTORS}}{\text{TOTAL NO. OF NON-COMPLIANCE STANDARDS}} \times 100\%$

(SUM OF PERCENTAGES MAY NOT EQUAL 100% DUE TO MULTIPLE RESPONSES)

** => INCLUDES ADDITIONAL FUNDS IDENTIFIED BY STATE MANAGEMENT TEAM
PURCHASE OF SERVICES IDENTIFIED BY CEC STAFF

APPENDIX 3

GROUP COST SETS - REFERENCE LIST OF STANDARDS

Maine State Prison

<u>Standard Number</u>	<u>Description</u>	<u>Reference</u>
4017	Constructive Programs	4357, 4362; 4372; 4394, 4395; 4419; 4445
4010	Monitor Operations	4064, 4108
4011	Program Analysis	4018, 4100
4088	Training Supervision	4092
4090	New Employee Training	4181
4091	Annual Training	4097, 4271
4092	Direct Contact Training	4096, 4098, 4271, 4313
4094	Advisory Training Committee	4095
4117	Identify Needs	4120; 4121, 4394, 4398, 4399
4141	Design Capacity	4142
4142	Cell Size	4143, 4203, 4215, 4287
4143	Cell Furnishings	4203, 4204, 4274, 4287
4146	Preventive Maintenance	4162
4153	Watch Towers	4230
4165	Control of Firearms	4166, 4318
4186	Emergency Equipment Testing	4240
4193	Classification System	4195, 4302, 4372, 4441
4196	Counseling by Staff	4275, 4278, 4375, 4441, 4445
4212	Seg. Telephone Privileges	4349
4213	Shave and Shower Frequency	4215, 4251
4232	Appeal of Food	4235

<u>Standard Number</u>	<u>Description</u>	<u>Reference</u>
4261	Comprehensive Health Evaluation	4263
4289	Recreational Opportunities	4362, 4419, 4423, 4424, 4427
4318	Investigating Rule Violations	4328, 4337
4372	Classification Plan	4373, 4374, 4375, 4376, 4377, 4378, 4379, 4382
4386	Employment Opportunities	4387, 4395
4409	Library Services Provided	4417
4419	Comprehensive Program	4289
4441	Involves All Personnel	4196

Maine Correctional Center

4011	Program Analysis	4018, 4100
4088	Training Supervision	4092
4090	New Employee Training	4181
4091	Annual Training	4271
4092	Direct Contact Training	4096, 4098, 4271, 4313
4117	Identify Needs	4120, 4121
4141	Design Capacity	4308
4146	Preventive Maintenance	4162
4195	Staff Member Assignment	4196, 4302, 4372, 4375
4196	Counseling by Staff	4222, 4275, 4278
4375	Special Needs Inmates	4443, 4444
4419	Comprehensive Program	4429
4442	Caseload Determination	4195, 4375

APPENDIX 4

MAINE BUREAU OF CORRECTIONS
POPULATION AND BED PROJECTIONS
MALE

June 30, 1979

MONTH	COUNT 1ST OF MONTH	POP. FOR MONTH +inc.-dec.	TOTAL COUNT END OF MONTH	END OF MONTH AVAIL- ABLE BEDS	END OF MTH BED +Surplus -Needed	SITE	SITE CAPACITY
JANUARY							
FEBRUARY						County Jail	20
MARCH							
APRIL							
MAY							
JUNE	797	+24	795*	759	-36	Central Maine Pre-Release	33
JULY	795	+13	808	759	-49		
AUGUST	808	+21	829	759	-70		
SEPTEMBER	829	-8.5	820.5	759	-61.50		
OCTOBER	820.5	+24.5	845	794	-51	North/South Work Release	35
NOVEMBER	845	+13.5	858.5	794	-64.50		
DECEMBER	852.5	+25.5	884	794	-90		

Source: Mike Malloy, Administrative Assistant to Director, Central Office

APPENDIX 5

SECURITY EQUIPMENT LIST

The following items are needed to comply with standards at Maine State Prison.

I. Standard #4165 - Control of Firearms

● <u>one</u> new searchlight	@ \$200 = \$	200.00
● <u>six</u> new 30/30 Winchester Model 94 rifles	@ \$275 =	1,650.00
● X-ray machine for checking packages, novelties, etc.		= 8,000.00
● bullet-proof glass in the North West watch towers (work will be performed in-house)		= 4,400.00
● <u>four</u> 8-channel radios	@ \$2,000 =	8,000.00
● <u>one</u> scanner and crystals	@ \$350 =	350.00
● <u>six</u> Remington 870 shotguns (12 ga.)	@ \$165 =	990.00
● trap for commissary door (work will be performed in-house)		= 6,000.00
● <u>three</u> portable radios	@ \$1,100 =	3,300.00
● <u>one</u> charger for portable radios	@ \$90 =	90.00
		\$32,980.00

II. Standard #4186 - Emergency Equipment Testing

● emergency lighting/radio crystals		= \$2,117.00
● <u>twelve</u> pair of fireman's boots		= 700.00
● radio base station needs replacing		= 3,500.00
● <u>one</u> searchlight needs replacing		= 200.00
		\$6,517.00

APPENDIX 6

Maine Department of MH and Corrections
Maine State Prison
Summary of Compliance Alternatives for Capital Standards

A. Housing:

1. Capacity: According to present operational policy, all inmate cells should be 80 sq. ft.; should this vary in any way in the future, all or a portion of those cells could be considered to be at 60 sq. ft. each. Dormitory spaces were determined to be in compliance by Maine State Prison, however, we have found them below the 60 sq. ft. per person. Maine State Prison presently has capacity for 462 beds, of which 454 presently are occupied.

2. Population Mix: While Maine State Prison is considered as a maximum security facility, only about 100 are estimated to require this classification (by Maine State Prison staff) -- and the manner in which several of the housing units are operated attest for it. Maine State Prison has a capability for separate housing for protective custody inmates of about 25 cells (11 in third level of "Most Western cell block or dormitory building and 14 in the third and fourth tier of Center Block). These cells are always to full capacity and prison staff said they could use at least 5 more. Quarantine or reception cells for seven inmates are available (second level Center Block). The number of cells is considered sufficient (Standard 4357). Segregation cells are available for 20 inmates subdivided as follows: 11 for Administrative Segregation, 6 for Disciplinary Detention and 3 for temporary Restraint (in the third level of the Most Western Wing). This number is also considered sufficient. About 55 inmates are housed in dormitories and they could be considered as minimum to medium security units. There is no capability for psychotic inmates within any of the state's correctional institutions but they have arranged with Mental Health to handle them. The Maine Bureau of Corrections would like to have a unit within the State Prison for these cases but as far as standards are concerned they are in compliance. In summarizing population needs, there appears to be a need for about 100 beds in maximum security, 30 in protective custody, 20 in segregation, 7 in reception and the rest could be considered as medium security inmates (about 300).

3. Environmental Considerations: The most crucial issues found related to access to natural light and showers, amount of artificial lighting, acoustical considerations and issues around clean and orderly surroundings (Standards 4143, 4144, 4287).

4. Legal Requirements: Maine State Prison is far from compliance with any state and/or federal codes on safety and fire, or with building codes in general. Special areas of concern are its antiquated wiring and the lack of proper fire safety equipment and procedures (Standard 4287).

B. Programs

1. Space Availability:

1.1 Industries: Some space is available for wood shop, printing and upholstery, but industries should be expanded. In addition the management and

operations of current programs needs to be vastly improved. Neither Maine State Prison nor Bureau of Corrections administrators could determine what types of industries would be appropriate. They have requested a Management Analyst in a Technical Assistance request to assess their needs and upgrade the Prison Industry program.

1.2 Vocational Training: Only inmates in their last year of their sentence have access to a program outside the confines of the institution. None are available at Maine State Prison, but are located at Bolduc (Minimum Security Unit).

1.3 Avocations: This is a very extensive program at Maine State Prison but facilities are inadequate. In many cases inmates work in their own cells, in hallways next to their cells and in areas within dormitory space. Since they are run as businesses, inmate entrepreneurs also have other inmates as their staff (see 4187 -- Maine State Prison assessed itself in compliance) further aggravating the space problems at times -- not to mention the operational problems for Maine State Prison staff.

1.4 Education: Maine State Prison assessed itself in compliance.

1.5 Religious: Maine State Prison assessed itself in compliance.

1.6 Recreation: There is a great need for both indoor athletic and cultural programs. Maine State Prison has an auditorium (basement of the Administration Building) and has determined it would require a new gymnasium and its ancillary facilities, as well as a weight lifting area in an enclosed space. Maine State Prison's outdoor athletic facilities is good although access to it is inadequate for a correctional facility of this kind.

1.7 Counseling: Maine State Prison has some limited space for this function but it should be expanded. Space for staff has been requested as follows: 2 for human services workers and 1 for psychology assistant (Standards 4196 and 4359).

2. Environmental Considerations are vague in standards, calling only for adequacy. Each function has its own specific set which would have to be incorporated accordingly as part of any renovations to meet space availability.

3. Legal Requirements are governed by state building codes and by standard 4287(e).

C. Administration

1. Space Availability:

1.1 Administration: Deficiencies were determined to exist in the Business Office where they need office space for one accountant. The Business Office is presently located on the second level of the Administration Building, its quarters are crowded and there is no space into which to expand adjacent to it. Either the entire unit would have to be relocated or perhaps expand into the visiting area by relocating it (Standard 4051; related Standards 4352, 4354). Our site visit revealed that space for visiting was too small to accommodate the numbers and screening capabilities were inadequate as well. Prison staff agreed with both of these assessments.

1.2 Staff Training: Need for office space for another staff training office has been identified. They are presently located in a building outside the institution but near by (second floor of all-purpose building) and an office can be easily added in it.

1.3 Classification: It has been determined that space for 3 classification program officers will be necessary. The Classification Office is presently located in the third level of the Administration Building. Its quarters are extremely overcrowded and there is no room for expansion left within. An area to house all of the classification functions (including office space, files and hearing rooms) should be found either through redistribution of space, renovation or addition. (Standard 4193)

2. Environmental considerations appropriate to these functions shall be met in any plan for compliance (Standard 4102).

3. Legal requirements are governed by state's building codes.

Alternatives

All of the following alternatives are based, therefore, on a reduction of the existing bed capacity, an increase in program and administrative space and the need to comply with environmental and legal requirements.

1. Renovate within existing structures and layout

A. Housing

1. Capacity: from 462 to 219 as follows: (269 at 60 sq. ft. each)
East Wing: Single cells at 80 sq.ft. from 210 to 80 (44 lost to compliance with natural light, 83 lost to cell size and 3 lost to shower requirements. Addition of a second means of egress will not demand loss of cell space here.) If single cells were to be considered at 60 sq. ft., then the cell reduction would be to 108.
Center Block: single cells at 80 sq. ft., from 77 to 36 (21 lost to compliance with natural light, 20 lost to compliance with cell size). If single cells were to be considered at 60 sq. ft. then the cell reduction would be to 43.
West Block: Single cells at 80 sq. ft., from 69 to 32 cells (45 lost to compliance with cell size). If single cells were to be considered at 60 sq. ft. then the cell reduction would be to 48 cells.
Most Western Section: single cells at 80 sq. ft., from 31 to 18 (3 lost to natural light and 10 to cell size). Dormitory space at 60 sq. ft. from 75 to 61.
2. Population Mix: 100 in maximum security, 30 in protective custody, 20 in segregation, 7 in reception and 62 in medium security.
3. Environmental requirements - see below
4. Legal requirements - see below

Housing renovations in single cells would take the form of either conversion of 3 cells into 2 or 2 into 1 by opening an archway in between. All fixtures and utility services would have to be replaced. Cells without access to outside light would have to be demolished. Additional stairs and other fire safety devices will be accommodated within each cell block. Housing renovations in dormitory areas will consist of a reduction in the number of cells and addition of fire safety devices.

B. Programs:

Involves complete renovation of existing buildings to accommodate program functions, and building code update. This implies that some industries may not be found suitable for the space available. Construction of a new gymnasium, a weightlifting room and ancillary facilities, in an area presently occupied by the novelties shop and the maintenance shops, which in turn will be relocated within the area.

C. Administration:

Space would have to be found within existing buildings.

Maine Department of Corrections would have to permanently relocate through new construction about 243 beds in the medium range. This alternative implies temporary relocation of inmates during renovation work-period, which could be estimated at 9 to 12 months for each major area. Execution of work will entail extensive phasing which at times may conflict with operational demands in the areas of security and continuance of services. This alternative can only generate a low return for the investment because it will require an old structure and layout to accommodate modern correctional standards. They are each based on very different operational premises.

2. Reconstruct the interior of the East Wing, the Center Block and the West Wing for housing, demolish all buildings in the southeast quad of the site (leaving the dining and kitchen facilities intact) and the most western wing (adjacent to the West Wing), and build a new program center connected to the cell blocks and a new Administration extension.

A. Housing:

1. Capacity: from 462 to 240 as follows:

East Wing: single cells at 80 sq. ft. placed along periphery of building to maximize access to natural light (from 210 to 160 cells). The East Wing could be further subdivided into modules of 10, 20, 30, etc.

Center Block: single cells at 80 sq. ft. same as above (from 77 to 48).

West Block: single cells at 80 sq. ft. same as above (from 60 to 32)

2. Population mix (see Alternative 1).

B. Programs: see above.

C. Administration: see above.

Maine Department of Corrections would have to permanently relocate 222 inmates. For phasing and relocation of inmates during construction, see Alternative 1. Maine State Prison would become a modern correctional institution but at a high cost.

3. All New Construction

Build a totally new facility at another site for 450 to 500 inmates. Only a portion of these beds, however, should be built as maximum security (about 100 by a recent Bureau estimate) and the rest in medium security. To achieve the economies of scale certain support and program spaces could be shared but they would essentially be operable as two institutions.

Maine Bureau of Corrections should also evaluate the feasibility of future utilization of this site and its buildings as well as that of the site alone (demolishing buildings) whether for a correctional use or some other one.

Pros: No relocation of inmates during construction.

Quicker availability of beds and thus less susceptibility to inflation ratios. Highest return for dollar investment.

Opportunity for developing a modern correctional facility for the state.

Cons: ?

NOTE: The average duration of a project of this magnitude is about 5 years for new construction from the time an architectural firm is hired to the completion of construction. In renovations of the types suggested, these figures could be increased by 30% to 50%.

APPENDIX 7

COST OF ADDITIONAL PERSONNEL FOR CENTRAL OFFICE

<u>CAC STANDARD CATEGORY & NUMBER</u>	<u>POSITION CLASS/TITLE</u>	<u>NUMBER OF POSITIONS</u>	<u>STATUS</u> ^{a)}	<u>BASE SALARY</u>	<u>FRINGE BENEFITS</u> ^{b)}	<u>TOTAL</u>
<u>Administration</u> 4011 E	Asst. Bureau Director (26) ^{c)}	1	FT	\$16,167.42	\$2,781.29	\$18,948.71
<u>Training</u> 4088 E	Program Development and Training Coordinator (25)	1	FT	15,585.02	2,696.09	18,281.11
<u>Management</u> 4117 E	Planning Analyst (23)	1	FT	14,175.20	2,489.83	16,665.03
TOTALS		<u>3</u>				<u>\$53,894.85</u>

a) Status: FT = Full-time position, PT = Part-time, SD = Shift differential

b) Fringe rate includes 14.63 percent for FY 80 plus \$416 health insurance.

c) The number in parentheses after position title indicates salary range for state of Maine.

SOURCE: Plans of Action submitted by the state of Maine and subsequent follow-up discussions w/SMT staff.
The base salary figures were obtained from Personnel salary schedules.

APPENDIX 8

COST OF ADDITIONAL PERSONNEL FOR MAINE STATE PRISON

<u>CAC STANDARD CATEGORY & NUMBER</u>	<u>POSITION CLASS/TITLE</u>	<u>NUMBER OF POSITIONS</u>	<u>STATUS</u> ^{a)}	<u>BASE SALARY</u>	<u>FRINGE BENEFITS</u> ^{b)}	<u>TOTAL</u>
<u>Fiscal Management</u>						
4051 E	Accountant I (14) ^{c)}	1	FT	\$10,036.00	\$1,884.27	\$11,920.27
4054 E	Stores Clerk (7)	1	FT	8,268.00	1,625.61	9,893.61
<u>Training</u>						
4090 E	Institutional Training Officer or Guard Lieutenant (20)	1	FT	12,469.60	2,240.30	14,709.90
<u>Physical Plant</u>						
4146 E	Correctional Maintenance Mechanic (14)	1	FT	10,036.00	1,884.27	11,920.27
	Stationary Fireman (12)	1	FT	9,432.80	1,796.02	11,228.82
<u>Supervision</u>						
4196 E	Human Services Worker III (21)	1	FT	12,989.60	2,316.38	15,305.98
<u>Special Management</u>						
<u>Inmates</u>						
4213 E	Guard (12)	1	FT	9,817.60	1,852.31	11,669.91
4215 E	Guard (12)	1	FT	9,817.60	1,852.31	11,669.91
<u>Food Services</u>						
4232 E	Correctional Sanitation Supervisor/ Guard Position (12)	1	FT	9,817.60	1,852.31	11,669.91
	Cook II (12)	1	FT	9,817.60	1,852.31	11,669.91
<u>Medical Services</u>						
4261 E	Nurse Practitioner (25)	1	FT	15,585.02	2,696.09	18,281.11
	Physician's Assistant (22)	1	FT	13,572.00	2,401.58	15,973.58

COST OF ADDITIONAL PERSONNEL FOR MAINE STATE PRISON

<u>CAC STANDARD CATEGORY & NUMBER</u>	<u>POSITION CLASS/TITLE</u>	<u>NUMBER OF POSITIONS</u>	<u>STATUS</u>	<u>BASE SALARY</u>	<u>FRINGE BENEFITS</u>	<u>TOTAL</u>
<u>Discipline</u> 4318 E	Guard Sergeant(15)	1	FT	10,816.00	1,998.39	12,814.38
<u>Reception</u> 4359 E	Psychology Assistant (17)	1	FT	11,117.60	2,036.50	13,154.10
<u>Classification</u> 4372 E	Classification Program Officers (24)	3	FT	14,840.80	2,587.21	52,284.03 ^{d)}
<u>Library Services</u> 4413 E	Guard (12)	1	SD	10,025.60	1,882.75	11,908.35
<u>Recreation</u> 4419 E	Recreation/Guard Position (12)	1	FT	9,817.60	1,852.31	11,669.91
<u>Soc Services and Counseling</u> 4441 I	Human Services Worker I (19)	1	FT	11,991.20	2,170.31	14,161.51
TOTALS:		20				\$271,905.46

- a) Status: FT = Full-time position, PT = Part-time, SD - Sift differential
- b) Fringe rate includes 14.63 percent for FY 80 plus \$416 health insurance.
- c) The number in parentheses after position title indicates salary range for state of Maine.
- d) The totals in this case = the base salary plus fringe x the number of positions specified.

SOURCE: Plans of Actions submitted by the state of Maine and subsequent follow-up discussions w/SMT staff.
The base salary figures were obtained from Personnel salary schedules.

APPENDIX 9

COST OF ADDITIONAL PERSONNEL FOR MAINE CORRECTIONAL CENTER

<u>CAC STANDARD CATEGORY & NUMBER</u>	<u>POSITION CLASS/TITLE</u>	<u>NUMBER OF POSITIONS</u>	<u>STATUS</u> ^a	<u>BASE SALARY</u>	<u>FRINGE BENEFITS</u> ^b	<u>TOTAL</u>
<u>Training</u> 4090 E	Institutional Training Officer ^c or Correctional Officer II (20)	1	FT	\$12,469.60	\$2,240.30	\$14,709.90
<u>Physical Plant</u> 4141 E	Correctional Officer I (12)	4.5	FT	9,817.60	1,852.31	52,514.60 ^{d)}
4146 E	Electrician I (12)	1	FT	9,432.82	1,796.00	11,228.82
	Carpenter (12)	1	FT	9,432.82	1,796.00	11,228.82
<u>Security</u> 4152 E	Correctional Officer I (12)	3	SD	10,025.60	1,882.75	35,725.05 ^{d)}
<u>Supervision</u> 4196 E	Psychologist II (29)	1	FT	17,984.51	3,047.13	21,031.64
<u>Classification</u> 4372 E	Classification Program Officer (24)	1	FT	14,840.80	2,587.21	17,428.01
<u>Work Programs</u> 4386 E	Tire Technician (14)	1	FT	10,036.00	1,884.27	11,920.27
<u>Library Services</u> 4413 E	Librarian I (15)	1	FT	10,368.80	1,932.95	12,301.75

COST OF ADDITIONAL PERSONNEL FOR MAINE CORRECTIONAL CENTER

<u>CAC STANDARD CATEGORY & NUMBER</u>	<u>POSITION CLASS/TITLE</u>	<u>NUMBER OF POSITIONS</u>	<u>STATUS</u>	<u>BASE SALARY</u>	<u>FRINGE BENEFITS</u>	<u>TOTAL</u>
<u>Recreation</u> 4419 E	Recreation/Correctional Officer I (12)	3	FT	9,817.60	1,852.31	35,009.73 ^{d)}
<u>Soc Services and Counseling</u> 4442 I	Human Services Worker I (19) Human Services Worker III (21)	1 1	FT FT	11,991.20 12,989.60	2,170.31 2,316.38	14,161.51 15,305.98
TOTALS		19.5				\$252,566.08

100

- a) Status: FT = Full-time position, PT = Part-time, SD = Shift differential
- b) Fringe rate includes 14.63 percent for FY 80 plus \$416 health insurance.
- c) The number in parentheses after position title indicates salary range for state of Maine.
- d) The totals in this case = the base salary plus fringe x the number of positions specified.

SOURCE: Plans of Action submitted by the state of Maine and subsequent follow-up discussions w/SMT staff.
The base salary figures were obtained from Personnel salary schedules.

APPENDIX 10

Adult Correctional Institution Standards Categories

<u>Abbreviation</u>	<u>Title</u>
Administration	Administration, Organization and Management
Fiscal	Fiscal Management
Personnel	Personnel
Training	Training and Staff Development
Planning	Planning and Coordination
Management & Information	Management Information Systems
Research	Research and Evaluation
Records	Records
Physical Plant	Physical Plant
Security	Security and Control
Supervision	Supervision of Inmates
Special Management Inmates	Special Management Inmates
Food Services	Food Services
Sanitation	Sanitation, Safety and Hygiene
Medical	Medical and Health Care Services
Rights	Inmate Rights
Rules	Inmate Rules and Discipline
Mail & Visiting	Mail and Visiting
Reception	Reception and Orientation
Money and Property Control	Inmate Money and Property Control
Classification	Classification
Work Programs	Inmate Work Programs
Ed. and Voc. Training	Educational and Vocational Training

Adult Correctional Institution Standards Categories (cont'd)

<u>Abbreviation</u>	<u>Title</u>
Library	Library Services
Recreation	Recreation and Inmate Activities
Religious	Religious Services
Social Services	Social Services and Counseling
Release	Release Preparation and Temporary Release
Citizen Involvement	Citizen Involvement and Volunteers

APPENDIX 11

Standards Descriptions -- Adult Institutions

Administration, Organization and Management

4001	Establishment
4002	Philosophy & Goals
4003	One Executive Officer
4004	Policy Formulation
4005	Administrative Manual
4006	Administrative Subunits
4007	Channels of Communication
4008	Mission Description
4009	Operations Manual
4010	Monitor Operations
4011	Program Analysis
4012	Annual Goal Formulation
4013	Legal Assistance
4014	Quarterly Report
4015	Monthly Meetings
4016	System of Communication
4017	Constructive Programs
4018	Community Agencies
4019	Courts and Parole
4020	Legislative Cooperation
4021	Internship Program
4022	College Consultation
4023	Public Information
4024	Media Access
4025	Comprehensive Report
4026	Association Membership
4027	Employee-Management

Fiscal Management

4028	One Fiscal Officer
4029	Fiscal Authority
4030	Fiscal Officer
4031	Bonded Employees
4032	Inmate Welfare Fund
4033	Community Services
4034	Budget Request
4035	Budget Responsibility
4036	Justifying Budget Request
4037	Monitor Expenditures
4038	Budget Revisions
4039	Budget Hearings
4040	Space Requirements
4041	Accounting System
4042	Annual Review
4043	Accounting Procedures
4044	Secure Monies

Fiscal Management (cont'd)

4045 Reports of Monies
4046 Checks and Vouchers
4047 Property Inventory
4048 Stores Inventory Control
4049 Personnel Records & Payroll
4050 Purchase of Supplies
4051 Audits
4052 Insurance Coverage
4053 Commissary
4054 Commissary Controls

Personnel

4055 Employment and Promotion
4056 Annual Policy Review
4057 Manual Requirements
4058 Manual Availability
4059 Education Substitutes
4060 Affirmative Action Program
4061 Affirmative Action Implementation
4062 Equal Employment Opportunities
4063 Direct Contact Personnel Requirements
4064 Reexamine Assigned Positions
4065 Personnel Record
4066 Confidentiality of Records
4067 Challenge File Information
4068 Staff Grievance Procedure
4069 Executive Officer Appointment
4070 Executive Officer Specifications
4071 Executive Officer Qualifications
4072 Executive Officer Term
4073 Probationary Term
4074 Permanent Status
4075 Performance Review
4076 Department Head Qualifications
4077 Paraprofessionals
4078 Employment of Ex-offenders
4079 Equal Treatment
4080 Competitive Salary Levels
4081 Employment From Outside
4082 Merit Pay Increases
4083 Solicitation of Suggestions
4084 Reimbursement of Expenses
4085 Administrative Leave
4086 Code of Ethics
4087 Confidentiality of Information

Training and Staff Development

4088 Training Supervision
4089 Training of Trainers
4090 New Employee Training

Training and Staff Development cont'd

4091 Annual Training
4092 Direct Contact Training
4093 Administrative Training
4094 Advisory Training Committee
4095 Committee Responsibilities
4096 Detention Personnel Training
4097 Weaponry Training
4098 Physical Force Techniques
4099 Continuing Education
4100 Annual Evaluation
4101 Library Services
4102 Space and Equipment
4103 Reimbursement of Staff
4104 Public and Private Agencies

Planning and Coordination

4105 Range of Plans
4106 Long Range Plans
4107 Executive Officer Responsibility
4108 Monitor Progress
4109 Interrelated Functions
4110 Personnel, Space and Equipment
4111 Manpower, Planning
4112 Federal, State and Regional

Management Information Systems

4113 Information Retrieval
4114 Review All Aspects
4115 Thorough Procedure
4116 Regular Reports
4117 Identify Needs
4118 Security of System
4119 Other Agencies
4120 Evaluation Criteria
4121 Inmate Classifications
4122 Population Summaries

Research and Evaluation

4123 Research Activities
4124 Operational Personnel
4125 Outside Professionals
4126 Design Review
4127 Medical Experiments
4128 Private Agency Support
4129 Use of Findings

Records

4130 Case Records Management
4131 Case History
4132 One Master File
4133 Daily Report
4134 Case Record Requirements
4135 Identify Contents
4136 Master File Kept Current
4137 Safeguard Case Records
4138 Information Release
4139 Information Release Form

Physical Plant

4140 Decentralized Units
4141 Design Capacity
4142 Cell Size
4143 Cell Furnishings
4144 Dormitory Requirements
4145 Staff Accessibility
4146 Preventive Maintenance
4147 Proximity of Population Center
4148 Dormitory Usage
4149 Number in Facility

Security and Control

4150 Security Manual
4151 Secure Perimeter
4152 Surveillance Outside
4153 Watch Towers
4154 Armed Employee Assignments
4155 Outside Armed Supervision
4156 Sally Ports
4157 Designated Points for Traffic
4158 Control Center
4159 Inmate Count
4160 Temporary Absences
4161 Regulation of Movement
4162 Security Device Maintenance
4163 Searches for Contraband
4164 Policy for Searches
4165 Control of Firearms
4166 Condition of Security Equipment
4167 Issued Weapons
4168 Firearms Depository
4169 Equipment Distribution
4170 Report Firearms Discharge
4171 Injuries by Weapons
4172 Areas for Weapons
4173 Unloading Firearms
4174 Control of Keys
4175 Control of Tools

Security and Control

4176 Toxic Materials
4177 Post Orders
4178 Read Post Order
4179 Escape Procedures
4180 Emergency Plans
4181 Emergency Plan Execution
4182 Specially Trained Unit
4183 Evaluation of Special Unit
4184 Job Action Plan
4185 Emergency Power
4186 Emergency Equipment Testing
4187 Inmate Control
4188 Physical Force
4189 Instruments of Restraint
4190 Institution Vehicles
4191 Personal Vehicles
4192 Inmate Transportation

Supervision of Inmates

4193 Classification System
4194 Movement of Inmates
4195 Staff Member Assignment
4196 Counseling by Staff
4197 Daily Inspection
4198 Visit Living Areas
4199 Shift Reports

Special Management Inmates

4200 Disciplinary Detention
4201 Administrative Segregation
4202 Protective Custody
4203 Segregation Unit Conditions
4204 Non-Isolated Segregation
4205 Clothing
4206 Basic Personal Items
4207 Usual Items and Activities
4208 Meals
4209 Staff Visits
4210 Visits and Mail
4211 Detention Telephone Privileges
4212 Seg Telephone Privileges
4213 Shave and Shower Frequency
4214 Hygienic Living Conditions
4215 Exercise
4216 Legal Materials
4217 Reading Materials
4218 Programs and Services
4219 Permanent Log

Special Management Inmates (cont'd)

4220 Supervision of Staff
4221 Staff Selection Criteria
4222 Psychological Assessment

Food Services

4223 Full-Time Supervisor
4224 Dietary Standards
4225 Institution-Produced Products
4226 Advance Menu Preparation
4227 Special Diets
4228 Meal Records
4229 Budgeting Practices
4230 Time Between Meals
4231 Food as Reward
4232 Appeal of Food
4233 Non-Regimented Conditions
4234 Weekly Inspections
4235 Equipment Meets Standards
4236 Personnel Health Regulations

Sanitation, Safety and Hygiene

4237 Fire and Safety Officer
4238 Annual Inspection
4239 Water Supply
4240 Fire Prevention
4241 Fire Drills
4242 Housekeeping
4243 Control of Vermin
4244 Waste Disposal
4245 Issue of Clothing
4246 Special Clothing
4247 Issue of Bedding
4248 Clothing Records
4249 Daily Clothing Exchange
4250 Personal Laundry Usage
4251 Shower Frequency
4252 Hair Care Services

Medical and Health Care Services

4253 Medical and Dental Services
4254 Licensed Physicians
4255 Licensure of Personnel
4256 Equipped Facility
4257 Emergency Services
4258 Advance Arrangements
4259 Preliminary Health Evaluation
4260 Performance of Evaluation

Medical and Health Care Services (cont'd)

4261 Comprehensive Health Evaluation
4262 Sick Call
4263 Periodic Examinations
4264 Medical and Dental Records
4265 Record Confidentiality
4266 Pharmacist
4267 Dispensing of Drugs
4268 Inmates Receive Medication
4269 Illness or Surgery
4270 Death
4271 First Aid Training
4272 Emergency Medical Care
4273 Women's Health Care Needs
4274 Disabled and Infirm
4275 Treating Emotional Disturbances
4276 Team for Emotionally Disturbed
4277 Psychotic Inmate Facilities
4278 Services for Retarded
4279 Psychiatric Consultation

Inmate Rights

4280 Access to Courts
4281 Access to Attorneys
4282 Confidential Contacts
4283 Inmate Legal Assistance
4284 Supplies for Legal Matters
4285 Personal Abuse
4286 Use of Name
4287 Healthful Environment
4288 Medical and Dental Care
4289 Recreational Opportunities
4290 Medical Testing
4291 Non-Medical Testing
4292 Regular Searches
4293 New Crime Searches
4294 Discrimination
4295 Voluntary Participation
4296 Rules of Conduct
4297 Institution Rules
4298 Rule Interpretation
4299 Handling Minor Violations
4301 Grievance Procedures
4302 Classification Policy
4303 Freedom in Grooming
4304 Religious Practice

Inmate Rights (cont'd)

4305 Visits
4306 Communication and Correspondence
4307 Access to Public
4308 Co-educational Institutions
4309 Sex Discrimination

Inmate Rules and Disciplines

4310 Prohibited Acts
4311 Rulebook
4312 Positive Wording
4313 Personnel Training
4314 Disciplinary Procedures
4315 Minor Misbehavior
4316 Disciplinary Reports
4317 Disciplinary Report Requirements
4318 Investigating Rule Violations
4319 Prehearing Detention
4320 Statutory Detention
4321 Copies of Disciplinary Decision
4322 Review of Hearings
4323 Appeal Decisions
4324 Waive Hearings
4325 Major Violation Discipline
4326 Hearings of Major Violations
4327 Notice of Major Violations
4328 Major Violation Hearing Time Span
4329 Presence at Major Violation Hearing
4330 Staff Member Representation
4331 Witnesses & Evidence
4332 Major Violation Detention
4333 Not Guilty of Major Violation
4334 Minor Violation Discipline
4335 Minor Violation Hearing
4336 Copy of Minor Violation
4337 Minor Violation Hearing Timespan
4338 Presence at Minor Violating Hearing
4339 Not Guilty of Minor Violation

Mail and Visiting

4340 Inmate Correspondence
4341 Volume of Mail
4342 Holding of Mail
4343 Mail Censorship
4344 Inspection of Mail
4345 Disposition of Contraband
4346 Sealed Letters
4347 Postage Allowance
4348 Forwarding of Mail
4349 Access to Telephone

Mail and Visiting (cont'd)

4350 Visiting Policy
4351 Number of Visitors
4352 Informal Communication
4353 Extended Visits
4354 Special Visits
4355 Visitor Transportation

Reception and Orientation

4356 Reception Policy
4357 Adequate Facilities
4358 Admitting Procedures
4359 Admission Reports
4360 Medical Quarantine
4361 List of Personal Property
4362 Reception Unit Program
4363 Orientation Language
4364 Classification Time Frame

Inmate Money and Property Control

4365 Specify Property
4366 Control Property
4367 Property Control Policy
4368 Personal Funds
4369 Interest-Bearing Accounts
4370 Interest Accrual
4371 Audit Inmate Accounts

Classification

4372 Classification Plan
4373 Manual
4374 Inmate Involvement
4375 Special Needs Inmates
4376 Program and Status Review
4377 Determining Status
4378 Inmates at Hearings
4379 Inmates Initiate Reviews
4380 Refusal to Participate
4381 Administrative Segregation Hearing
4382 Administrative Segregation Review
4383 Administrative Segregation Release
4384 Pre-Parole Report
4385 Pre-Institutional Assessment

Inmate Work Programs

4386 Employment Opportunities
4387 Job Market Relevance
4388 Work Day Structure
4389 Labor Organizations
4390 Inmates Paid
4391 Incentives
4392 Compensation Rate

Education and Vocational Training

4393 Education Through High School
4394 Population Needs
4395 Education and Vocational Training
4396 Counseling for Placement
4397 Educational Personnel
4398 Measure Effectiveness
4399 Program Assessment
4400 Licensed Teachers
4401 Inmates Working as Teachers
4402 Specialized Equipment
4403 Flexible Scheduling
4404 Community Educational Programs
4405 Functional Social Skills
4406 Relevant Vocational Programs
4407 Licensed Vocational Instructors
4408 Community Vocational Resources

Library Services

4409 Library Services Provided
4410 Policy for Selection
4411 Full-Time Staff Member
4412 Supervising Staff Member
4413 Available Daily
4414 Library Personnel
4415 Determine Needs
4416 Design and Appearance
4417 Minimum Provisions
4418 Interlibrary Loan

Recreation and Inmate Activities

4419 Comprehensive Program
4420 Athletic and Cultural
4421 Full-Time Director
4422 Inmates as Program Assistants
4423 Interact with Community
4424 Facilities and Equipment
4425 Recreation Personnel

Recreation and Inmate Activities (cont'd)

4426 Assess Needs
4427 Specific Program
4428 Resources for Activities
4429 Community Activities

Religious Services

4430 Access to Programs
4431 Staff Member Supervision
4432 Religious Personnel
4433 Publications and Diet
4434 Facilities Provided
4435 Personnel Access
4436 Contact Representatives

Social Services and Counseling

4437 Appropriate Program
4438 Trained Supervisor
4439 Coordinated Counseling
4440 Qualified Counselors
4441 Involves All Personnel
4442 Caseload Determination
4443 Case Conferences
4444 Substance Abuse Programs

Release Preparation and Temporary Release

4445 Preparation Program
4446 Graduated Release
4447 Transitional Assistance
4448 Use of Parolees
4449 Temporary Release
4450 Escorted Leaves
4451 Unescorted Leaves
4452 Work Release
4453 Temporary Release Requirements
4454 Work Housing

Citizen Involvement and Volunteers

4456 Staff Member Responsible
4457 Program Director
4458 Cross Section of Volunteers
4459 Volunteer Orientation
4460 Inmate Orientation
4461 Volunteer Identification
4462 Written Agreement
4463 Volunteer Qualifications

Citizen Involvement and Volunteers (cont'd)

4464 Policy Development
4465 Discontinuing Services

APPENDIX 12

Glossary of Terms

Administrative Segregation - Used as close supervision when it is necessary to segregate certain inmates from the general population, for relatively extensive periods of time, to assure the safety and security of the institution and for the protection of the inmates or others.

Adult Correctional Institution - A confinement facility, usually under state or federal auspices, which has custodial authority over adults sentenced to confinement for more than one year.

Agency - The unit of a governing authority which has direct responsibility for the execution of a corrections program, including the implementation of policy as set by the governing authority.

Appropriation/Appropriated Funds - Enacted by Congress which sets up a federal program or agency either indefinitely or for a given period of time.

Authorization/Authorized Position - Basic substantive legislation/Full time equivalent position for which funding is approved by the legislature.

Average Daily Population - Refers to the population of inmates at a particular facility or within an entire correctional system. This figure takes into account both new admissions and releases, and, therefore, is generally higher than the inmate population at a given point in time. It is best derived by summing the population over some time period (month, year) then dividing by the appropriate number of days.

Camp/Ranch/Farm - Any of several types of similar confinement facilities, usually in a rural location, which contains adults convicted of a felony or a misdemeanor.

Capital Costs - Refers to costs for alterations to physical plant required for standards' compliance; may be renovation or construction of new facilities.

Correctional Facility - A building, or part thereof, set of buildings, or area enclosing a set of buildings or structures, operated by a government agency for the custody and/or treatment of adjudicated, and committed persons, or persons subject to criminal proceedings.

CEC Cost Factors, including:

Personnel Time - (minor) The new activities mandated by this standard will require additional staff time of less than one-half person year.

(major) The new activities mandated by this standard will require additional staff time of one-half person year or more.

Supplies - (minor) Less than \$100 per year. (major) \$100 per year or more.

Equipment - Office, security, communications, or other equipment is required to comply with the standard.

CEC Cost Factors, including: (cont'd)

Space/Facilities - Will require either new construction or the renovation of existing facilities.

Purchase of Services - Contracting for services rendered.

Chief Executive Officer - The person in charge of the institution or agency, usually called the Warden, Superintendent, or Director.

Classification - A process for determining the needs and requirements of those for whom confinement has been ordered, and for assigning them to housing units and programs according to their needs and existing resources.

Compliance - When an organizational unit meets a particular standard or set of standards.

Cost Allocation - Derivation of compliance costs associated with a particular standard, especially when a single resource is distributed among several standards.

Cost Analysis - The process whereby standards' compliance costs are derived; includes cost allocation, assessment of resource requirements and inclusion of all associated costs.

Criminal Justice Agency - Any government agency or subunit of which the principal activities consist of the prevention, detection, and investigation of crime; the apprehension, detention, and prosecution of alleged offenders; the confinement or official correctional supervision of accused or convicted persons, or the administrative or technical support of the above functions.

Criminal Justice System Costs - Direct outlays for, or the imputed value of goods and services provided by agencies, organizations or by individuals.

Deficiency - Exists when a facility, organizational unit, program, or procedure does not meet a particular standard. In this case, a change must be made in the current level of operations in order to comply with the standard.

Disciplinary Detention - Confinement of an inmate to an individual cell, separated from the general population, as a result of a hearing before impartial hearing officer(s), in which the inmate has been found to have committed a rule(s) violation(s).

Discounting - Expressing the dollar value of future costs or benefits in today's terms. Permits, e.g., comparisons when benefits occur in the future but costs are incurred now.

Documentation Preparation - The agency complies with the standard, but lacks documentation to support compliance.

Extent of Non-Compliance - The degree to which a facility does not meet the minimum requirements of a standard ranging from meeting some of the requirements (partial non-compliance) to meeting none of the prescribed conditions (total non-compliance).

External Costs - Direct outlays for, or the imputed value of, goods and services provided by all agencies, organizations, or individuals external to the criminal justice system.

Facility - The actual physical setting in which a program or agency functions.

Field Services - See Parole Agency.

Fringe Benefit Costs - Allowances and services provided to employees as compensation in addition to regular wages and salaries. For the purposes of this study, the definition includes retirement (state), FICA, health insurance, life insurance, disability insurance, unemployment insurance, workmen's compensation, vacation days allowance, holiday allowance, clothing and food.

Full Time Equivalent (FTE) - The number of personnel or employees that are required to carry out a particular function, or 'cover' a particular post. For example, two half-time employees are equivalent to one full-time staff; or 4.5 FTE's are required to cover a particular post (based on three shifts times seven days a week).

Governing Authority - For public/government agencies, this is the administrative department or division to whom the agency reports; it is the policy-setting body. For private agencies, this is the board of directors or board of trustees which sets policy.

Halfway House - A residential facility located in the community which provides early release opportunities for inmates and similar services to pre-trial and pre-sentence clients, probationers, parolees, ex-offenders and out-clients.

Hearing - A proceeding in which arguments, witnesses or evidence are heard by a judicial officer or administrative body.

Hidden Costs - Costs that are not easily identifiable, since they are not listed in the obvious category, e.g., indirect costs or costs incurred by another state agency for accounting.

Indirect Costs - Generally costs associated with but not directly attributable to a particular activity. Manufacturing or administrative overhead, or accounting services occur in addition to direct costs such as labor, capital and raw materials.

Information System - The concepts, personnel, and supporting technology for the collection, organization, and delivery of information for administrative use.

Major Rule Violation - Punishable by sanctions such as confinement to quarters, placement in more secure housing, transfer to another institution, loss of job, loss of "good time", or any change that would affect time of release or discharge.

Marginal Cost - Refers to the increment or change in total costs occasioned by a change in output. The marginal cost of increasing the inmate population is only the food, clothing and other additional services those individuals require; generally less than average cost but may be equal or more.

Minor Rule Violation - Punishable by sanctions such as reprimand, loss of commissary, entertainment or recreation privileges, restitution, or extra duty.

New Procedures - No procedure exists, as required by the standard, or existing procedure(s) requires modification to comply with the standard.

No Cost Standard - Requires no allocation of resources (expenditures) to achieve and maintain compliance.

Obligation - Contracts and other binding commitments made federal agencies pay out money for products, services, or other purposes. Obligations incurred may not be larger than budget authority.

Operating Costs - This category includes all those costs necessary to operate an organizational unit other than personal services, fringe, and capital costs.

Opportunity Costs - A measure of the cost that results from the fact that when one activity is undertaken another activity must be foregone.

Organizational Unit/Sub-unit - A subset of a larger organization, such as a correctional facility within a state Department of Corrections.

Out-Client - Offenders, alcoholics, drug abusers, mentally disabled and other community residents who reside at a place other than a residential facility, but who receive services offered by the program.

Parent Agency - The administrative department or division to whom the institution reports; it is the policy-setting body.

Parole Agency - An agency which may or may not include a parole authority, and of which the principal functions are the supervision of adults placed on parole.

Parole Authority - The decision-making body which has the responsibility to grant, deny or revoke parole.

Partition of Cost Estimates - This phrase is used to differentiate between the various estimates based on several factors, such as budgetary purposes, decision criteria, reallocated resources or conflicting documentation.

Plans of Action - Developed by the Commission, these are the primary instruments utilized by the states to assess their status, determine their resource needs and develop a timetable for compliance in the standards accreditation process.

Policy - A definite, stated course or method of action which guides and determines present and future decisions and activities.

Pre-Release Center - A residential facility which provides early release opportunities in the community for inmates allowing them to work, receive training, or pursue educational objectives before final release to the community.

Program - The plan or system through which a correctional agency works to meet its goals; often requiring a distinct physical setting.

Program Changes - This category on the plan of action means that a change in current level or kind of program activity is required by the standard in order to comply.

Protective Custody - That portion of an adult correctional institution, whereby inmates are voluntarily segregated from the general population since there is possible threat of harm to them.

Sally Port - A square or rectangular enclosure situated in the perimeter wall or fence of the institution, containing gates or doors at both ends, only one of which opens at a time.

Security - The degree of restriction of inmate movement within a correctional facility, usually divided into maximum, medium and minimum levels.

Serious Incident - A situation involving an inmate, employee or visitor including occurrence of an injury requiring medical attention or containing an imminent threat to institution security and/or safety.

Special Management Inmates - Inmates whose behavior presents a serious threat to the safety and security of the institution, the inmate, the staff or the general inmate population.

Special Needs Inmates - Inmates whose mental and/or physical condition require special handling and treatment by staff.

Standard Weight - Essential, important and desirable designations given to each of the CAC standards. In order for a state to acquire accreditation 90% of the essential standards must be attained, 80% of the important and 60% of the desirable.

State Designated Cost Factors, including: (See CEC Cost Factors)

Equipment - (See CEC Cost Factors) This category includes not only equipment, but supplies as well.

New Facilities - Where it has been determined that construction of new facilities will be necessary in order to meet standards.

Renovated Facilities - In the case where renovation of existing facilities will be necessary to comply with standards.

Additional Funds - Any financial resources not already included in the above items, e.g., purchase of services. etc.

Surrogate Measure - In research terms, an indicator used as a substitute or proxy for the item which one originally intended to measure, i.e., a secondary source of data when the primary data source is unavailable. For example, if there is no prior history for a particular work program in one state, similar capital/operating cost figures may be obtained from another state program already in existence.

Training - A method of enhancing the performance of personnel, including such activities as management seminars and instructional workshops on management information, research and evaluation data.

Turnover Rate - The ratio of terminated employees to the total number employed for a specified period of time.

Work Release - A formal arrangement, sanctioned by law, whereby an inmate is permitted to leave confinement to maintain approved and regular employment in the community, returning to custody during non-working hours.

Written Policy - No policy exists, as required by the standard, or existing policy requires updating or modifying to comply with the standard.

APPENDIX 13

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Administration				
4004 (E)	X		X	X
4005 (E)	X		X	X
4007 (E)	X		X	X
4009 (E)	X		X	X
4010 (E)	X		X	X
4011 (E)	X		X	X
4012 (E)	X		X	X
4015 (E)			X	X
4017 (E)		X		X
3018 (D)	X		X	X
4019 (E)	X		X	X
4020 (E)	X		X	X
4021 (I)	X		X	X
4022 (I)	X		X	X
4026 (D)		X		X
Fiscal Management				
4032 (I)	X			X
4040 (E)	X			X
4042 (E)	X			X
4043 (E)	X			X
4046 (E)	X			X
4048 (E)	X		X	X
4049 (E)	X			X
4051 (E)		X		X
4054 (E)		X		X
Personnel				
4057 (E)	X		X	X
4064 (E)	X		X	X
4074 (E)	X		X	X
4077 (I)	X			X
4078 (I)	X		X	X
4083 (I)	X		X	X

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Personnel				
4086 (E)	x		x	x
4087 (E)	x		x	x
Training and Staff Development				
4088 (E)	x			x
4090 (E)		x	x	x
4091 (E)		x	x	x
4092 (E)		x	x	x
4093 (E)		x	x	x
4094 (E)	x		x	x
4095 (E)	x		x	x
4096 (E)		x	x	x
4097 (E)		x		x
4098 (E)		x	x	x
4099 (I)		x	x	x
4100 (E)		x	x	x
Planning and Coordination				
4105 (E)	x		x	x
4106 (E)	x		x	x
4107 (E)	x		x	
4108 (E)	x		x	x
4109 (E)	x		x	x
Management Information Systems				
4113 (E)		x	x	x
4116 (E)	x		x	
4117 (E)	x		x	x
4118 (E)	x		x	x
4120 (E)	x		x	x
4121 (I)	x		x	x
4122 (E)	x		x	

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Research and Evaluation				
4127 (E)	x		x	x
4129 (I)	x		x	x
Records				
4130 (E)	x		x	x
4135 (I)		x	x	
4136 (E)	x		x	x
4137 (E)	x		x	
4138 (E)	x			x
4139 (E)	x			x
Physical Plant				
4141 (E)		x	x	x
4142 (I)		x		x
4143 (E)		x		x
4146 (E)		x	x	x
Security and Control				
4150 (E)	x		x	x
4151 (E)		x	x	
4152 (E)		x	x	
4153 (E)		x		x
4154 (E)	x			x
4155 (E)	x			x
4161 (E)	x		x	
4162 (E)		x	x	x
4163 (E)	x		x	x
4164 (E)	x		x	
4165 (E)		x	x	x
4166 (E)		x	x	x
4167 (E)	x			x
4168 (E)	x		x	x
4169 (E)	x		x	x
4170 (E)	x		x	x

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS
 As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Security and Control				
4171 (E)	x		x	x
4174 (E)	x		x	x
4175 (E)	x		x	x
4176 (E)	x		x	x
4177 (E)	x		x	x
4178 (E)	x		x	x
4179 (E)	x		x	x
4180 (E)	x		x	x
4181 (E)		x	x	x
4183 (E)		x		x
4183 (E)	x		x	
4184 (E)	x		x	x
4186 (E)		x		x
4187 (E)	x		x	x
4188 (E)	x		x	x
4192 (E)	x		x	x
4193 (E)		x		x
Inmate Supervision				
4194 (E)	x		x	
4195 (E)		x	x	x
4196 (E)		x	x	x
4197 (E)	x		x	x
4198 (E)	x		x	x
4199 (E)	x		x	x
Special Management Inmates				
4201 (E)	x		x	
4202 (E)	x		x	
4203 (I)		x		x
4203 (I)	x		x	
4204 (E)		x		x

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Special Management				
Inmates				
4205 (E)	X		X	X
4206 (E)	X		X	X
4207 (E)	X		X	X
4208 (E)	X		X	X
4209 (E)	X		X	X
4210 (E)	X		X	X
4211 (E)	X		X	X
4212 (E)		X		X
4213 (E)		X		X
4214 (E)	X		X	X
4215 (E)		X		X
4216 (E)	X		X	X
4217 (E)	X		X	X
4219 (E)	X		X	
4220 (E)	X		X	X
4221 (E)	X		X	X
4222 (E)		X		X
Food Services				
4227 (E)	X			X
4230 (E)		X	X	X
4231 (E)	X		X	X
4232 (E)		X		X
4235 (E)		X		X
4236 (E)	X			X
Sanitation and Hygiene				
4237 (E)	X		X	
4238 (E)	X			X
4239 (E)	X			X
4240 (E)	X		X	X
4241 (E)	X		X	X
4245 (E)	X		X	X

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
4246 (E)	x		x	x
4247 (E)	x		x	x
4248 (E)	x		x	x
4251 (E)		x	x	
Medical and Health Services				
4259 (E)	x		x	x
4261 (E)		x	x	x
4262 (E)	x		x	x
4263 (E)		x	x	x
4266 (E)		x	x	
4267 (I)		x	x	x
4268 (E)	x		x	x
4269 (E)	x		x	x
4270 (E)	x		x	x
4271 (E)		x	x	x
4272 (E)	x		x	x
4274 (E)		x	x	x
4275 (E)		x	x	x
4277 (E)		x	x	x
4278 (E)		x	x	x
Inmate Rights				
4280 (E)	x		x	x
4284 (E)		x		x
4285 (E)	x		x	x
4287 (E)	x		x	x
4289 (E)		x	x	x
4290 (E)	x		x	x
4291 (E)	x		x	
4292 (E)	x		x	x
4293 (E)	x		x	x
4294 (E)	x		x	x

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

<u>STANDARD</u>	<u>STATE DESIGNATED</u>		<u>ORGANIZATIONAL UNIT</u>	
	<u>NO COST</u>	<u>COST FACTORS</u>	Maine Correctional Center	Maine State Prison
Inmate Rights				
4295 (I)	x		x	x
4297 (E)	x		x	x
4301 (E)	x		x	x
4302 (E)		x	x	x
4303 (E)	x		x	x
4304 (E)	x		x	
4305 (E)	x		x	x
4308 (E)		x	x	
Inmate Rules and Regulations				
4311 (E)	x		x	x
4313 (E)		x	x	x
4318 (E)		x		x
4323 (E)	x		x	x
4325 (E)	x		x	
4328 (E)		x		x
4333 (E)	x		x	
4336 (E)	x			x
4337 (E)		x		x
4339 (E)	x		x	
Mail and Visiting				
4342 (E)	x		x	x
4344 (E)	x			x
4345 (E)	x		x	x
4348 (E)	x		x	x
4349 (I)	x			x
4355 (D)		x	x	

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS
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STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Reception and Orientation				
4356 (E)	x		x	x
4357 (E)		x	x	x
4358 (E)	x		x	x
4359 (E)		x		x
4360 (E)	x		x	x
4361 (E)	x		x	x
4362 (E)		x		x
4363 (E)	x		x	x
4364 (E)	x		x	x
Inmate Money and Property				
4364 (E)	x		x	
4366 (E)	x		x	x
4367 (E)	x		x	x
4369 (I)	x		x	
Classification				
4372 (E)		x	x	x
4373 (E)		x	x	x
4374 (E)	x			x
4375 (E)		x		x
4376 (E)		x	x	x
4377 (E)		x	x	x
4378 (E)		x	x	
4379 (I)		x	x	
4380 (I)	x		x	x
4381 (E)	x		x	x
4382 (E)		x	x	x
Inmate Work Programs				
4386 (E)		x	x	x
4387 (I)		x		x

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS

As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Inmate Work Programs				
4388 (I)		x		x
4389 (I)	x			x
4390 (E)		x	x	x
Education and Vocational Training				
4394 (E)	x			x
4395 (E)		x		x
4398 (E)	x			x
4399 (E)	x			x
4405 (E)		x		x
4407 (E)	x			x
Library				
4409 (E)		x		x
4410 (E)	x		x	x
4412 (E)		x		x
4313 (E)		x	x	x
4414 (E)	x		x	
4415 (E)	x			x
4417 (E)		x		x
Recreation				
4419 (E)		x	x	x
4423 (I)		x		x
4423 (I)	x		x	
4424 (E)		x		x
4425 (E)		x		x
4426 (E)	x		x	x
4427 (E)	x		x	x
4428 (E)	x		x	x
4429 (E)	x		x	

MAINE INSTITUTIONS: SUMMARY OF NON-COMPLIANCE STANDARDS
 As of Plans of Action June 1, 1979

STANDARD	STATE DESIGNATED		ORGANIZATIONAL UNIT	
	NO COST	COST FACTORS	Maine Correctional Center	Maine State Prison
Religious Services				
4430 (E)	x			
4433 (E)	x		x	
4336 (E)	x			x
Social Services				
4441 (I)				
4442 (I)	x	x		x
4443 (E)		x	x	x
4444 (E)		x	x	
Release Preparation				
4445 (E)				
4454 (I)	x	x	x	x
Citizen Involvement and Volunteers				
4457 (E)	x			
4458 (E)	x		x	x
4459 (E)	x		x	x
4460 (E)	x		x	x
4461 (E)	x		x	x
4462 (E)	x		x	
4463 (E)	x		x	
4464 (I)	x		x	x
4465 (E)	x		x	x

END