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THE IMPACT OF DIFFERING STAFFING
RATIOS ON PRISON ENVIRONMENTS

BY

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PREFACE

The research reported here represents an effort to determine the influence of staff-to-inmate ratios on various measures of the prison environment. The project was designed in response to a research solicitation sponsored by the U.S. Department of Justice, National Institute of Justice. The study focused on 7 maximum-security institutions in the U.S. with average daily populations in excess of 1,000. Staff traveled to these sites and collected extensive information. Sources of data included Department and institution budgets; counts of members of employees by type and post; numbers and assignments of inmates; questionnaires; and interviews with staff and inmates. A variety of indicators were developed to measure different features of the prison environment, for example, number of escapes, limitations on freedom of inmate movement, crowding, assaults, and homicides among staff and inmates, perceptions of safety, of the racial climate, of moral, and so forth, as well as whether these perceptions were changing as a result of differences in staff to inmate ratios.

The American Justice Institute administered this research project and is pleased to have participated in advancing knowledge in this important area.

Robert C. Cushman, President

ACKNOWLEDGEMENTS

Many people contributed to this research and they deserve acknowledgement. First, there were literally hundreds of staff and inmates at the 7 institutions which served as the focus of the research who gave generously of their time and talent. We cannot list them individually here, but instead want to publicly thank them and acknowledge their contributions. James Fox served as a principle project consultant; the project was strengthened by his participation. Deborah Scowcroft did most of the typing and layout of the final report. Richard A. McGee and Milton Burdman, who were both officers and members of the Board of Directors of the American Justice Institute, provided guidance, insight, and useful experiential information in support of the principal investigators. John Speavcek, our National Institute of Justice Project Monitor, provided useful assistance and guidance. He was an attentive, talented facilitator throughout the project period. Voncile B. Gowdy, of the National Institute of Justice, was responsible during the review and publication process.

The American Justice Institute wishes to pay special tribute to M. Robert Montilla, Co-Director of this project who passed away shortly before the project was completed. Bob Montilla was a driving intellectual force behind the research approach and the contribution of this research to the knowledge base is a tribute to his memory.

Robert C. Cushman
for the American Justice Institute

EXECUTIVE SUMMARY

The basic purpose of this research was to examine the belief that prison staff to inmate ratios effect prison safety and climate. Does an increase in security staff create a safer prison environment and, in turn, protect inmates, staff, and the community? Does an increase in programs and treatment staff cultivate a favorable climate and morale? What is an ideal staff to inmate ratio? These are the kinds of questions the research was designed to explore.

The Concept

Like most criminal justice activities, prisons are labor intensive; that is, institution staff is the mechanism through which things get done. This is managements' primary resource. It is not surprising, therefore, that the most prevelant response to a new situation, whether it be overcrowding, an escape, or assaults, is to request more staff.

Traditionally, the new staffing requirements take one of two forms: increase security staff to limit and control inmate movement and activity or increase program staff to provide more programmatic activity. The selection of one option over the other will reflect the basic orientation of prison management, as any given prison can generally be characterized by an emphasis on security and control or on progam and treatment. These obviously represent differences in degree rather than a dichotomy; i.e., both types of staff are present in any institution, though primary emphasis is usually placed in one area or the other. The underlying hypotheses are that more security staff means more safety and that more program staff means improved institution climate and improved staff and inmate morale. A key focus of the research, therefore, was to assess the impact of different staff/inmate ratios on prison safety and climate.

The Method

The research method moved from a problem definition phase, to a review of the literature, the definition of certain aspects of prison operations which would

reasonably be impacted by changes in staffing patterns; the development of performance measures to detect changes in these aspects of prison operations, site selection, site visitation and data collection, and analysis and report preparation.

The literature review revealed little prior work on the impact of varying staffing ratios on prison performance, safety or climate. The majority of the relevant literature involved juvenile operations. The review of literature on institution climate uncovered work on methods of evaluating the social environment of correctional and other institutions by Moos and a 1978 study by Greenfeld, which used an environmental index to analyze prisons in eight states. Other studies concerning safety, staff morale, and crowding were also reviewed.

Work to define the functions of a prison concentrated on four general themes: public safety, internal prison safety, opportunities for work and self-improvement, and a climate conducive to their achievement. These were the areas in which the effects of staff inmate ratios were to be assessed.

A number of performance indicators were then developed to permit an analysis of the effect of various staff ratios on the different aspects of institution operation. Public safety was measured by escape rate and internal safety by rates of inmate assault, staff assault, inmate homicide, staff homicide, and disciplinary reports. Idleness in the inmate population was defined as the percentage of inmates available for assignment who were not assigned.

The concept of institutional climate or feeling tone constituted a more difficult problem since it covers a number of factors which are difficult to define and convert to objective terms. However, six factors were finally identified: density/overcrowding, safety/security, freedom of movement, staff morale, inmate morale, and program activities.

Seven sites were selected: Ellis Unit, Texas; New York State Prison, Auburn, N.Y.; Oregon State Prison, Oregon; Lewisburg Federal Penitentiary, U.S. Bureau

of Prisons; Minnesota State Prison, Stillwater, Minnesota; Somers Correctional Institution, Connecticut; and Folsom State Prison, California. The group included both large prison systems and small ones, as well as a geographical mix and a variety of inmate populations. All but one had experienced significant inmate population increases. Of course, they did not constitute a random sample, so the findings are only broadly generalizable.

The data collection process took two data collectors to each prison for at least two site visits. The techniques used were to interview management, line staff, and inmates; administer questionnaires to inmates, correctional officers, and work supervisors; and collect budget and staff detail and performance data covering the period 1976-1980.

Each site was analyzed on an individual basis although a common set of rules was applied. Because of variation in the availability of data, certain rules had to be developed to handle missing data and zero occurrences.

Measures were developed to express staff ratios to depict the total number of inmates compared to total staff, perimeter and related noncontact security staff, contact security staff, production and maintenance staff, and program staff.

Findings

In comparing the seven prisons, there were substantial differences in staff inmate ratios, cost, and performance. Per capita costs ranged from a low at Ellis Unit (\$3,935) to a high at Folsom State Prison (\$13,434) - thus, it costs 340% more to confine an inmate at Folsom than at Ellis Unit. This range of costs reflects not only differences in staff to inmate ratios, but also substantial differences in salaries paid to prison workers at the seven prisons.

While Ellis Unit had the lowest staff to inmate ratio (one staff person to 10.41 inmates), there were several other prisons with staff/inmate ratios that were richer than Folsoms (one staff to 3.04 inmates). Thus, the number of

staff and their salaries combine in different ways to account for differences in per capita costs.

Staff/inmate ratios for different types of staff also varied substantially. Ellis, Somers, Folsom, and Auburn, for example, all had security components which numbered more than the average of the seven. The report therefore examines the effects of different types of staff/inmate ratios on prison safety and climate.

These ratios were also examined over time. Total staff additions outpaced inmate population increases from 1976 to 1980 at all sites except Stillwater, where it remained constant, and Ellis and Somers.

The research examined the relationships between different types of staff/inmate ratios and prison performance in the areas of inmate escapes, staff and inmate safety, and climate. Few clear relationships appeared. Escapes were rare occurrences. They seemed unrelated to staffing patterns, yet one typical response after an escape was to add posts or reduce inmate movement within the prison. This suggests that adding staff may be a costly solution to a rare problem.

Safety concerns were high in all seven sites, in some cases despite data which demonstrated a low level of incidents involving violence. These concerns generally resulted in pressure for more security staff, particularly in response to a negative incident, but poor staff ratios did not appear as a key variable to explain perceptions of staff or inmate safety.

Similarly, climate was not explained by staff-inmate ratios alone. Three sites went in the logical direction; that is, climate varied with staff-inmate ratios. Over time, staff-inmate ratios improved and climate improved at Auburn; staff-inmate ratios diminished and climate deteriorated at Ellis and Somers. Two sites, Lewisbug and Folsom, experienced a deterioration in climate and an increase in staff-inmate ratios.

The questionnaire responses concerning perceptions of climate showed inmates viewed crowding, inmate morale, availability of programs, freedom of movement, and quality of life significantly more negatively than did staff. There were some differences between the responses of white and non-white inmates. In comparison, the whites believed race relations were getting worse, living space was getting more crowded, and freedom of movement was average. The non-whites felt less safe, thought fewer programs were available, and felt freedom of movement was too limited.

One of the most interesting findings gleaned from the questionnaire responses was the difference in perceptions of correctional officers and work supervisors. Work supervisors had a much less threatening view of inmates and the prison than did correctional officers. This may be a result of the difference in settings in which the work supervisors and inmates interact as opposed to the wider range of such settings involving correctional officers and inmates.

Conclusions

The researchers conclude that poor staff/inmate ratios are not the key variables which determine the public safety, internal safety, climate and work, and self improvement performance of a prison. This is not to say these ratios are unimportant; they may influence these outcomes but they are not solely responsible for it. It is clear that other unidentified variables -- and there may be many of them working in various combinations -- exert much more influence. Overcrowding for example was a major problem in most of the institutions studied and yet the problems created by this condition are the physical plant limitations and the strain on support facilities, none of which are directly affected by changes in staffing. The idea that more staff alone will cure the ills of the prisons should clearly be laid to rest.

The research also indicates there is no really ideal staffing pattern. Again, many other factors exert important influences: the architecture of an old prison such as Auburn, is not conducive to prisoner movement and may require different staffing patterns than a more modern physical plant. The security

vs. program orientation of a prison also presents differing staffing requirements. The characteristics of the inmate population will present still other staffing needs. For these reasons each institution needs to be individually assessed, staffed, and managed. Solutions to the fundamental question of how to allocate scarce resources will rise out of the ability of the skillful manager to size up the situation without a premature or automatic assumption that more staff is the sole solution.

CHAPTER I

THE PROBLEM

INTRODUCTION

Prisons have special situations that must be addressed through the staffing function. They must:

- . Maximize public safety by keeping dangerous persons in secure compounds.
- . Maintain the internal safety and control of the compound to protect inmates and staff members.
- . Provide a set of 24-hour life support services for people who are confined (medical, clothing, food service).
- . Produce goods and services to serve their own needs as well as those of the larger community.
- . Maintain the facilities.
- . Provide opportunities for inmate self improvement.
- . Maintain a climate that is conducive to accomplishing these mandates.

Accomplishing these purposes requires the allocation of scarce staff resources. The job of deciding where, how many, and when to assign staff is the responsibility of management and there are different ideas about how the ideal distribution should look. The major division has been and continues to be in the area of security versus program. The emphasis on control is foremost in most maximum security institutions, yet many institutions also have a commitment to program and treatment.

Institutions that are control oriented allocate most of their resources to security and maintenance functions. Institutions that stress programs make heavy staff commitments in the education, treatment, and work areas. This dichotomy is rarely found in pure form, most prisons attend to both areas.

This straddling of emphasis creates a great deal of conflict: Security staff are very dubious about the opening up of the prison so that inmates can participate in programs. The program staff complain that they cannot do their job because inmate movement is too restricted.

This conflict is not new, it is as old as the introduction of treatment or programs into the prison. However, the conflict is exacerbated by large scale overcrowding. The two choices that are available to prison managers who face overcrowding are:

1. Increase movement by providing more recreation, treatment, or work to alleviate the pressures of overcrowding. This option is essentially a safety valve strategy to provide avenues to reduce tension.
2. Limit movement by increasing security. This option relies on extra control being available to minimize violence and to have the capacity to respond en masse to a disturbance.

Again, very few examples of pure types can be found, but the battle lines are clearly drawn between staff groups as to which method should prevail.

If program options win out, extra program staff will be added, and extra security personnel will be used to facilitate movement. If the security option is chosen, the number of non-contact posts will increase and program staff may actually lose positions. In either event, staff numbers grow.

Escapes, homicides, riots, addition of programs and growing populations, all trigger requests from all groups for more staff. One interview with an agency personnel director revealed that a staff homicide, the first in many years, triggered a demand by the security staff union for 168 additional positions, an increase of 40 percent. The union demand resulted in the allocation of 60 new positions. When preparing the literature review for this study, a representative from one of the unions was contacted to see what sources they used to justify requests for staff increases. The official replied that they had no source, but their general position was to increase staff positions as rapidly as possible.

The union and officer groups were not the only sources of pressure to increase staff numbers. Virtually every manager, at every level, reported lack of staff as the major problem facing their organization. Thus the stage is set; there are many forces pushing for staff increases and the most prevalent response to any new situation is a request for more staff. Managers, unions, correctional officers, and in many cases, even inmates see the shortage of staff as crucial. What these staff should do and how they should be assigned is open for debate, but no one has any doubts that more is better.

THEORETICAL CONSIDERATIONS

The underlying theory of enriching staff to inmate ratios is that the better the ratio, the more desirable the situation. If security staff are added, the internal and external safety of the institution will be enhanced. If program/work staff are added, the morale/climate will get better due to the presence of safety valve activity. Further distinctions within each category are possible.

Reduction in escapes should occur when the number of non-contact security posts are increased; internal security should be enhanced when the contact security staff numbers are increased; the climate of the facility should get better if the program/work staff provide ample opportunities for inmates to get involved and to reduce their idleness.

These are the assumptions that increasing staff numbers are based upon. These assumptions are premised upon the idea that staff to inmate ratios are the driving force behind prison safety and climate. If these assumptions are true, the climate and safety should get better as staff/inmate ratios become enriched and should deteriorate when they get poorer. This essentially embodies the logic behind the request for more staff. The test of these assumptions is the subject of this research.

Another set of assumptions might deal with factors other than staff to inmate ratios. Factors such as penal philosophy, quality of management, type of inmate, quality of staff, type of system, and several other factors might explain the variance in safety and climate. However, those factors are not the focus of this study. The reality of the situation, most likely, includes all of these factors; however, the thrust of the request for proposal from the National Institute of Justice dictated the focus of research on inmate/staff ratios.

On balance, it seems reasonable that some range of staff to inmate ratios is theoretically meaningful. At one end the number of staff could be so low that vital functions could not be performed, and at the other end, too many staff may actually diminish the ability of the organization to function. These numbers are dependent upon a host of non-staff issues such as structure of the facility, the program, or the type of inmate. Therefore, it is impossible to compare institutions to each other unless they are identical. Also, even if sites could be located that provided adequate matches on these non-staff variables, the size of the range is probably so broad that most facilities would fall in the middle and variations would be unnoticeable.

This presented a series of thorny theoretical and methodological problems that had to be overcome. The first set of issues were dealt with by reviewing the literature to see if these issues had been defined and framed. The methodological problems were dealt with after the problem had been framed. In essence, the quest for an answer to the question -- do staff to inmate ratios have an impact on prison performance in the areas of safety and climate -- rests upon the operational definition of these terms.

CHAPTER II

REVIEW OF THE LITERATURE

The literature on the subject of staff to inmate ratios in maximum security prisons was scarce. Little information was available on the impact of varying ratios on performance or climate. However, some information was available on various aspects of the problem.

ATTEMPTS TO STATE IDEAL RATIOS

In the President's Commission on Law Enforcement and Administration of Justice, Task Force Report: Corrections, 1967, a correctional officer/inmate ratio of 1:6 was cited. However, the report also states that the desirable ratio depends upon the institution's program and the type of inmates, and that "no standard ratio exists, nor are data available which would allow an estimate of the average ratio needed." The same ratio (1:6) was recommended in standard 9.6.11 of the 1973 National Advisory Commission on Criminal Justice Standards and Goals, in the Corrections volume. The same ratio is again discussed in the 1978 National Manpower Survey of the Criminal Justice System, Volume 3.

These reports all use the same standard ratio with the same caveat--the real ideal ratio will depend upon several factors. This range of factors was taken into consideration by the Federal Bureau of Prisons when they developed a Staffing Guide for the Federal Prison System based on opinions of program managers who had been cautioned to recommend only the number of staff needed for effective program operation -- not the "ideal" or "optimum" staff, but also not a skeleton staff. Comparison of existing staffing patterns with recommendations of the program managers provided a basis for initial staffing guidelines; a preliminary testing of the model at several of the Bureau's facilities was conducted. Comparisons were also made with staffing in state correctional institutions. The computation of staffing requirements is described in the Bureau's Staffing Guide. Staffing tables for each of 15 administrative divisions provide a listing and/or formula for determining the

number and type of positions required, where exceptions may be made, and how the guidelines are applied.

A method for assessing needs for various sized prisons and jails was developed by F. Warren Benton in a 1981 National Institute of Corrections publication entitled, Developing and Evaluating Prison and Jail Staffing Patterns, Volume I. The report provides a number of methods for determining staff needs. A method is presented that incorporates several public administrative techniques and is geared toward institutional managers. The last section of the report displays self report staffing data from several institutions.

Two states, New York and Maryland, conducted staffing surveys of the other states in the U.S. The results were used to provide a comparison base for policymaking. The New York study was not available, but the Maryland Department of Budget and Fiscal Planning conducted a "Comparison of Staffing in Maryland Correctional Facilities Having Over 500 Population with Those of Other States" (1980). Questionnaires were sent to all 50 states and the District of Columbia; data was obtained from 47 states. Seven states did not have any institutions with capacities of 500 and two states responded too late to be included in the calculations, leaving 38 states for comparative analysis. The survey showed that institutions with capacities of greater than 500 had a mean staff/inmate ratio of 1:3.03. Corrections officer/inmate mean ratio of 1:4.91; and a mean of 1:9.92 for other personnel/inmate ratios.

None of the studies depended upon empirical validation to state staff/inmate ratios. The task force reports and the Federal Bureau of Prisons relied on expert judgment. Benton's report provided an empirical methodology but relied on self-report data, and the two state surveys were geared towards seeing how they stacked up against other systems.

IMPACT OF DIFFERING RATIOS

The literature contained several references to juvenile institutions and small treatment programs. No references were located dealing with large maximum security prisons.

Jesness (1965) reported on a carefully designed study of the effect of differing living unit sizes in a juvenile correctional facility. Boys were randomly assigned to 20 or 50 bed units; the number of staff were the same in each unit, thereby affording a lower staff-inmate ratio in the 20 bed unit. A distinctly more favorable social climate developed in the smaller unit in terms of staff-resident relationship, less regimentation and use of punishment, and less reliance on peer-group leaders in controlling other boys. Victimization was observed less frequently on the smaller unit. In addition, a 15-month followup study revealed a parole violation rate of 68 percent for the control group from the 50 bed unit, and 42 percent for the experimental group from the 20 bed unit. Boys classified as "neurotic" in the smaller units showed a violation rate of 30 percent compared to 61 percent for "neurotic" boys in the 50 bed unit. The "non-neurotic" boys from the two types of living units showed no appreciable differences in violation rates.

In a 1975 study, Moos compared the results of the Correctional Institution Environment Scale (CIES) and a Unit Information Form for 51 juvenile correctional units. Moos found both instruments revealed that as the size of a correctional unit increases, emphasis on favorable dimensions of the environment decreases; the same is true for staff-resident ratios, although in the opposite direction, of course. Some of the social climate dimensions, however, showed only minimal relationship to size and staffing. There is less agreement both among the residents and among the staff on social climate dimensions in larger programs and where staff-inmate ratios are higher.

In a comparative analysis of 23 juvenile correctional institutions and community-based residential programs, it was found that higher staff-youth ratios decreased the likelihood of close personal relationships between residents and staff (McEwen, 1978). Greater program size, in terms of the number of residents and staff, were associated with youths' perceptions of low staff consistency, less likelihood of (1) program participation among youths, (2) close supervision, and (3) arrangements for community contacts.

In 1978, the California Youth Authority conducted a reduced ward/staff ratio program at DeWitt Nelson, an institution for delinquents where the mean age of the wards was 19.8. The study compared four 50 bed units with four 37 bed wards and, in addition, pre-post comparisons were possible for two of the units which had been reduced to 37 beds. Positive results of the smaller living units were clearly evident in terms of reduced behavior reports, especially overall reduction. During the two-year study period, 46 inmates escaped from the 50 bed units while the 37 bed units had only 11 escapes. There were 773 months of added time due to disciplinary actions in the 50 bed units compared to 415 months for the 37 bed units. Although cost factors associated with the months of added time was \$304,142 less for the 37 bed units than for the 50 bed units, the loss of 52 beds in the four reduced bed units was not offset sufficiently to show bed savings; there was a net loss of 43 beds a year. In addition to the reduced disciplinary incidents, staff and inmate observations attested to the improved social climate, increased communication between staff and wards, and increased interactions and intermingling among different ethnic groups.

In California a pilot project was undertaken in November of 1974 through February of 1977 to test the impact of implementation of upgraded staffing standards for state hospitals (Crinella, 1977). The standards had been developed in 1973 after an elaborate set of industrial engineering studies of treatment teams on units which were deemed to be "effective." The pilot programs included two hospitals for developmentally disabled clients and one for mentally disabled patients. Three programs serving similar types of clients/patients served as matched control groups. Benefits were assessed by consumer (clients or their representatives) ratings. Factor and cluster analyses were utilized to reduce the many thousands of observations to the most salient features for comparison of experimental and control programs. Overall, the upgraded staffing standards proved to be largely successful. There was a strong correspondence between the degree of completeness of implementation of the standards and the number of positive outcomes obtained. The greatest success occurred with the fullest implementation of the standards, and the least success occurred with the least complete implementation.

The findings, while interesting, are only of marginal use for the problem at hand. Most of the studies report on juvenile institutions where cottage or ward size was reduced instead of increasing the number of staff. The changes observed might well be attributed to less pressure due to reduced numbers. The hospital experiment is the most relevant technology wise, but the clientele are very different as is the mission. In essence, no clues, except to reduce unit size, were found in the literature on staff to inmate ratios.

CLIMATE

This category contains a variety of sub-topics which pertain to the overall concept. Climate is a fuzzy idea that is made up of a host of related concepts.

A. **General Climate**

Moos (1975) describes the development of some of the methods for evaluating the social environment of corrections and other institutions. One such method is the Correctional Institution Environment Scale. Environmental dimensions assessed are involvement, support, expressiveness, autonomy, practical orientation, personnel problem orientation, order and organization, clarity, and staff control. Normative samples of more than 100 juvenile and 90 adult correctional programs were utilized in the development of this instrument. CIES studies have provided data on climate and (1) size and staffing, reported elsewhere in this chapter; (2) average length of resident stay; (3) aggressive behavior (apparently greater in correctional programs that emphasize and encourage the open expression of feelings and which de-emphasize the importance of order and organization); and (4) a program policy of "adult status" for juveniles (little relationship shown between this variable and climate).

Moos found there was "essentially no agreement between residents and staff on the characteristics of their programs' social climate," a finding which was very different from samples of psychiatric programs. Also, residents and staff in juvenile units generally perceived their

social environment more favorably than those in adult units. "A substantial proportion (representing responses of 3,651 juveniles and 3,703 adult inmates) agreed their programs were characterized by few social activities, lack of group spirit or cohesion, fearfulness of staff, and generally unclear expectations."

In a comprehensive survey of all American prisons (559), including followups, verifications, and 48 site visits, Greenfeld (1978) gathered data on conditions of confinement indexed on the basis of five general criteria:

- . density and occupancy
- . level of deviance
- . freedom of movement
- . access to services
- . expenditures per inmate

Eight states (53 prisons, 37,000 inmates) were selected for analyses of individual scores and a summary measure of prison life conditions in terms of deviation from the national means. The aggregate environmental scores for New Mexico, Illinois, North Carolina, and Florida received negative total scores, and Pennsylvania, Minnesota, Oregon, and Massachusetts received positive ones. New Mexico and Illinois were most negative and Pennsylvania and Minnesota most favorable. There were, of course, variations in relative strengths and weaknesses among states and among institutions in the same state. One of the implications of the study is that the relative severity of incarceration sanctions may be measured to some degree by such an environment index.

B. Crowding

The effects of size of prison living space and/or crowding have been studied at length. Correlations have been found between crowding and disciplinary infraction rates (Nacci, Teitelbaum, and Prather, 1977; Megargee, 1971); death rates in a prison psychiatric hospital; blood

pressure of inmates in cells with greater density; and death rates for males over 45 (Paulus et al., 1978). Types of prison housing have also been found to be related to environmental climate. For example, inmates in open dormitories, versus single or double rooms, viewed their environments more negatively (Paulus et al., 1975); had higher illness complaint rates (McCain et al., 1976) and higher blood pressure (D'Atri, 1975). A more favorable social climate has been found in smaller unit size in institutions for juveniles (Jesness, 1965; CYA, 1981; Moos, 1975; McEwen, 1978).

A recent study of the effects of crowding conducted by McCain, Cox, and Paulus (December 1980) confirms the previous research of the negative effects of prison crowding. Data were collected from 1,400 inmates in six federal prisons varying in housing modes, size, security, density, and inmate characteristics. Inmates were tested for blood pressure, crowding tolerance, effective state, perceptions of living space and control of environment, and biographical data. Inmate demographic characteristics, illness complaints, and disciplinary records were also collected. It was found that high degrees of sustained crowding have negative psychological and physiological impact, including increased rates of illness complaints, death, suicide, and disciplinary infractions. Large institutions produce more severe negative effects than small ones. Partitioning of open dormitories into private cubicles has a strong positive effect. Crowding effects are the result of both social density (number of persons in housing quarters) and spatial density (space per person); some effects were time-related. Substantial individual differences, as well as racial and ethnic group differences, were found.

C. Safety

Prison Violence, edited by Cohen, Cole, and Bailey (1976), contains 12 articles on the subject written by nationally prominent professionals from various socio-psychological and biological perspectives from the standpoint of the organization and ecology of violence and from the

standpoint of implications for policy. One of these articles (Wilsnack, 1976) presents data on preconditions of prison disturbances following a survey of the largest institution for adult males in each of the states and the District of Columbia. Data was gathered on nine measures each with either two or three criterion. The eight preconditions were: environmental deprivation, inmate disintegration, administrative instability, external pressure, publicity, levels of pre-conditions, inmate changes (offenses, ethnicity), and inmate organizational resources. It was found that no single precondition or combination of pre-conditions covered in the questionnaire was always followed by a riot or nonviolent resistance. Of particular interest to the present study is Wilsnack's findings on staff variables. Less than 40 percent of the prisons that had rioting lacked training programs or waived tests or diplomas or had custodial staffs of less than a 1:4 ratio. "However, at 67 percent of the prisons with riots, the salaries of the guards were officially admitted to be low and turnover of personnel was more than 20 percent per year. These possible indicators of staff discontent were reported in only 39 percent of the other institutions."

Victimization in American prisons has been the subject of a recent study by Schreiber, Flynn, and Knudsen (1980) which cites an earlier finding that of 128 homicides in American prisons in 1973 where the assailant could be identified, 85 percent were prisoner-prisoner, 11 percent were staff killing prisoners, 3 percent were prisoners killing staff, and there was 1 case of a staff-staff homicide. In addition, it was recognized that at least some of the deaths attributed to natural, suicide, or accidental causes could have been homicides. Schreiber et al. study of 14 randomly chosen institutions pointed out the difficulty in assessing the extent of victimization in prison. The researchers opted to use the proportion of inmates in disciplinary or protective housing as a measure of deviance. Toch (1977) also has written about persons in protective custody as being those inmates fearful of their environment and concerned about safety. Park (1976) has reported that in 1974 there were more than 1,000 identified assaults in the California

prison system of which almost 100 were inmate assaults on staff. Jacobs (1976) reports there were 24 assaults resulting in serious injury for an average inmate population at Stateville of approximately 1,600 from April 30, 1974 to May 1, 1975.

D. Staff Morale

Turnover among rank and file employees has been attributed to cultural and organizational strains among a sample of 55 former prison guards (Jacobs and Gear, 1979). Race was the most significant factor cited in explaining termination. Young urban black C.O.'s had found themselves in conflict with the top echelon in the custodial force and white guards had experienced difficulty in normalizing relations with minority inmates.

In a study of 21 prison guards who had applied for service connected disability benefits or industrial accident claims, Brodsky (1977) found no pre-morbid predictors of maladaptive tendencies; on the contrary, those in the sample tended to be hyper-adapters who had worked as guards for many years. A significant cause of stress was a perception of the position as a "buffer worker" between management and the inmates. The most disorganized factor for the subjects was a sudden or growing awareness that the job was dangerous. Brodsky summarized the conditions of a work situation which can lead to long-term stress as follows:

- "1. The job is one in which the goals or objectives are contradictory, lines of support are ill defined, and there is role ambiguity. There is no hope for improvement.
2. Superiors are in much the same position as subordinates.
3. The consumers of the services are uncooperative and unappreciative or actually threaten violence to the worker.
4. A triggering event occurs that makes the worker aware of his vulnerability and at the same time feel isolated.

5. Internal and external forces are present that make it difficult or impossible for the worker to resign.
6. Physical and psychological symptoms appear and progress in severity."

Alienation among 144 prison guards in a large maximum security prison in the midwest had been studied by Poole and Regoli (1981) in terms of powerlessness, abnormalness, meaninglessness, social isolation, and self-estrangement. The effect of work relations with inmates, other officers, and superiors on the five alienation dimensions were examined. Not surprisingly, it was found that negative evaluations of work relations resulted in measurably increased levels of alienation in correctional officers. Guard alienation has also been cited as a component of an emerging guard occupational subculture (Duffee, 1979) arising from the changing role of the guard from a powerful keeper of subhumans to line manager of human beings who have expanded power and legal rights.

In a followup of their 1978 study of stress in New Jersey, correctional officers, Cheek and Miller (1981) conducted a survey of stress and burn-out of correctional officers in Pennsylvania, Illinois, and Washington. In New Jersey, officers had been found to be subject to severe occupational stress as evidenced by high rates of physical illness such as heart attacks and migraine headaches, burn-out as measured by a special scale; divorce rates twice the national average; and perceptions of self and co-workers' problems in the areas of physical health, family relations, finances, alcohol and drug abuse, children, and neighbors. The findings for Pennsylvania, Illinois, and Washington were even more indicative of stress in terms of high rates of burn-out and stress related illness, especially so for Pennsylvania. Perceptions of problems of fellow officers with alcohol, drugs, marriage, children, health, finance, neighbors, perceived suicides, and heart attacks, were also higher than in New Jersey. As with the New Jersey study, the larger sample attributed stress largely to management practices such as lack of

administrative support, lack of clear guidelines, and political pressure. Increasing overcrowding and the erosion of discipline were also cited. However, the major source of stress cited was lack of adequate pay.

The review of this series of articles framed the questions and measures. It became apparent that climate was an elusive concept and probably should be broadly defined. Thus, several elements were included in the definition. It also became apparent that staff to inmate ratios had to be dealt with on a functional basis. That is, what function did particular staff groups carryout and how many staff were assigned to those groups. These issues will be dealt with in the Research Design Section.

CHAPTER III

RESEARCH DESIGN

A host of problems had to be dealt with before the study got underway. First, the question had to be focused; second, sites had to be selected; next, measures had to be selected and operationalized, data had to be analyzed; and finally, results had to be presented.

FOCUS

The problem of focusing the question was a crucial one; it was pivotal to the rest of the design process. The first decision made was to limit the study to large maximum security prisons, with an average daily population of over 1,000 inmates. It was clear that while these prisons may vary from site to site, they share many common concerns and characteristics. The project was developed to focus on one aspect of these prisons: how they allocate staff. That is, what are the staff to inmate ratios and how do these ratios impact performance and climate. This decision was made knowing that many forces impact these conditions other than staff. However, it was also recognized that it was impossible to attend to all the intervening variables that could impact climate and performance.

SITE SELECTION

Seven sites were selected. These sites represented a cross-section of large maximum security prisons. They all had 1,000 or more inmates and had experienced rather dramatic population expansions. The seven institutions were:

- 1) Ellis Unit, Texas
- 2) New York State Prison, Auburn, New York
- 3) Oregon State Penitentiary, Oregon
- 4) Lewisburg Federal Penitentiary, U.S. Bureau of Prisons
- 5) Minnesota State Prison, Stillwater, Minnesota
- 6) Somers Correctional Institution, Connecticut
- 7) Folsom State Prison, California

These 7 institutions represented an appropriate mix: large systems (California, New York, Texas, U.S. Bureau of Prisons), as well as small systems (Connecticut, Minnesota, Oregon). There was also a geographical mix in that virtually all regions were represented and they had a variety of inmate populations. These 7 institutions did not constitute a statistical sample; therefore, it was not possible to infer findings to a larger universe of prisons.

Each institution must be viewed as a separate entity and the resulting analysis will be presented as such.

MEASURES

The task required that certain aspects of prison operation be reviewed to see if they were impacted by changes in staffing patterns. These questions were tied back to 4 of the basic mandates of all prisons:

- . provide for public safety
- . provide for internal safety
- . provide opportunities for work and self-improvement
- . provide a climate that is conducive to the achievement of these mandates

The next step was to specify what functional staff breakdown would be used to measure the accomplishment of these mandates.

The concept of staff-inmate ratios is a complex one; traditionally it is reported as the number of inmates per total staff positions. This ratio, while helpful, does not provide adequate detail. What is lacking is an overall inmate-staff ratio breakdown by function.

The ratio must attend to how staff are utilized, that is, what portion of the staff are involved in non-contact security posts, regular contact posts, maintenance/industries, etc. Various ratios by function reveal how the organization attends to its various needs.

Therefore, ratios were computed in all 7 institutions to reflect the ratios of total inmates to:

- . total staff
- . perimeter and related non-contact security staff
- . contact security staff
- . production and maintenance staff
- . program staff

(Formulas for computing the above ratios are listed in Appendix A. The actual ratios are presented in Appendix B.)

Thus, certain mandates rely on certain functional areas having adequate staff. Theoretically, varying the ratio in a specific area should impact the mandate, for instance:

- . Public safety should be enhanced when non-contact security staff are increased; or, prisons with a large number of non-contact posts should experience a greater level of public safety than those with relatively few such posts.
- . Internal safety should vary with changes in the ratio of non-contact security staff to inmates.
- . Idleness should decrease when program/work staff are increased and vice versa.
- . Overall climate is related to overall staff to inmate ratios and the ratio of contact security staff.

These assumptions are subject to empirical validation, but first, performance indicators and staff-ratio formulas had to be developed. This required the operationalization of terms so that data could be collected and analyzed.

PERFORMANCE INDICATORS

Performance indicators to measure public safety, internal safety, and idleness were developed (see Appendix C). These indicators reflect 4 of the mandates of maximum security institutions. These measures were collected for all 7 sites.

For purposes of this study, public safety was measured by how successful an institution was at containing its charges. The public is at risk when an inmate escapes beyond the security perimeter of the institution. Therefore, the escape rate per 1,000 inmates was used to indicate the relative public safety of an institution.

Internal safety refers to the relative safety of staff and inmates within the perimeter. Indicators of internal safety deal with how well public and institutional rules are followed; breaches of these rules place residents and staff of the institution in jeopardy. The following measures were used to indicate how successful each institution was in providing an atmosphere of internal safety:

- . inmate assault rate per 1,000 inmates
- . staff assault rate per 1,000 staff
- . inmates homicide rate per 1,000 inmates
- . staff homicide rate per 1,000 staff
- . disciplinary report rate per 1,000 inmates

Idleness was defined as the percentage of inmates available for assignment who are not assigned. This included work, treatment, education, or vocational training (operational definitions for these indicators can be found in Appendix C).

The concept of climate or an institutional feeling tone is not new to penalogists; it is often discussed in descriptions of various prison settings by prison observers, prison staff, and inmates. This description usually deals with the feeling tone of the place being described, "it's tight," "it's

cool," "it's ready to blow," etc. These descriptions all convey information to other actors about the relative state of the prison at that period of time. This is an informal communication that is shared between actors based upon some common sense of the environmental atmosphere.

What is lacking in this communication is how the actor arrived at his conclusion. That is, what factor or set of factors triggered this perception? The task at hand was to operationalize the factors that make up this concept of climate. It was undoubtedly the product of several factors that were commonly shared between the actors of a given institution.

Theoretically, each institution, at different periods of time and under different sets of circumstances, experiences varying levels of climate, ranging from bad to normal to good. This variance may be due to a variety of internal and external factors. What is an acceptable climate in prison A may not be acceptable in prison B, and what causes great variance in one situation may not hold true in all situations.

Thus, any operational definition of climate must be premised on the following assumptions:

- . Prison climate is made up of several factors.
- . There is consensus among actors at an informal, subjective level as to the climate of an institution.
- . All the factors making up climate may not impact all actors uniformly.
- . There is a common set of factors that determine climate for all institutions.
- . Certain factors may impact one institution more than another institution.

Therefore:

- . It is possible to ascertain climate by identifying this set of common factors.
- . It is possible to assess changes in climate over time on an institution by institution basis.
- . Since different factors may have different influences on different institutions, comparison between institutions may not be meaningful.

With the premises and conclusions listed above in mind, an operational definition of climate was constructed. Sources of information used to construct this definition included:

- . previous interviews with prison inmates
- . previous interviews with prison staff
- . a review of the literature
- . personal experiences of the principal investigators

These inputs yielded 6 factors that measure climate:

- 1) density/overcrowding
- 2) safety/security
- 3) freedom of movement
- 4) staff morale
- 5) inmate morale
- 6) program activities

(Operational definitions and formulas for computing the climate scale can be found in Appendix D).

DATA COLLECTION

Supporting data was collected in the form of interviews and questionnaire responses. These two methods were used to provide a subjective picture of staffing, climate, and safety. These subjective interpretations provide a check on the empirical data. The reality of the issue lies in the mind of the beholder, not in the quarterly report. That is, if people feel crowded, unsafe, anxious, then the situation is very real to them. This was especially true in the climate measures. The responses gathered from these methods provided information on the feeling tone. Thus, these two methods were used at each site.

Budget and staff detail information were also collected to provide a base to explain the staffing patterns and to provide some clues concerning other variables that might impact staffing. Staff counts, budgets (Appendix I), post assignment plans (Appendix J), salary and benefit packages (Appendix K), and shift rosters were gathered to provide comparative information.

Information on industries (Appendix G) and inmate assignment plans (Appendix H) were collected to provide a picture of how the prison dealt with inmates on a day-to-day basis.

Thus, a package of data was collected for each of the 7 sites. The following list provides a summary of the ideal data package for each institution:

- . budget data 1976-1980
- . staff counts 1976-1980
- . performance data 1976-1980
- . interviews with management
- . interviews with line staff
- . interviews with inmates
- . questionnaires administered to:
 - inmates
 - correctional officers
 - work supervisors

Each site was treated as a unique entity because no two sites kept data in the same format. Some sites were on two year budget cycles, definition of events were not uniform, and record keeping practices had changed during the 5 year period for several sites. Thus, each site became a separate data collection activity and the subsequent analysis and reporting was done on a site-by-site basis. The ability to generalize from site-to-site is extremely limited and was done with extreme caution.

On-site data collection trips were made to each location. In most cases, this involved at least two trips. The average trip lasted 4 to 6 days and used 2 data collectors. A typical data collection effort included:

- . interviews with all top management positions
- . interviews with 10 correctional officers
- . interviews with 5 work supervisors
- . collection of staff data from personnel
- . collection of budget data
- . administering questionnaires to
 - 50 inmates
 - all correctional officers on duty that day
 - 15-25 work supervisors
- . collection of performance data from a variety of sources
- . collection of supporting data

As stated earlier, each site had to be treated as a unique entity. This created some additional data analysis problems since not all sites had complete data sets for the 5 year period. In fact, most sites did not record the events in any standardized fashion. A variety of sources were used to gather data including quarterly reports, payroll data, disciplinary logs, segregation logs, investigative files, etc. In several cases approximations were made for incomplete years. All records were converted to calendar year data.

ANALYSIS

Each site was analyzed on an individual basis. This was done to overcome the data incompatibility problems created by different definitions and different reporting requirements. Therefore, each site had to stand alone, but a common set of rules were applied.

Two of the indicators, public safety and idleness, only used one measure, but climate and internal safety had several component parts. This problem was compounded by the fact that not all sites had all the data elements for each measure. The solution to this problem was twofold. First, since each site was unique, only those elements which were available for each site for several years were used for that location. The problem of multiple indicators for climate and internal safety was handled by finding the median for each individual element for the 5 year period, then the number of elements greater than the median were computed for each individual year. This resulted in an internal safety or climate rating for each year expressed by how many of the elements were greater than the median for that year. The rationale was that each element had equal weight and each element was normed by establishing the median for the period, the assumption being that the mid-point for the 5 year period represented stability on that factor.

There were some arbitrary rules developed to handle missing data and zero occurrences. Missing data was handled by creating a mathematical median if 1 year was missing, the true median was used if 2 years were missing, and a high-low split was used if 3 years were missing. Zeros were handled by the following method:

- . One zero year - no action--treat as an element.
- . Two zero years - do not count--only deal with the 3 non-zero values.
- . Three zero years - treat the zeros as 1 value and include them in the median calculation.
- . Four zero years - treat as the low value and assume the median falls between the zero and the positive value.

Budget data was analyzed using general fund expenditures. No attempt was made to include income from industries, inmate welfare funds, federal grants, allocations from other departments, overhead charges from the central office, or state contributions to fringe packages. The inclusion of these items, while desirable, was too difficult to capture. In most cases it was impossible to ascertain the flow of these monies. The result was that costs were significantly understated but uniform.

Staff counts were inclusive, they included all staff assigned to the prison. This included:

- . positions paid by inmate welfare funds
- . positions paid for from industrial revolving accounts (work supervisors only, no sales, accounting, etc.)
- . CETA positions
- . positions paid out of other departmental budgets
- . positions on loan from other agencies

The thrust was to include all staff who were providing services. This increased the staff count at all sites. It was a significant increase in many sites.

The major thrust of the analysis was to describe the situation and to see if any trends could be observed. The assumptions listed earlier were not subjected to rigorous hypothesis testing because the data base simply would not support such an effort. Instead, the focus was on describing what happened, seeing if trends emerged, and providing adequate detail on subjective judgments to see if the data element supported individual perception.

PRESENTATION OF FINDINGS

Three formats are used for presentation of findings:

- 1) Individual site reports. These reports are presented as individual chapters in this publication.
- 2) Summary report. Chapter XI provides an overview of all sites and provides for some limited comparisons.
- 3) Descriptive appendices. Supporting data on personnel issues, prison industries, definition, questionnaire responses, and other tables are presented in this format (see Appendices A-L).

CHAPTER IV

ELLIS UNIT, TEXAS

OVERVIEW

The Ellis unit opened in 1963 and has a design capacity of 1,825 inmates. It is one of several units located in the Huntsville, Texas area. Ellis is a maximum security unit reserved for older repeat offenders. The 1980 average daily population was 2,688, almost 50 percent above its original design capacity and 20 percent above its current remodeled capacity.

The Ellis unit was clearly different from any of the other 7 sites. While most sites were trying to avoid double celling, Ellis was trying to minimize triple celling. The daily population was close to 3,000 during the site visit in late 1980.

Ellis is located in a rural area of Texas about 90 miles north of Houston and 150 miles south of Dallas. Correctional institutions are the largest employer in the area and many of the correctional officers are second and third generation employees. Inmates are predominantly urban.

The staff pride themselves on being strict taskmasters and interaction with inmates is limited to necessary communication. There is no easy give and take between staff and inmates. The atmosphere is an authoritarian one. Inmates are expected to work hard, to obey, and not to question authority. The consequence for any violations of these expectations are quick and stern ranging from loss of good time to segregation.

The major emphasis is on control and production. Several thousand acres are under cultivation and large industry and construction projects occupy almost all inmates. Ellis houses death row inmates for the entire system, some 127 in late 1980. Death row inmates were single celled and their growing number was using valuable cell space.

The organizational structure is unique. Almost all administrative tasks are carried out by the central office located a few miles away. Thus the warden and his small staff tend to daily inmate management issues and are not concerned with accounting, purchasing, payroll, etc. The warden, a long time Texas Department of Corrections employee, enjoyed a good relationship with the central office. The senior management staff were all long time employees who actively carried the values of the system.

The major concerns were:

- . continued overcrowding
- . rising costs
- . federal interference

The question of federal interference was especially focused on a federal case, Ruiz vs. Estelle. The ruling was expected any day and both staff and inmates were anxiously awaiting the verdict. Staff viewed it as unwarranted interference; it was a powerful unifier. Inmates looked to it as a source of relief. The suit dealt with a wide array of complaints namely: overcrowding, lack of medical care, disciplinary hearing protocol, segregation practices and safety conditions.

The other striking difference was in the labor relations area. Staff were not unionized, in fact, they were not even covered by civil service. Thus, the typical labor versus management harange was missing. It is hard to separate out who would fit into each camp if such a division were to be made.

BUDGET

Texas operates on an annual budget cycle. The current budget was for FY 1980-1981. Budget figures for FY 1979-1980 and 1980-1981 are listed below. These budgets do not allow for contract and special fund expenditures, thus, they understate the real cost.

	FY 79/80	Per Capita Cost	Percent of Total
Staff	\$ 2,406,856	\$ 976	28
Other	<u>6,169,924</u>	<u>2,501</u>	72
Total	8,576,780	3,447	

	FY 80/81	Per Capita Cost	Percent of Total
Staff	3,130,299	1,165	30
Other	<u>7,445,632</u>	<u>2,770</u>	70
Total	10,575,931	3,935	

They only spent 30 percent of their budget on staff resources. Less than one-half the percentage of the other 7 sites. The per capita costs are far below the other sites. The portion of total costs spent on staff was almost \$5,000 less than other sites. It is clear that Ellis operates at a minimum cost and that the major difference in per capita cost comes in the staff area. Large farm production and related industries supply virtually all clothing and food stuffs creating economies in the other category. Staff savings occur through using minimum numbers of employees to attend to several functions and the use of inmate labor to provide services usually performed by staff in most prisons. This economy is descriptive of the Texas penal philosophy of hardwork and a self-supporting system.

STAFFING DETAIL

Figure IV-1 provides an overview of the staffing pattern for the Ellis unit as of December 1980. There are 17 positions included in the program category that do not show up on the departmental position inventory. These program positions are contract positions with a school district and a local community college.

FIGURE IV-1

STAFFING DETAIL
 ELLIS UNIT, TEXAS
 1980 - 1981 FY

		<u>Positions</u>
<u>Administration</u>		
Warden's Office	6	
Personnel Office	2	
Support	3	11
<u>Security</u>		
(Includes Inmate Canteen and Mail Room)	184	184
<u>Health Services</u>		
	9	9
<u>Programs</u>		
Education ^a	18	
Religious Services	1	19
<u>Operations</u>		
Food Service	3	
Plant Operations	2	
Laundry	1	
Farm	8	14
<u>Correctional Industries</u>		
	16	<u>16</u>
TOTAL		253

^a17 employed under contract with correctional school district and community college.

Figure IV-2 provides a percentage breakdown by function for the positions and an explanation of how those percentages rank with the research sites.

FIGURE IV-2

**ELLIS UNIT
PERCENT OF STAFF BY FUNCTION COMPARED TO
OTHER SITES BY RANK FY 1980/81**

Function	Percent of Total Staff	Rank Compared To Other Sites
Administration	4.3	7
Security	72.7	1
Health Services	3.5	6
Programs	7.5	7
Operations	5.5	7
Correctional Industries	6.3	4

The staff are heavily concentrated in the security area. While the percentage is high it may be misleading. The correctional officers who making up the majority of the staff represent a very small work force. The average number of officers on duty per shift on any given day is 21-23. This complement would be below barebone staffing requirements for any of the other research sites.

The real picture comes through when security positions are measured against other positions. It is not that there are so many correctional officers, but rather there are so few in the other categories. The total count of all positions is smaller than the correctional officer count of the other prisons, none of which have nearly as many inmates. Ellis ranks seventh in administration, programs, and operations, and sixth in health services. Correctional industries is a major theme for Texas prisons and they ranked fourth in that category.

It is apparent that movement must be kept to a minimum and inmates must perform tasks usually reserved for staff. There is no recreation yard, inmates not at work are locked in their cells; inmates keep records, provide a variety of medical services, and act as cell block tenders.

Figure IV-3 provides an overview of how staffing patterns have changed over the 5 year period 1976-1980.

FIGURE IV-3

ELLIS UNIT
STAFFING DETAIL
1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>MIDYEAR 1980</u>	<u>% CHANGE 1976-1980</u>
Number of Inmates ^a	1,977	2,051	2,296	2,467	2,688	+36.0
Total Staff ^b	224	219	210	232	253	+12.9
Staff Excluding Administrative and Health Services						
Security Staff	179	171	165	175	184	+2.8
Contact Security Staff	137	129	123	133	142	+3.6
Noncontact Security Staff	42	42	42	42	42	0.0
Program Staff ^b	16	17	16	16	19	+18.8
Production/Work Staff	26	27	28	31	30	+15.4

^aAverage daily population.

^bIncludes correctional school district positions.

Percentage increases in the number of inmates has outpaced those of staff by a ratio of almost 3 to 1. The raw numbers are more staggering. Only 29 new staff positions have been added while the average number of inmates increased by 711. Security staff only increased by 5 positions over the entire period. Thus an already unbalanced staff to inmate situation got increasingly more out of kilter.

STAFF/INMATE RATIOS

Figure IV-4 provides a summary of the various staff to inmate ratios for the period 1976-1980.

FIGURE IV-4

**ELLIS STAFF INMATE RATIOS
1976-1980**

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total Staff/Inmate	1:8.83	1:9.36	1:10.93	1:10.63	1:10.62
Security Staff/Inmate	1:11.04	1:11.99	1:13.92	1:14.10	1:14.61
Contact Security Staff/ Inmate	1:14.43	1:15.90	1:18.67	1:20.06	1:18.93
Noncontact Security Staff/Inmate	1:47.07	1:48.83	1:54.67	1:58.73	1:64.00
Program Staff/Inmate	1:123.56	1:120.65	1:143.50	1:154.19	1:141.47
Production-Work Staff/ Inmate	1:76.04	1:75.96	1:82.00	1:79.58	1:89.60

The distortion created by the percentage calculation in Figure IV-2 is laid to rest by this chart. Ellis has the poorest staff to inmate ratios in all areas of any of the 7 sites. All the functional ratios have deteriorated during the 5 year period. When compared to the other sites, the difference is staggering. The next closest site has a ratio of 3.04 to 1--more than 300 percent greater than Ellis. The difference is even more staggering when other ratios are considered, particularly in the program area where the difference is on a scale of 10 to 1. Following the logic of richer ratios making prisons

safer, more productive, and enhancing climates, Ellis should show a great difference when compared to other sites and to itself over time.

PUBLIC SAFETY

Figure IV-5 shows the number of escapes from secure custody for the period 1976-1980. Escapes were rare occurrences. There were only 4 during the 5 years covered. Three occurred in 1978 and 1 in 1976. No discernable pattern emerged. Escapes are rare events and do not seem to depend upon the staff ratios. The noncontact ratio is the worst of any of the sites, yet 2 of those sites experienced more escapes.

FIGURE IV-5

ELLIS UNIT
PUBLIC SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Escapes ¹					
Number	1	0	3	0	0
Rate per 1,000	0.5	0.0	1.3	0.0	0.0

¹Escapes from secure areas, does not include walkways from outside the secure compound.

INTERNAL SAFETY

Information was available for 5 internal safety indicators for the period 1976-1980. According to Figure IV-6, 1976 was the safest year. No indicators were greater than the median. In 1978, 3 indicators or 60 percent were above the median; that was also the year that staffing ratios were at their lowest point. The inmate count went up and the number of staff positions decreased dramatically. While 3 indicators were greater than the median, none were at their highest level. In 1979 and 1980, 2 of 5 indicators (40%) were greater than the median; both of these years saw an increase in the inmate count and

increases in staff positions. It is hard to attribute change to any of these occurrences. The prison is overcrowded and has never been richly staffed.

FIGURE IV-6

ELLIS UNIT
INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>1. Inmate Assaults</u>					
Number	6	8	20	27	12
Rate/1,000	3.0	3.9	8.7	10.9	(4.5)
<u>2. Staff Assaults</u>					
Number	2	1	6	4	8
Rate/1,000	8.9	4.6	28.6	(17.2)	31.6
<u>3. Inmate Homicides</u>					
Number	0	0	0	3	1
Rate/1,000	0.0	0.0	(0.0)	1.2	0.4
<u>4. Staff Homicides</u>					
Number	0	0	0	0	0
Rate/1,000	0.0	0.0	0.0	0.0	0.0
<u>5. Disciplinary Reports¹</u>					
Number	882	1,151	1,210	1,162	1,062
Rate/1,000	446.1	561.2	527.0	(471.0)	395.0

SUMMARY

Number of Indicators Greater Than the Median	0	1	3	2	2
--	---	---	---	---	---

¹Number of reports resulting in segregation.

IDLENESS

No data was available on the percent of the population idle. A 1 day count revealed an idleness rate of about 11 percent. A strong work ethic exists. If you do not work you cannot earn any good time, and refusal to work can result in disciplinary action. Lack of staff was cited as the major reason for idleness. The agriculture operations can use up an unlimited number of workers to work marginly productive land, but work crew supervisors were not available to provide security.

CLIMATE

The climate indicators displayed in IV-7 reveal a pattern very similar to the safety one. This is not surprising since 50 percent of the factors are redundant. The poorest year was 1978 when one half of the indicators were higher than the median. The indicators follow the staffing pattern. As population increases and staff decreases, the climate declines and climate improves somewhat as staff numbers increase. The pattern is there but the causes are elusive. The staff increases are so small and the population is so large that it is hard to attribute any change to these minute interventions.

There were no staff homicides during the entire period. In fact, violence has been well contained. The only inmate homicides occurred in 1979 and 1980, the period when the most staff were present. Assault rates are among the lowest of any of the 7 sites. While this may be attributable to reporting systems, the relative lack of physical harm to staff and inmates is interesting in light of typical union demands at other sites to increase staff to decrease violence.

On an observational level, the climate was poor. The prison was packed. Three men to a cell, dormitories with only a few inches between doublebunk beds, TV sets mounted on the wall blaring, no recreation yard, and a noise level that was constant and strident. There were no program activities. Officers and inmates did not share an easy give and take. Officers were authoritarian and were not receptive to input from inmates. Visiting was only allowed through wire screens and no contact was allowed regardless of custody

status or demeanor. Food was good and plentiful. The area was clean and well kept and educational programs were available to everyone.

FIGURE IV-7

ELLIS UNIT
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>Overcrowding</u>					
1. Density Ratio	.91	.94	(1.06)	1.10	1.20
<u>Safety</u>					
2. Staff Assault Rate	8.9	4.6	28.6	(17.2)	31.6
3. Inmate Assault Rate	3.0	3.9	8.7	10.9	(4.5)
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide rate	0.0	0.0	(0.0)	1.2	0.4
6. Disciplinary Report Rate	446.1	561.2	527.0	(471.0)	395.0
7. Escape Rate	0.5	0.0	1.3	(0.0)	0.0
<u>Inmate Morale</u>					
8. Suicide Rate	0.5	0.0	(0.4)	(0.4)	0.0
<u>Staff Morale</u>					
9. Average Sick Leave	3.1	3.8	(3.6)	5.2	3.4
10. Quit Rate (%)	(38.0)	47.0	55.2	35.8	28.1
CLIMATE SUMMARY					
Number of Indicators Greater Than the Median	2	3	5	4	3

Staff are unified. They reflect a strong belief in their role and take pride in being an employee of the system. This is evidenced by the low rate of sick

leave used, the willingness to work overtime without compensation, and the lack of concern about being represented by a union or even being protected by civil service. The quit rate was very high. It averaged over 40 percent for the 5 year period. The work is physically and emotionally demanding. Only those committed to the Ellis unit and its ethos stay. Those who do stay are intensely loyal and committed to their purpose.

QUESTIONNAIRE RESULTS

Questionnaire responses were obtained from 53 inmates, 77 correctional officers, and 36 work supervisors. The following analysis provides a topic by topic review of responses.

Race Relations

How would you describe current race relations?

	Inmates	COs	Work Supervisors
Poor	39.6 (21)	24.7 (19)	8.3 (3)
Fair	54.7 (29)	62.3 (48)	63.9 (23)
Good	5.7 (3)	13.0 (10)	27.8 (10)

How do current race relations compare with last year?

	Inmates	COs	Work Supervisors
Worse	26.4 (14)	10.3 (7)	8.3 (3)
Same	68.9 (37)	83.8 (57)	83.3 (30)
Better	3.8 (2)	5.9 (4)	8.3 (3)

There is more concern on the part of inmates than the staff concerning racial relations. Correctional officers perceive the situation as being more serious than work supervisors. These differences are consistent with those found in other sites. Everyone views the situation as relatively stable with over 70 percent of all respondents saying the situation is the same or better than the

year before. There were no reports of racial violence, nor are there any organized ethnic gangs or associations.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	COs	Work Supervisors
Very crowded	75.5 (40)	50.6 (39)	66.7 (24)
Not Adequate	20.8 (11)	14.3 (11)	19.4 (7)
Adequate	3.8 (2)	35.1 (27)	13.9 (5)

The prison is extremely crowded and most responses reflected that fact. The population grew by over 200 inmates from 1979 to 1980, yet 41.2 percent of the correctional officers and 24.5 percent of the inmates felt it was the same. Even more surprising was the response of the correctional officers on the current amount of living space (35.1 percent felt it was adequate). Work supervisor and inmate responses were closer than work supervisors and correctional officers. The perception of the correctional officers of the living space being adequate was probed with a series of interviews. These interviews yielded some very firm opinions that inmates got what they deserved, that they had it too good, and many people on the outside had it worse. This was a unified response for many correctional officers. They resented outside interference from the federal government telling them how to treat inmates.

Safety

How safe do you feel right now?

	Inmates	COs	Work Supervisors
Unsafe	50.9 (27)	27.6 (21)	11.1 (4)
Don't Worry	39.6 (21)	52.6 (40)	50.0 (18)
Safe	9.4 (5)	19.7 (15)	38.9 (14)

How safe did you feel last year?

	Inmates	COs	Work Supervisors
Less Safe	3.8 (2)	16.4 (11)	13.9 (5)
Same	79.2 (42)	77.6 (52)	86.1 (31)
Safer	17.0 (9)	6.0 (4)	--- (-)

Staff and inmates have different perspectives of personal safety; 50.9 percent of the inmates felt unsafe, almost double the percentage for correctional officers and almost 5 times that of work supervisors. Inmate assaults and homicide rates were well below the 1979 figure while staff assaults were up. The major reasons given for the feelings of fear was the tension building up due to overcrowding, and the less predictable inmates were coming to the Ellis unit. These responses were received from everyone interviewed. Some 17 percent of the inmates felt the situation was getting worse. This feeling is probably attributable to the increased overcrowding.

Inmate Morale

How would you rate the current inmate morale?

	Inmates	COs	Work Supervisors
Poor	65.4 (34)	33.8 (26)	8.3 (3)
Fair	34.6 (18)	58.4 (45)	77.8 (28)
Good	-- (-)	7.8 (6)	13.9 (5)

How does current inmate morale compare with last year's inmate morale?

	Inmates	COs	Work Supervisors
Worse	40.4 (21)	12.3 (8)	8.3 (3)
Same	59.6 (31)	87.7 (57)	88.9 (32)
Better	--- (-)	--- (-)	2.8 (1)

The difference between the staff and inmate responses was not surprising nor was the inmate perception that morale was getting worse. The real surprise was that 34.6% of the inmates agreed the moral was fair. Inmates agreed that morale was bolstered by the belief that they would get relief from the findings in the Ruiz vs. Estelle case. They were expecting an opinion any day; their expectations were high and most said they had waited patiently for this relief.

Work supervisors saw the situation differently than either group. Only 8.3 percent felt that inmate morale was poor. They see a different aspect of the inmates life than the correctional officers and that difference is reflected in the data.

Staff Morale

How would you rate the current staff morale?

	Inmates	COs	Work Supervisors
Poor	53.8 (28)	27.3 (21)	22.2 (8)
Fair	44.2 (23)	57.1 (44)	52.8 (19)
Good	1.9 (1)	15.6 (12)	25.0 (9)

How does current staff morale compare with last years staff morale?

	Inmates	COs	Work Supervisors
Worse	23.1 (12)	21.9 (14)	11.1 (4)
Same	73.1 (38)	65.6 (42)	75.0 (27)
Better	3.8 (2)	12.5 (8)	13.9 (5)

Surprisingly, inmates view the situation as more serious than the staff do by a margin of almost 2 to 1. All groups agree that staff morale is basically the same as last year. The staff present a paradox: they have a high turnover rate, about 40 percent per year, yet when interviewed they present a rosy

picture. The Ruiz vs. Estelle case has been a unifying element. All staff interviewed were bitter over the interference and were committed to continuing as they have been. They use fewer sick days than any of the sites. They have no labor-management squables and are generally content with their fate. Those who do not hold the beliefs of the department find the opposition unified and resign.

Inmate Activities

How available are inmate program activities?

	Inmates	COs	Work Supervisors
Few	69.2 (36)	8.0 (6)	8.3 (3)
Some	26.9 (14)	49.3 (37)	52.8 (19)
Very	3.8 (2)	42.7 (32)	38.9 (14)

Compared to last year, how available are inmate program activities?

	Inmates	COs	Work Supervisors
Less	23.1 (12)	--- (-)	2.8 (1)
Same	69.2 (36)	74.2 (46)	77.8 (28)
More	7.7 (4)	25.8 (16)	19.4 (7)

Inmates see the situation much differently than the staff. They see few programs and 23.1 percent felt they were getting scarcer. If the question had dealt with work only then the responses might have been different. There are no recreation, ethnic or civic programs available. Education is available, in fact mandatory, for individuals scoring below the sixth grade level on an educational test. There are virtually no non-work/non-education activities.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	COs	Work Supervisors
Ex. Limited	79.2 (42)	5.3 (4)	11.1 (4)
Some	13.2 (7)	10.5 (8)	19.4 (7)
Avg.	7.6 (4)	84.2 (64)	69.4 (25)

Comparable to last year, how much freedom of movement do inmates have?

	Inmates	COs	Work Supervisors
Less	22.6 (12)	1.6 (1)	5.6 (2)
Same	73.6 (39)	46.8 (29)	61.1 (22)
More	3.8 (2)	51.6 (32)	33.4 (12)

The two groups view the situation totally different. The responses are in line with those of other sites. Movement is extremely limited. No lingering in the hallways is allowed. Everyone moves to and from assignments together; inmates are strip searched in the yard when returning from work and must walk within marked off areas in the buildings. They spend all their non-work time in their cells with the exception of meal time and sick call. The normal lock down time was from 4:30 pm until 5:30 am.

Quality of Life

How would you rate the current overall quality of life for inmates?

	Inmates	COs	Work Supervisors
Poor	71.7 (38)	--- (-)	--- (-)
Fair	26.4 (14)	30.7 (23)	41.7 (15)
Good	1.9 (1)	47.6 (29)	25.0 (9)

The results are not surprising--inmates see it as poor; staff see it as good. The difference is in the eye of the beholder. There was no evidence that the quality of life had improved--more inmates had been triple celled and dormitories were more crowded.

INTERVIEWS

A few staff members and inmates were interviewed to supplement the questionnaire data. Several areas of concern emerged for each group:

Correctional Officers/Work Supervisors

- . inmates have too many rights
- . lack of respect
- . need additional staff
- . federal intervention
- . need a raise

Inmates

- . overcrowding
- . excessive noise
- . poor food
- . no recreation
- . staff brutality

SUMMARY

The Ellis unit is unlike any of the other units in the study; it is the most overcrowded and has the poorest staff to inmate ratio. The attitude towards the inmate by staff members is totally different. The Texas correctional officers are rigid and authoritarian in their interaction. There is no easy banter between staff and inmate as seen in the other sites nor was the pervasive use of inmate labor paralleled anywhere else.

The prison is literally packed; 3 men to a cell is not unusual. The crowding not only strains cell capacity, but it also taxes the other facilities. The dining room now begins to serve breakfast at 4:30 am instead of 5:45 am to accomodate extra inmates. The laundry must run 24 hours a day to keep up; recreation space is almost non-existent, and the noise level is maddening.

The staff are a special group; they exhibit an esprit de corps rivaled by no one. They work long hours without extra compensation and they enjoy a pride in their work seldom seen elsewhere.

The most striking feature is the simplicity of organization. All or almost all staff support functions are provided by the central office. The warden is a people manager not a paper manager. He moves about the prison and attends to security and inmate management details. In order to occupy a management position the incumbent must understand the ins and outs of the large scale farming and industrial program, be prepared to pursue escaped prisoners, and escort an inmate to the hospital if they are short handed.

The staffing pattern on a normal day would create havoc in any other site. Several of the other sites have more tower, gate, and other non-contact posts that the total staff complement for Ellis.

It is quite possible that changes in personal safety and climate may be effected by the small changes in staff numbers. They are indeed at the low end of the staffing ratio continuum where any losses in manpower will take away a vital function and the impact might be very noticeable.

Costwise they have no peers; a per capita figure of \$10.28 per day would be beyond the fondest hopes of even the most wishful budget analyst in any of the other sites. Ellis provides most essential services and maintains most functions with a barebones budget supplemented by a huge agricultural industrial program.

CHAPTER V

NEW YORK STATE PRISON, AUBURN

OVERVIEW

Auburn Prison is the oldest working prison in the United States. It has been in continuous operation since 1817, even though the original physical plant has been demolished and replaced. The present physical plant is made up of a mosaic of old and new and much of the old section shows signs of excessive wear. Clearly, some portions of the prison were built before the era of unescorted prisoner movement; there are numerous check points and blindspots that require large numbers of staff to man.

The prison is located in the middle of downtown Auburn, a small upstate city in the heart of the snowbelt. The majority of the staff come from the surrounding area and many of them are second and third generation prison workers. This no doubt helps account for the stability the organization has experienced for the past several years. This stability has not been characteristic of all the New York prisons, in fact, the research was originally scheduled to take place at Greenhaven. However, due to excessive turmoil, the location was changed to Auburn the month before the site visit was to take place.

The institution has a fortress appearance and appears very stable. The management team is solid. They enjoy a good reputation with the central office. The line staff is made up of stable veterans, many of whom have been socialized into their roles by generations of relatives. The inmates, although isolated, view the administration as fair and open to discussion. The only major ripple in this calmness came with a correctional office strike from April 16 to May 5, 1979. The strike was a major one and there were reports of violence and destruction of property. However, it has not left any noticeable wounds and all seemed normal during the site visit.

The inmates are primarily urban minorities, a stark contrast to the staff. The institution provides a full range of inmate activities including the normal inmate organizations and an advisory council. Outdoor recreation is hampered by the severe winters. Inmates interviewed, while not happy with being imprisoned, viewed their situation as tolerable. They viewed the lack of urban, minority officers as a real problem.

BUDGET

New York operates on an annual budget cycle. The FY 1980/81 general fund budget is presented below. The total costs are understated because industry and other special funds are not included. The computations are broken down into staff cost and other costs by per capita cost and percent of total.

	FY 1980/81	Per Capita Cost	Percent Of Total
Staff	\$9,558,776	\$ 5,998	76
Other	<u>3,309,400</u>	<u>1,899</u>	<u>24</u>
Total	12,868,176	7,887	100

Figures were only available for one year but Auburn had the second lowest cost per inmate for the 7 sites. They spend a large percentage of their total cost on staff (76%); only 2 of the 7 sites spend a large share of their total cost on staffing. This large share is partially the result of their rather modest cost per inmate, 40 percent less than Folsom and Somers.

STAFFING DETAIL

Figure V-1 provides an overview of the authorized position as of December 31, 1980. It does not reflect 13 departments of Mental Hygiene staff detailed there in early 1981. These employees were placed there to give the prison an in-house mental health facility. They are not listed in any of the tabulations because they were assigned after the data collection period ended.

FIGURE V-I

STAFFING DETAIL
AUBURN, NEW YORK
1980

		Positions
<u>Administration</u>		
Wardens Office	7	
Business Office	18	
Commissary	5	
Support/Record	28	58
<u>Security</u>	441	441
<u>Health Services</u>	15	15
<u>Programs</u>		
Counseling	29	
Religious Services	2	
Education/Recreation	40	
General	6	77
<u>Operations</u>		
Food Services	9	
Plant Operations	32	
Laundry/Miscellaneous	10	51
<u>Correctional Industries</u>		
Production Supervisors Only (Industries Revolving Fund)	25	<u>25</u>
TOTAL		667

The following table provides a percentage breakdown by function for the positions and how that percentage compared to the other 6 research sites.

FIGURE V-2

AUBURN PERCENT OF STAFF BY FUNCTION COMPARED TO OTHER SITES BY RANK

Function	Percent of Total Staff	Rank Compared To Other Sites
Administration	8.7	2
Security	66.0	2
Health Services	2.2	7
Programs	11.5	5
Operations	7.6	6
Correctional Industries	3.7	6

The data in the table above shows a heavy concentration in the security and administration areas; nearly 3 of every 4 employees fall into one of those areas. This, in part, reflects the burden placed upon the security force by the antiquated physical plant.

Figure V-3 provides a 5 year picture of staffing detail for the period 1976-1980. The pattern revealed in Table V-2 is also reflected here. Of 66 employees added for the 5 year period, 48 or 73 percent were security employees.

FIGURE V-3

AUBURN STAFFING DETAIL
1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>% Change 1976-1980</u>
Number of Inmates ^a	1,573	1,593	1,601	1,609	1,596	+1.5
Total Staff ^b	601	617	624	638	667	+11.0
Staff Excluding Administrative and Health Services						
Security Staff	393	416	427	426	441	+12.2
Contact Security Staff	329	352	358	372	391	+18.8
Noncontact Security Staff	64	64	69	69	69	+7.8
Program Staff	69	75	68	69	77	+11.6
Production-Work Staff	72	72	72	72	76	+5.6

^aAverage daily population.

^bIncludes industries revolving fund positions.

The number of inmates has remained remarkably stable increasing by 1.5%, while total employees have increased by 11%. All functional staff categories have increased at a rate exceeding the growth of the inmate population.

STAFF/INMATE RATIOS

Figure V-4 provides a summary of the various staff/inmate ratios for the 5 year period.

FIGURE V-4

AUBURN STAFF INMATE RATIOS
1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total Staff/Inmate	1:2.62	1:2.58	1:2.57	1:2.52	1:2.39
Security Staff/Inmate	1:4.00	1:3.83	1:3.75	1:3.78	1:3.62
Contact Security Staff/ Inmate	1:4.78	1:4.53	1:4.47	1:4.33	1:4.08
Noncontact Security Staff/Inmate	1:24.58	1:24.89	1:23.20	1:23.32	1:23.13
Program Staff/Inmate	1:22.80	1:21.24	1:23.24	1:23.32	1:20.73
Production-Work Staff/ Inmate	1:21.85	1:22.13	1:22.24	1:22.35	1:21.00

All of these reveal an enrichment of staff to inmate ratios, particularly in the contact security staff and program staff areas. Auburn ranks high among the 7 research sites in several areas:

- . 1st in contact security staff/inmate ratio
- . 2nd in total staff/inmate ratio
- . 2nd in security staff/inmate ratio

It ranks either fifth or sixth on the other 3 dimensions. This is in line with the push towards increasing the security officer force as evidenced by their additions of 48 correctional officers over the past 5 years. The security personnel interviewed all listed lack of staff as a major problem. They were looking forward to a departmental post review effort. They felt sure they would be authorized more posts once the team saw their plight.

PUBLIC SAFETY

There were no escapes from the secure compound during the 5 year period.

INTERNAL SAFETY

Data was not available on disciplinary reports for the period 1976-1980, nor on staff and inmate assaults for the period 1976-1979. Thus, it was not possible to assess the internal safety scale on a year by year basis. Partial computations are displayed in Figure V-5. The period was almost homicide free; only 1 inmate and no staff members were killed during the 5 year period. The only category that had data available for the entire period was inmates in segregation. The percentage went down for the past 2 years and the 3.9% figure was among the lowest of any of the 7 sites.

FIGURE V-5

AUBURN
INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>1. Inmate Assaults</u>					
Number	N/A	N/A	N/A	N/A	33
Rate/1,000	N/A	N/A	N/A	N/A	20.7
<u>2. Staff Assaults</u>					
Number	N/A	N/A	N/A	N/A	20
Rate/1,000	N/A	N/A	N/A	N/A	29.9
<u>3. Inmate Homicides</u>					
Number	0	0	0	1	0
Rate/1,000	0.0	0.0	0.0	0.6	0.0
<u>4. Staff Homicide</u>					
Number	0	0	0	0	0
Rate/1,000	0.0	0.0	0.0	0.0	0.0
<u>5. Inmates in Segregation¹</u>					
Number ²	28	54	62	70	62
% of Total Population	1.7	3.4	4.4	4.3	3.9

¹Includes protective custody and disciplinary segregation.

²Average for the year.

CLIMATE

Only 10 of 15 climate indicators had data for the entire 5 year period. These categories are displayed along with the partial ones in Figure V-6.

The indicators reveal that the climate is good, particularly for 1980 where only 1 of 10 indicators is greater than the median. Overcrowding is not a problem, the population has been at a constant level for the past 5 years. Very little violence has occurred. There have not been any escapes; suicides have been minimal; grievance rates for both inmates and staff are declining, and staff turnover is about 6 percent. The only grim indicator is the percent idle: better than 3 of 10 inmates are idle compared to 2 of 10, 5 years ago.

According to the scale the climate has been stable for 4 of the 5 years and has greatly improved during the last year. On an observational level, the climate appears to be good. Correctional officers and inmates engage in banter; movement is well regulated; activities are plentiful and inmates have access to management. Although the prison is in a semi-isolated area, visiting is supported and conjugal visiting is available on a regular basis. The complaints of correctional officers and inmates are routine.

QUESTIONNAIRE RESULTS

Questionnaire responses were received from 38 inmates, 115 correctional officers, and 48 work supervisors. The following analysis provides a topic by topic review of responses.

FIGURE V-6

AUBURN
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>Overcrowding</u>					
1. Density Ratio	1.00	(1.01)	1.02	1.02	(1.01)
<u>Safety</u>					
2. Staff Assault Rate	N/A	N/A	N/A	N/A	29.9
3. Inmate Assault Rate	N/A	N/A	N/A	N/A	20.7
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide Rate	0.0	0.0	(0.0)	0.6	0.0
6. Percent in Segregation	1.7	3.4	4.4	4.3	(3.9)
7. Escape Rate	0.0	0.0	0.0	0.0	0.0
<u>Inmate Morale</u>					
8. Suicide Rate	0.0	0.6	0.6	(0.0)	0.6
9. Grievance Rate	612.2	456.7	(406.0)	185.8	146.6
<u>Staff Morale</u>					
10. Grievance Rate	115.9	61.3	31.9	(47.0)	45.0
11. Average Sick Leave	10.6	8.5	9.8	(9.6)	9.4
12. Quit Rate (%)	N/A	N/A	N/A	4.4	3.6
13. Transfer Rate (5)	N/A	N/A	N/A	1.6	2.5
<u>Idleness</u>					
14. Percent Idle	20.1	N/A	N/A	N/A	31.7
<u>Freedom of Movement</u>					
15. % of Time Out of Cell	58	58	58	58	58
CLIMATE SUMMARY					
Number of Indicators Greater than the Median	4	3	4	3	1

¹Five indicators have more than 1 year data missing. These 5 are not included in the survey calculations.

Race Relations

How would you describe current race relations?

	Inmates	COs	Work Supervisors
Poor	28.9 (11)	29.6 (34)	27.1 (13)
Fair	52.6 (20)	66.1 (76)	58.3 (28)
Good	18.4 (7)	4.3 (5)	14.6 (7)

How do current race relations compare with last years?

	Inmates	COs	Work Supervisors
Worse	10.5 (4)	16.2 (18)	11.1 (5)
Same	81.6 (31)	82.9 (92)	86.7 (39)
Better	7.9 (3)	0.9 (1)	2.2 (1)

There were no reports of racial problems and no recent history of any conflicts, but almost 3 out of 10 respondents felt relations were poor and 1 in 10 felt they had gotten worse. All 3 groups view the problem the same, so whatever is driving this perception is impacting all 3 groups.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	COs	Work Supervisors
Very Crowded	68.4 (26)	31.3 (36)	27.1 (13)
Not Acceptable	28.9 (11)	25.2 (29)	12.5 (6)
Adequate	2.6 (1)	43.5 (50)	60.4 (29)

How does current inmate living space compare to last year?

	Inmates	COs	Work Supervisors
More Crowded	39.5 (15)	19.6 (22)	11.6 (5)
Same	60.5 (23)	78.6 (88)	88.4 (38)
Less Crowded	--- (-)	1.8 (2)	--- (-)

Inmates viewed the situation as serious; they saw the facilities as very crowded (68.4%) and 39.5% of them felt it was more crowded than the year before. Three out of 10 correctional officers agreed that it was very crowded and almost 20 percent felt it was getting worse. These perceptions were not in line with the housing data. The facility is barely over capacity -- about 1 percent - and had fewer inmates in 1980 than in 1979 (1596 vs. 1609). However, interviews and comments received on the questionnaire bore out the perception: virtually everyone interviewed felt the overcrowding situation was getting worse.

Safety

How safe do you feel right now?

	Inmates	COs	Work Supervisors
Unsafe	35.1 (13)	46.1 (53)	27.1 (13)
Don't Worry	59.5 (22)	50.4 (58)	58.3 (28)
Safe	5.4 (2)	3.5	14.6 (7)

How safe did you feel last year?

	Inmates	COs	Work Supervisors
Less Safe	5.4 (2)	11.7 (13)	4.4 (2)
Same	86.5 (32)	83.8 (93)	93.3 (42)
Safer	8.1 (3)	4.5 (5)	2.2 (1)

The concern for personal safety was prevalent in everyone's mind: almost one-half of the correctional officers felt unsafe. There was little empirical basis for the perception of danger: only 1 inmate homicide in 5 years, no staff homicides, a low segregation count, and minimal assaults. Unfortunately, assault data was not available from previous years. Everyone saw the situation as static; over 80 percent of all 3 groups agreed the situation had not changed.

Inmate Morale

How would you rate the current inmate morale?

	Inmates	COs	Work Supervisors
Poor	67.6 (25)	26.3 (30)	18.8 (9)
Fair	32.4 (12)	66.7 (76)	68.8 (33)
Good	--- (-)	7.0 (8)	12.5 (6)

How does the current inmate morale compare with last year's inmate morale?

	Inmates	COs	Work Supervisors
Worse	27.0 (10)	21.6 (24)	13.3 (6)
Same	70.3 (26)	75.7 (84)	80.0 (36)
Better	27. (1)	2.7 (3)	6.7 (3)

Inmates paint a much gloomier picture of their situation than do the 2 staff groups. All 3 groups, particularly inmates and correctional officers, see the situation as getting worse. Inmates gave several reasons for their poor morale: lack of programs due to budget cuts, idleness, parole board regulations.

It is not surprising that inmate morale is viewed as poor; it reflects the fact of incarceration. However, the different perceptions on the part of the staff and the inmates point to a difference in frame of reference.

Staff Morale

How would you rate the current staff morale?

	Inmates	COs	Work Supervisors
Poor	43.2 (16)	74.8 (86)	39.6 (19)
Fair	48.6 (18)	22.6 (26)	54.2 (26)
Good	8.1 (3)	2.6 (3)	6.3 (3)

How does current staff morale compare with last year's staff morale?

	Inmates	COs	Work Supervisors
Worse	24.3 (9)	47.7 (53)	24.4 (11)
Same	57.9 (22)	49.5 (55)	75.6 (34)
Better	16.2 (6)	2.7 (3)	--- (-)

No one paints a very rosy picture, especially the correctional officers. Nearly three-fourths of them say morale is poor, and 47.7 percent say it has gotten worse. Work supervisors are not nearly as negative; their responses are much more in line with those of the inmates. Correctional officers, while responding negatively to the questionnaire, were not leaving the job nor taking excessive sick leave. The 1979 strike may have been an issue as well as some recent changes in retirement benefits.

Inmate Activities

How available are inmate program activities?

	Inmates	COs	Work Supervisors
Few	50.0 (19)	6.1 (7)	2.2 (1)
Some	39.5 (15)	32.2 (37)	45.7 (21)
Very	10.5 (4)	61.7 (71)	52.2 (24)

Compared to last year, how available are inmate program activities?

	Inmates	COs	Work Supervisors
Less	65.8 (25)	6.3 (7)	14.3 (6)
Same	31.6 (12)	73.9 (82)	69.0 (29)
More	2.6 (1)	19.8 (22)	16.7 (7)

The data reveals a rather drastic difference in perception, with inmates seeing the situation as bad and getting worse and the staff seeing the situation the exact opposite. There was considerable idleness (30%) and several vacant education staff positions had not been filled due to a state

hiring freeze. Industries were experiencing a slow period and using fewer workers.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	COs	Work Supervisors
Ex. Limited	65.8 (25)	--- (-)	2.1 (1)
Some	18.4 (7)	3.5 (4)	12.5 (6)
Avg.	15.8 (6)	96.6 (111)	85.4 (41)

Compared to last year how much freedom of movement do inmates have?

	Inmates	COs	Work Supervisors
Less	47.4 (18)	--- (-)	4.4 (2)
Same	52.6 (20)	67.6 (75)	51.1 (23)
More	--- (-)	32.4 (36)	44.4 (20)

This is a rather classic example of the impact of rule on perception. The differences are not surprising but dramatic, nonetheless.

Quality of Life

How would you rate the overall quality of life for inmates?

	Inmates	COs	Work Supervisors
Poor	59.5 (22)	2.6 (3)	--- (-)
Fair	40.5 (15)	9.6 (11)	10.4 (5)
Good	--- (-)	87.9 (101)	89.6 (43)

Compared to last year, how would you rate the quality of life?

	Inmates	COs	Work Supervisors
Worse	42.1 (16)	0.9 (1)	--- (-)
Same	55.3 (21)	62.2 (69)	66.7 (30)
Better	2.6 (1)	36.9 (41)	22.4 (15)

Again, no surprise; role was the major determinant of response.

INTERVIEWS

Several staff members and inmates were interviewed to supplement the questionnaire data. The following were areas of concern:

Correctional Officers/Work Supervisors

- . change in the retirement system; doing away with the 25 year police and fire retirement
- . administrative harassment since the strike
- . lack of staff
- . less authority over inmates
- . new staff are poorly suited for the work
- . personal safety

Inmates

- . programs not available
- . no jobs available
- . overcrowding
- . no minority staff
- . no good-time for lifers
- . personal safety
- . officer union pressure to curtail programs

SUMMARY

Auburn runs on a smooth plane despite the perception expressed via the interviews and the questionnaires. The empirical indicators simply do not support the low morale, lack of safety, and increasing population problem perceptions. The prison is richly staffed and staff additions have kept ahead of inmate population increases for the 5 year period.

Much of the unrest on the part of staff no doubt stems from the bitter strike of 1979 and the increased austerity of state budgets. Staff members are not leaving their posts. Only about 6 percent per year quit or transferred during 1979 and 1980.

Auburn enjoys the highest contact security staff/inmate ratio of any of the 7 research sites. They have a heavy administrative burden at the local level and they are part of a massive bureaucracy at the state level. The administrative cost for these efforts are high.

Budgetwise, they had the second lowest per capita cost of the 7 sites, but over 76 percent of total costs go towards staff cost, 1 of the highest for the 7 sites.

CHAPTER VI

OREGON STATE PENITENTIARY (OSP)

OVERVIEW

Oregon State Penitentiary (OSP) has been in operation since 1866; it is located in Salem, the capital city. The design capacity is for 1,010 inmates, but the prison has experienced chronic overcrowding for several years. The overcrowding issue has been the focus of several law suits; in fact, the findings on a major suit were pending during the site visit.

OSP, like many other single prison states, must accommodate virtually all sentenced male felons. Thus, problem inmates cannot be transferred and security risks must be handled within a single segregation system.

The Prison is administered by a seasoned staff made up of several senior members. The Director and the Assistant Director are long time OSP employees. They take a great deal of pride in their jobs and the facility. The prison is immaculate; everything is spotless, floors glisten, no trash anywhere, lawns are manicured, and there are no signs of poor maintenance. The thrust of the penal philosophy is evenly divided between program and control. This balance is accomplished by using the unit team concept to integrate the security and program functions at the cellblock level.

The correctional officers come from the surrounding area which is primarily rural. The inmates are predominantly urban, many are from Portland. Thus, the same familiar dichotomy exists between inmate and correctional officers. Inmates are actively involved in activities, clubs, recreation and work, with only about 10 percent idle.

Several areas of concern were present at the time of our site visit:

- . A tightening state budget.
- . Community corrections' programs were operating at different levels throughout the state and were seen as competitors for scarce resources.

- . There had been a major incident in July of 1980 with several inmates taking over a cellblock and taking some officers hostage.
- . The prison continued to be overcrowded with no relief in sight.
- . The parole board had adopted a new guidelines matrix that created alot of inmate anxiety.

BUDGET

Oregon operates on a 2 year budget cycle. During the research period, they were in the FY 80/81 budget. Budget figures for the past 2 budget periods are presented below. The total cost is underestimated because industry and other special funds are not included. The figures presented as budget totals represent the two year sum, but the per capita and percent of total figures are computed as a yearly average.

*FY 1977-1979 (2 years)

		Annual Per- Capita Cost	Annual % of Total
Staff	17,203,856	6,064	68
Other	<u>8,115,287</u>	<u>2,841</u>	<u>32</u>
TOTAL	25,319,143	8,865	100

*FY 1979-1981 (2 years)

Staff	18,233,610	6,240	66
Other	<u>9,336,171</u>	<u>3,195</u>	<u>34</u>
TOTAL	27,569,781	9,435	100

*Represents a 2-year appropriation.

The increase for the most recent 2 year period was only 8.8 percent or less than a 5 percent increase per year. This was surprising in face of the rate of inflation. Oregon spends 66 percent of its total budget on staff cost; only 1 other research site spent a smaller percentage and there were only 2 other sites with a lower per capita cost. Staff per capita cost only

increased by 2.9 percent between the 2 budget periods while other costs increased by 12.5 percent.

STAFFING DETAIL

Figure VI-1 provides an overview of OSP's staffing pattern as of December 1980. Thirty-seven industry and 3 inmate welfare fund positions are included in the total count, even though those positions are not carried on departmental general fund documents. These 40 positions must be included to give an accurate picture.

FIGURE VI-1

OREGON
STAFFING DETAIL
1980

		Positions
<u>Administration</u>		
Superintendent's Office	11	
Business Office	22	
Canteen	3	36
<u>Security</u>	246	246
<u>Health Services</u>		
Psychological Services	3	
Medical/Dental	25	28
<u>Programs</u>		
Residence Management Services	3	
Psychiatric Unit	18	
Unit Management	34	
Education	36	
Activities	9	
Religious Services	2	102

		Positions
<u>Operations</u>		
Food Service	14	
Plant Operations	22	
Farm	16	52
<u>Correctional Industries</u>		
Production Supervisors Only (Correctional Industries Revolving Fund)	37	<u>37</u>
TOTAL		501

The following table provides a percentage breakdown by function for the position and an explanation of how these percentages rank with the other research sites.

FIGURE VI-2

**OREGON
PERCENT OF STAFF BY FUNCTION COMPARED TO
OTHER SITES BY RANK**

Function	Percent of Total Staff	Rank Compared to other sites
Administration	7.2	4
Security	49.1	6
Health Services Programs	5.6	3
Operations	20.3	1
Correctional Industries	10.4	2
	7.4	3

The program area accounts for over 20 percent of the total staff, the highest for any of the 7 sites. Education, unit management and psychiatric services account for the majority of the program staff. This pattern underscores OSP's program orientation. Security, on the other hand, ranks sixth and only accounts for 49.1 percent of the total. This is somewhat misleading in that the unit management staff have both a security and a program function. The psychiatric unit is programmatic and not primarily diagnostic. It functions as a long term treatment facility and was included under program instead of health services.

The ranking reveals an evenly balanced picture with all areas except security being ranked at the median or above. This picture is in line with the philosophical balance struck between a program and a control orientation. Movement and program have been enhanced to deal with overcrowding.

Figure VI-3 provides a 5 year summary of staffing patterns detailing changes and percentage of change. The numbers of inmates grew by 6.8 percent over the 5 year period. Staff members more than kept pace with a 13.3 percent increase. The greatest staff increase occurred in 1980 when they added 49 new positions. Percentage increases in all staff categories, except noncontact security positions, have occurred at a rate exceeding inmate growth.

FIGURE VI-3

OREGON
STAFFING DETAIL, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>% Change 1976-1980</u>
Number of Inmates ^a	1,387	1,402	1,458	1,441	1,482	+6.8
Total Staff ^b	442	447	460	452	501	+13.3
Staff Excluding Administration and Health Services						
Security Staff	202	202	218	218	246	+21.8
Contact Security Staff	136	136	152	152	183	+34.5
Noncontact Security Staff	66	66	66	66	66	0.0
Program Staff	85	94	98	98	102	+20.0
Production-Work Staff	73	73	79	79	87	+19.2

^aMidyear population.

^bIncludes industries revolving fund positions.

STAFF/INMATE RATIOS

Figure VI-4 provides a summary of the various staff ratios for the period 1976-1980.

FIGURE VI-4

OREGON STAFF/INMATE RATIOS, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total Staff/Inmate	1:3.14	1:3.14	1:3.24	1:3.19	1:2.96
Security Staff/Inmate	1:6.87	1:6.94	1:6.89	1:6.61	1:6.02
Contact Security Staff/ Inmate	1:10.20	1:10.30	1:10.43	1:10.54	1:8.10
Noncontact Security Staff/ Inmate	1:21.02	1:21.24	1:22.09	1:21.83	1:22.45
Program Staff/Inmate	1:16.32	1:15.11	1:14.88	1:14.70	1:14.53
Production-Work Staff/	1:19.00	1:19.21	1:18.46	1:18.24	1:17.03

All ratios except 1 were enriched over the 5 year period. CSP ranks fifth out of the 7 sites in 3 areas:

- . total staff/inmate ratio
- . security staff/inmate ratio
- . contact security staff/inmate ratio

They rank above the median in the programs and production work areas.

PUBLIC SAFETY

Figure VI-5 shows the numbers of escapes from secure custody for the 5 year period. Only 2 escapes occurred during the entire period. The number of non-contact posts remained constant for the entire period. This reinforces the

concept that escapes are rare occurrences and are not related to the number of non-contact posts.

FIGURE VI-5

OREGON
PUBLIC SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Escapes ¹					
Number	0	0	0	2	0
Rate/1,000	0.0	0.0	0.0	1.4	0.0

¹Escapes from secure custody, does not include walkaways from outside the secure compound.

INTERNAL SAFETY

Data are available on 6 safety indicators for a 4 year period, 1977-1980, and are displayed in Figure VI-6. Additional data are displayed for 3 indicators for the year 1976. The safety level was good for the entire period. There were no staff or inmate homicides Staff assaults decreased and the segregation percentage remained stable. Only inmate assaults and disciplinary reports increased. Disciplinary reports were extremely high with 1,722 reports in 1980 meaning that 1,161.9 per 1,000 inmates got a write-up, clearly higher than any other site. In general, there is no discernable pattern. Indicators were highest in 1977 when the population was 80 less than in 1980, and in 1980 when the staff to inmate ratios were the most favorable. All in all the facility has enjoyed a period of relative safety; no major incidents were reported except the hostage taking in 1980.

FIGURE VI-6

INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>1. Inmate Assaults</u>					
Number	N/A	54	68	91	106
*Rate/1,000	N/A	38.5	46.6	(63.2)	71.5
<u>2. Staff Assaults</u>					
Number	N/A	26	24	22	20
**Rate/1,000	N/A	57.4	51.5	(46.9)	39.8
<u>3. Inmate Homicides</u>					
Number	0	0	0	0	0
Rate/1,000	0.0	0.0	0.0	0.0	0.0
<u>4. Staff Homicides</u>					
Number	0	0	0	0	0
Rate/1,000	0.0	0.0	0.0	0.0	0.0
<u>5. Disciplinary Reports</u>					
Number	1,114	785	610	892	1,722
Rate/1,000	803.2	559.9	418.4	(619.0)	1,161.9
<u>6. Inmates in Segregation¹</u>					
Number ²	N/A	78	68	67	69
% of Total Population	N/A	5.6	4.7	(4.6)	4.7

SUMMARY

Number of Indicators Above the Median	1 ³	2	2	0	2
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¹Include protective custody and disciplinary segregation.

²Average number for entire year.

³Three of the six indicators were not included due to missing data.

*Median = 54.9; ** Median = 49.2

IDLENESS

Figure VI-7 displays data on inmate idleness for the period 1976 to 1980. Idleness was down to less than 10 percent in 1980, the first time in 3 years. In fact, 1977 was the only year that the percent idle figure was lower than in 1980. Industries demands for manpower have remained fairly constant, but the addition of program staff and the production staff allowed more inmates to be assigned to pay slots. No doubt there is a certain amount of over-assignment, but the primary focus is to deal with dead time and to get people off the cellblock.

FIGURE VI-7

OREGON
INMATES ASSIGNED

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Number Idle ¹	159	87	182	210	139
Percent Idle	11.5	6.2	12.5	14.6	9.4

¹Average number.

CLIMATE

Climate indicator information is displayed in Figure VI-8. Some categories are incomplete for the period 1976-1977, but all data elements are present for the 3 year period 1978, 1979, and 1980. Thus, the major focus was on the period with all data elements available. The changes in climate for the 3 year period do not follow any pattern that appears related to changes in staffing ratios.

FIGURE VI-8

OREGON
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>Overcrowding</u>					
1. Density Ratio	1.25	1.27	1.32	(1.30)	1.34
<u>Safety</u>					
2. *Staff Assault Rate	N/A	57.4	51.5	46.9	39.8
3. **Inmate Assault Rate	N/A	38.5	46.6	63.2	71.5
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide Rate	0.0	0.0	0.0	0.0	0.0
6. Disciplinary Report Rate	803.2	559.9	418.4	(619.0)	1,161.9
7. Percent in Segregation	N/A	5.6	(4.7)	4.6	(4.7)
8. Escape Rate	0.0	0.0	(0.0)	1.4	0.0
<u>Inmate Morale</u>					
9. Suicide Rate	0.9	2.1	0	0	(0.7)
<u>Staff Morale</u>					
10. Quite Rate (%)	N/A	N/A	10.1	13.2	(12.4)
11. Transfer Rate	N/A	N/A	2.1	3.6	(3.5)
12. Grievance Rate	N/A	N/A	(38.6)	40.5	21.7
<u>Idleness</u>					
13. Percent Idle	(11.5)	6.2	12.5	14.6	9.4
<u>Freedom of Movement</u>					
14. % of Time out of Cell	62.5	62.5	62.5	62.5	62.5
CLIMATE SUMMARY					
Number of Indicators Greater Than the Median	2***	3***	3	6	3

* median = 54.9.

** median = 49.2.

*** 6 of 16 indicators not included.

Clearly, the best climate year was 1978 with only 2 of 14 indicators above the median. In 1979 it increased to 5 indicators above the median and stayed the same in 1980.

This deterioration in the climate came at a time when staff member increases outnumbered those of inmates, and staff to inmate ratios were at their peak. The institution has experienced overcrowding for a long period of time and violence against staff did not escalate. Clearly, the change in climate may be related to staff to inmate ratios, but there is no convincing evidence in OSP's experience that supports that concept. Indeed one would have expected 1980 to be an excellent year but several categories were at their 3 and 5 year highs in 1980.

At the observational level climate appears good. The officers and inmates enjoy an easy give and take in their routine interaction. The institution is spotless and the food was adequate and well prepared. Visiting is difficult due to the prison's location; relatives must come from all over the state to visit and most inmates are from the metropolitan area. There are a host of programs available for educational and recreational activities. Inmates can pursue a variety of ethnic and religious activities and have access to the administration. The major problem is the chronic overcrowding and the strain those numbers put on the institution's resources.

QUESTIONNAIRE RESULTS

Questionnaire responses were received from 38 inmates, 106 correctional officers, and 35 work supervisors. The following analysis provides a topic by topic review of responses.

Race Relations

How would you describe current race relations?

	Inmates	COs	Work Supervisors
Poor	39.5 (15)	15.1 (16)	8.6 (3)
Fair	47.4 (18)	58.5 (62)	80.0 (28)
Good	13.2 (5)	26.4 (28)	11.4 (4)

How do current race relations compare with last years?

	Inmates	COs	Work Supervisors
Worse	22.2 (8)	16.3 (17)	11.4 (4)
Same	71.8 (28)	66.3 (69)	85.7 (30)
Better	--- (-)	17.3 (18)	2.9 (1)

Inmates see the situation as more serious than correctional officers; both groups see the problem as relatively stable. There were no reports of racial incidents nor did any of the interviews reveal any strong feeling one way or the other. Work supervisors see a different picture than the other 2 groups. While the numbers are too small to determine significance, the pattern is present. Virtually all religious and ethnic groups are represented and space is made available for them to pursue their respective activities.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	COs	Work Supervisors
Very Crowded	66.7 (26)	3.8 (4)	11.8 (4)
Not Accept.	17.9 (7)	8.5 (9)	8.8 (3)
Adequate	15.4 (6)	87.7 (93)	79.4 (27)

How does current inmate living space compare to last year?

	Inmates	COs	Work Supervisors
More Crowded	31.6 (12)	3.8 (4)	--- (-)
Same	60.5 (23)	27.6 (29)	41.2 (14)
Less Crowded	7.9 (3)	68.6 (72)	58.8 (20)

The prison has experienced chronic overcrowding for several years. It was 34 percent above its design capacity in 1980 and had been at least 25 percent above since 1976; thus, the correctional officers' and the work supervisors' responses were somewhat surprising. One reason for the disparity between inmates and staff responses may be the lawsuit dealing with overcrowding that was pending during the site visit. Inmates definitely felt overcrowded; the interviews with both staff and inmates revealed a lot of concern over the issue. Officers cited the overcrowding as reason for the additional staff.

Safety

How safe do you feel right now?

	Inmates	COs	Work Supervisors
Unsafe	35.9 (14)	16.2 (17)	17.1 (6)
Don't Worry	61.5 (24)	61.0 (64)	60.0 (21)
Safe	2.6 (1)	22.9 (24)	22.9 (8)

How safe did you feel last year?

	Inmates	COs	Work Supervisors
Less Safe	13.2 (5)	17.1 (18)	--- (-)
Same	86.8 (33)	81.0 (85)	91.4 (32)
Safer	--- (-)	1.9 (2)	8.6 (3)

Inmates view their personal safety differently than staff; 35.9% feel unsafe, more than twice the staff percentage. Virtually everyone agrees that personal safety has remained constant or improved over the previous years. The indicators bear out the differences between the 2 groups. Staff assaults were at a 4 year low and inmate assaults were at their highest level. The hostage situation in 1980 did not seem to influence the staff response. They reported one of the best views of personal safety of any of the 7 sites. This feeling is surely bolstered by the fact that no homicides have occurred during the past 5 year period.

Inmate Morale

How would you rate the current inmate morale?

	Inmates	COs	Work Supervisors
Poor	64.1 (25)	10.4 (11)	8.6 (3)
Fair	33.3 (13)	59.4 (63)	51.4 (18)
Good	2.6 (1)	30.2 (32)	40.0 (14)

How does current inmate morale compare with last year's inmate morale?

	Inmates	COs	Work Supervisors
Worse	57.9 (22)	15.2 (16)	11.8 (4)
Same	42.1 (16)	63.8 (67)	79.4 (27)
Better	--- (-)	21.0 (22)	8.8 (3)

The difference between inmates and staff are very definite; inmates see the situation as poor and getting worse. When interviewed, inmates listed lack of respect and uncertainty about parole as major sources of discontent.

Staff Morale

How would you rate the current staff morale?

	Inmates	COs	Work Supervisors
Poor	46.2 (18)	48.1 (51)	34.3 (12)
Fair	53.8 (21)	28.3 (30)	48.6 (17)
Good	--- (-)	21.0 (22)	17.1 (6)

How does current staff morale compare with last year's staff morale?

	Inmates	COs	Work Supervisors
Worse	44.7 (17)	26.9 (28)	25.7 (9)
Same	55.3 (21)	57.7 (60)	71.4 (25)
Better	--- (-)	15.4 (16)	2.9 (1)

All groups see current staff morale about the same. Work supervisors are not as discouraged as correctional officers but both groups see the past about the same. There was a great deal of concurrence between the inmate and staff perceptions of the current situation. This is interesting since they are so far apart on the question of inmate morale.

Quit rates and transfer rates have been pretty stable for the past 3 years. They fall in the middle range when compared to other sites. Staff members were upset over a pay raise that had been promised in 1979 but had not been received. Interviews revealed a feeling among correctional officers that administration was too petty and did not back staff in their dealing with inmates.

Inmate Activities

How available are inmate program activities?

	Inmates	COs	Work Supervisors
Few	28.0 (11)	1.9 (2)	--- (-)
Some	63.2 (24)	19.8 (21)	31.4 (11)
Very	7.9 (3)	78.3 (83)	68.6 (24)

Compared to last year how available are inmate program activities?

	Inmates	COs	Work Supervisors
Less	18.9 (7)	2.0 (2)	8.6 (3)
Same	73.0 (27)	49.0 (51)	68.6 (24)
More	8.1 (3)	49.0 (51)	22.9 (8)

Inmates and staff view the situation differently but almost everyone recognized that activities and programs were available. Even inmates, who due to their role are skeptical, viewed the situation moderately. In fact programs are very available. The percent idle was down in 1980 by a sizeable margin and several additional programs and productions have been employed to provide activities. This has been a constant strategy to deal with overcrowding instead of only increasing control. Program and production staffs had been increased by 20 percent over the 5 year period at about the same rate as security officers and more rapidly than inmates.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	COs	Work Supervisors
Ex. Limited	46.2 (18)	--- (-)	--- (-)
Some	25.6 (10)	3.8 (4)	--- (-)
Avg.	28.2 (11)	96.3 (102)	100.3 (34)

Compared to last year how much freedom of movement do inmates have?

	Inmates	COs	Work Supervisors
Less	23.7 (9)	--- (-)	8.8 (3)
Same	68.4 (26)	43.8 (46)	61.8 (21)
More	7.9 (3)	56.2 (59)	29.4 (10)

This is clearly a case of perception based upon role. Inmates enjoy quite a bit of movement and spend 62.5 percent of the day out of their cell, considerably more than several other prisons in the group studied.

Quality of Life

How would you rate the overall quality of life for inmates?

	Inmates	COs	Work Supervisors
Poor	66.7 (26)	--- (-)	--- (-)
Fair	33.3 (13)	4.7 (5)	8.6 (3)
Good	--- (-)	95.3 (101)	91.4 (32)

Compared to last year how would you rate the quality of life?

	Inmates	COs	Work Supervisors
Worse	42.1 (16)	--- (-)	--- (-)
Same	57.9 (22)	42.9 (45)	51.4 (18)
Better	--- (-)	57.1 (60)	48.5 (17)

Staff responses are unified and opposite those of inmates. The responses are in line with what one would expect, given the experience base of the respondents. At the observational level the quality of life is quite good. The chronic overcrowding puts a strain on everyone in that noise levels are high and there is less access to recreational activities due to competition. However, the prison is clean, airy, well lit, and the food is good.

INTERVIEWS

Several staff members and inmates were interviewed to supplement the questionnaire data. Several areas of concern emerged from each group:

Correctional Officers/Work Supervisors

- . failure of the state to honor the raise promised in 1979
- . lack of control of inmates
- . lack of support for line officers
- . poor training

Inmates

- . staff do not communicate
- . lack of programs
- . overcrowding
- . too much cell time
- . parole board unpredictable
- . poor visiting

SUMMARY

The presence of a stable management team is a tremendous asset to OSP. In spite of chronic overcrowding and a deterioration of the climate indicators, the prison functions very well. It is a clean, orderly institution that meets the needs of almost all sentenced adult felons. They have very little latitude to transfer difficult cases; they must provide treatment and program service to a wide range of inmates. This effort creates special demands on the staff and OSP meets them very well.

They continue to stress a balance of programs and control as evidenced by the bolstering of security and program staff. In fact both staff types have grown at a faster rate than the rate of increase for inmates. There are a large number of programs available for inmates both as an assignment and as religious, ethnic, or recreational pursuit.

The question posed remains problematic; there is no evidence to support increased safety or improved climate due to an increase in staff. Staffing ratios were at their highest in 1980 and not a single category of indicators was impacted by the change. Internal safety showed no improvement; in fact it deteriorated. Idleness was lower in 1977 when the staff ratios were lower. Climate taken as a whole did not show any change. It remained at the same level that it was in 1979 and was considerably worse than in 1978.

Clearly, changes in these items are influenced by changes in staffing level, but no evidence exists to suggest that any cause and effect relationship exists.

CHAPTER VII

LEWISBURG FEDERAL PENITENTIARY

OVERVIEW

The United States Penitentiary at Lewisburg opened in 1932. The prison is located in a rural area in Pennsylvania and is not close to any major metropolitan area. The facility has a design capacity of 1,258 inmates and is designated as a maximum security prison. It houses high security inmates from all over the United States. Lewisburg was the only federal prison included in the study.

The population declined by 22.9 percent over the 5 year period. This loss of inmates was offset by an increasingly hardened population. Lewisburg was rapidly becoming the depository for hard to handle cases, especially with other maximum security facilities closing down. They also house difficult state prisoners who cannot be contained in state systems. Often these inmates have led rebellions or have created undue stress on their respective prisons. The inmate population is predominantly urban and has a large minority count.

Most line staff come from the surrounding area. Few are from metropolitan areas and very few are minorities. Efforts to attract minorities to Lewisburg have not been successful. The senior management staff have considerable experience and have had duty assignments in several federal penal facilities before coming to Lewisburg. Staff/management conflicts are present; many officers interviewed presented graphic descriptions of these conflicts.

The warden was a newcomer but had several years of management experience before coming to Lewisburg. Most other senior staff had come within the last two years; thus, the management team, while seasoned prison employees, were all relatively new to Lewisburg. The prison is part of a large bureaucratic organization. It is directly responsible to a regional office in Philadelphia. Many of their administrative functions are controlled from there. The regional office in turn is responsible to the central office in Washington, D.C.

The prison had been experiencing quite a bit of turmoil, especially from state prisoners who were sent there after riots in New Mexico. In fact, our first site visit had to be cancelled due to an inmate disturbance. Everyone appeared tense. Interviews with staff and inmates confirmed these appearances. The interviews revealed a lot of concern for personal safety and poor morale.

BUDGET

Lewisburg operates on an annual budget cycle. The budget is prepared and routed through the regional office which oversees its administration. The regional office provides a cadre of specialists who are available to prisons in the region. Thus, several positions are not allocated to Lewisburg's budget but are located in the regional office budget. No attempt was made to prorate their salaries nor are any non-general fund expenditures included. Thus, the real cost of running the facility is understated. Budget figures for FY 1977 to 1980 are listed below. These figures are broken down into staff costs and other costs by per capita cost, and percentage of total.

	FY 1977	Per Capita Cost	Percent of Total
Staff	6,322,268	4,500	70%
Other	<u>2,738,632</u>	<u>1,949</u>	30%
Total	9,060,900	6,449	

	FY 1978	Per Capita Cost	Percent of Total
Staff	7,090,478	5,331	71%
Other	<u>2,851,618</u>	<u>2,144</u>	29%
Total	9,942,096	7,475	

	FY 1979	Per Capita Cost	Percent of Total
Staff	7,447,903	6,510	71%
Other	<u>2,999,197</u>	<u>2,622</u>	29%
Total	10,447,100	9,132	

	FY 1980	Per Capita Cost	Percent of Total
Staff	8,324,832	7,861	74%
Other	<u>2,925,375</u>	<u>2,762</u>	26%
Total	11,250,207	10,623	

The staff portion of total cost increased from 70 to 74 percent of the total. This was the largest increase for any of the 7 sites. The actual dollar cost for staff cost per inmate in 1980 rose by 75 percent over the 1977 totals while other costs rose 42 percent. Part of this can be attributed to inflation, but much is due to the increasing number of staff and the decreasing number of inmates. Per capita costs are tied to the inmate count which has decreased each year since 1976.

Lewisburg represented the median in the total per capita cost category. They were still relatively low considering the rapid increase in cost over the last 4 years. A different picture might emerge if one were to factor in overhead cost for the regional and central office.

STAFFING DETAIL

Figure VII-1 provides an overview of the staffing patterns for Lewisburg as of December 1980. Several positions are included here that are not carried on their personnel inventory:

- . a fulltime equivalent medical consultant
- . 4.5 positions contracted with a local college
- . .5 positions contracted with various clergy
- . 37 positions are paid out of the correctional industries revolving fund

FIGURE VII-1

LEWISBURG
STAFFING DETAIL
1980-1981

		Positions
<u>Administration</u>		
Wardens Office	9	
Personnel Office	5	
Business Office	11	
Records Office	6	31
<u>Health Services</u>		
Medical/Dental ^a	16	16
<u>Security</u>		
	173	173
<u>Programs</u>		
Unit Management	44.0	
Education ^b	24.5	
Religious Services ^c	2.5	
Psychological Services	3.0	74
<u>Operations</u>		
Food Service	14	
Farm	10	
Plant Operations	32	
Safety	3	
Laundry/Miscellaneous	7	66
	88	

		Positions
<u>Correctional Industries</u>		
Production Supervisors Only (Correctional Industries Revolving Fund)	37	<u>37</u>
TOTAL		397

^aIncludes one fulltime employment contract with specialist/consultants.

^bIncludes 4.5 positions contracted with a local college.

^cIncludes .5 employment contract with various religious groups.

Figure VII-2 provides a percentage breakdown by function for the positions listed above and an explanation of how these percentages rank with the other research sites.

FIGURE VII-2

LEWISBURG PERCENT OF STAFF BY FUNCTION, COMPARED TO OTHER SITES BY RANK - FY 1980

Function	Percent of Total Staff	Rank Compared to Other Sites
Administration	7.8	3
Security	43.6	7
Health Services Programs	4.0	5
Operations	18.6	2
Correctional Industries	16.6	1
	9.3	1

Lewisburg has a heavy concentration in the program, operations, and industries areas. This concentration is in line with the federal orientation of balancing security and program. Security ranked seventh, but this is somewhat misleading because the unit management positions listed under programs have a security function as well. Thus, the security and program component are really a blend and not as rigid as depicted above.

There was also a relatively heavy concentration in the administration area, especially considering that many of their administrative tasks are carried out by the regional office. However, it may be a case of redundancy. Rarely do local functions disappear when they are taken over by a higher level. There were many comments about the workload actually increasing due to extra reporting requirements placed upon the locals by the higher levels of the bureaucracy.

Figure VII-3 provides a summary of how staffing patterns changed for the 5 year period from 1976 to 1980.

The staff increased by 2.1 percent while the inmate count went down by 22.9 percent. In real terms, the staff made gains by staying at the same level. This speaks to the fact that security posts are relatively independent of the number of inmates. Removing 357 inmates from the population may ease the noise level, the demand on support services, decreasing idleness, etc., but it does not alter the number of posts that must be manned. To reduce the number of posts, major changes in inmate flow, changes in program and the introduction of new technology must occur.

FIGURE VII-3

LEWISBURG
STAFFING DETAIL, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>% Change 1976-1980</u>
Number of Inmates ^a	1,302	1,405	1,330	1,144	1,059	-22.9
Total Staff ^b	389	399	399	397	397	+2.1
Staff Excluding Administration and Health Services						
Security Staff	175	174	174	173	173	-1.2
Contact Security Staff	129	128	128	127	127	-1.6
Noncontact Security Staff	46	46	46	46	46	0.0
Program Staff	65	74	74	74	74	+13.8
Production-Work Staff	100	100	101	101	103	+3.0

^aAverage daily population.

^bIncludes educational, religious, and psychological services contract positions and industries revolving fund positions.

The program area was increased during the period, 9 new positions were added in 1977. This represents a significant change in the program structure and certainly reflects a strong commitment to program. The production-work staff increased by 3 percent while security posts increased by 1.2 percent. This is significant in a time when the count is going down. It was also a bone of contention with the officers union. They felt they were being faced with tougher inmates and the security function was not getting proper attention.

STAFF/INMATE RATIOS

Figure VII-4 provides an overview of how various staff ratios have changed for the period 1976 to 1980.

All the ratios were enriched, primarily due to a decline in the inmate population rather than an increase in staff. The only exceptions were the program staff and the work production staff where staff additions complemented the reduction in the number of inmates.

Lewisburg represents the median total staff/inmate ratio for the 7 sites. It places first in the production work ratio and number 2 in the program area. The relatively high security staff/inmate ratio is offset by the program concentration. The unit team personnel really play a dual role.

Lewisburg represents the most dramatic ratio enrichment of the 7 sites and theoretically should show improvement in all the functional areas. This really tests the thesis of increasing population. If increasing population creates havoc with safety and climate, then a stable staff and declining population should produce a more desirable set of circumstances. Lewisburg was the only site that fills that category. All other sites increased population and staff at varying rates.

FIGURE VII-4

LEWISBURG
STAFF/INMATE RATIOS, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total Staff/Inmate	1:3.35	1:3.52	1:3.33	1:2.88	1:2.67
Security Staff/Inmate	1:7.44	1:8.07	1:7.69	1:6.61	1:6.12
Contact Security Staff/ Inmate	1:10.09	1:10.98	1:10.47	1:9.01	1:8.34
Noncontact Security Staff/Inmate	1:28.30	1:30.54	1:28.91	1:24.87	1:23.02
Program Staff/Inmate	1:20.03	1:18.99	1:17.97	1:15.46	1:14.31
Production-Work Staff/ Inmate	1:13.02	1:14.05	1:13.17	1:11.33	1:10.28

PUBLIC SAFETY

Escapes from secure custody were rare at Lewisburg. There were 3 escapes in 1976 and none in 1977 through 1980. This supports the increased staff to inmate ratio position, but the same pattern occurred in other non-similar sites.

FIGURE VII-5

LEWISBURG
PUBLIC SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Escapes ¹					
Number	3	0	0	0	0
Rate/1,000	2.3	0.0	0.0	0.0	0.0

¹Escapes from secure area. Walkaways from outside the secure compound not included.

INTERNAL SAFETY

Data for 5 internal safety indicators are displayed in Figure VII-6. The thesis that increased staff ratios provide improved safety was not supported. The year with the most desirable ratio, 1980, had the greatest number of indicators above the median. No staff homicides occurred during the entire period, thus only 4 of the 5 indicators reflect change and all 4 of them were elevated in 1980. The best years were 1977 and 1978, but staff to inmate ratios were higher than in 1979 or 1980. Lewisburg offers no support for the increased staff to inmate ratio -- safety argument; in fact, a reverse relationship was observed.

Violence was up in 1979 and 1980. Inmate assaults and staff assaults were at their peak. The percent of persons held in segregation was at its highest level in 1979, but had been over 11 percent since 1978. Homicides were high. There were 5 for the 5 year period, the highest number of any of the sites. This all occurred in spite of the favorable staff picture. The only reasonable answer to this quandry is that violence and staff numbers are not directly related. A host of other variables must be considered.

IDLENESS

No data was available on idleness for the 5 year period. Interviews with inmates and work supervisors indicate that jobs and programs are available. Approximately 435 inmates were employed in industries alone, more than one half of those available for assignment. In fact, there were some concerns that the industry work force was not being kept up to par due to lack of available inmate workers.

FIGURE VII-6

LEWISBURG
INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
1. <u>Inmate Assaults</u>					
Number	13	8	8	11	15
Rate/1000	9.9	5.7	6.0	(9.6)	13.2
2. <u>Staff Assaults</u>					
Number	8	2	8	11	10
Rate/1000	(20.5)	5.1	20.1	27.7	25.2
3. <u>Inmate Homicides</u>					
Number	4	1	1	1	2
Rate/1000	3.1	0.7	0.8	(0.9)	2.8
4. <u>Staff Homicides</u>					
Number	0	0	0	0	0
Rate/1000	0.0	0.0	0.0	0.0	0.0
5. <u>Inmates in Segregation</u>					
Number	94	126	149	138	122
% of Total Population	7.2	9.0	(11.2)	12.1	11.5

SUMMARY

Number of Indicators Greater Than the Median	2	0	0	2	4
--	---	---	---	---	---

CLIMATE

A total of 10 climate indicators were computed for each year of the 5 year period. Results of these computations are displayed in Figure VII-7. The same pattern emerges for the climate indicators as for the safety ones. This is not surprising since 5 of the 10 indicators are the same. There were 3 categories where no changes occurred: inmate suicide, staff homicide, and percent time out of cell. Thus, 7 indicators accounted for all the changes that occurred and 4 of them were safety indicators. The climate did not improve with the enrichment of staff ratios. Unfortunately, information was not available on transfer, sick leave, or grievances to see how officer morale changed.

Questionnaire data and interviews revealed that staff morale was declining, but the modest quit rate of 3.3 percent does not reflect declining morale. In fact, 1980 was the lowest of the 5 years for staff turnover.

On the observational level, the climate was not good. There was a great deal of tension: both staff and inmates were concerned about the changing nature of the population. On the positive side, the facility was not crowded. There was little idleness, food was good, inmates and correctional staff enjoy an easy give and take, and the facility was well maintained. It was quite obvious that the major climate ingredient during that time period was safety. If the anxiety surrounding the safety issue was to subside, another issue might take its place.

QUESTIONNAIRE RESULTS

Questionnaire responses were obtained from 48 inmates, 52 correctional officers, and 30 work supervisors. The following analysis provides a topic by topic review of responses.

FIGURE VII-7

LEWISBURG
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>Overcrowding</u>					
1. Density Ratio	(.92)	.99	.94	.81	.75
<u>Safety</u>					
2. Staff Assault Rate	(20.5)	5.1	20.1	27.7	25.2
3. Inmate Assault Rate	9.9	5.7	6.0	(9.6)	13.2
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide Rate	3.1	0.7	0.8	(0.9)	2.8
6. Percent in Segregation	7.2	9.0	(11.2)	12.1	11.5
7. Escape Rate	2.3	0.0	(0.0)	0.0	0.0
<u>Inmate Morale</u>					
8. Suicide Rate	0.0	0.0	0.0	0.0	0.0
9. Quit Rate (%)	3.9	7.5	(4.8)	5.0	3.3
<u>Freedom of Movement</u>					
10. % of Time Out of Cell	71	71	71	71	71
CLIMATE SUMMARY					
Number of Indicators Greater Than the Median	3	2	1	3	4

Race Relations

How would you describe current race relations?

	Inmates	COs	Work Supervisors
Poor	41.7 (20)	23.1 (12)	6.7 (2)
Fair	54.2 (26)	69.2 (36)	80.0 (24)
Good	4.3 (2)	7.7 (4)	13.3 (4)

How do current race relations compare with last years?

	Inmates	COs	Work Supervisors
Worse	21.3 (10)	8.2 (4)	16.7 (5)
Same	78.7 (37)	85.7 (42)	76.7 (23)
Better	--- (-)	6.1 (3)	6.7 (2)

Each of the 3 groups see the problem differently. The gap between correctional officers and work supervisors is almost as large as the one between these 2 groups and the inmates. There were some reports of racial tension between the Cuban refugees and other groups. Almost everyone saw the problem as stable. There were a variety of ethnic, social, and religious organizations available to inmates.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	COs	Work Supervisors
Very Crowded	29.2 (14)	17.3 (9)	3.4 (1)
Unacceptable	45.8 (22)	9.6 (5)	3.4 (1)
Adequate	25.0 (12)	73.1 (38)	82.1 (27)

How does current living space compare to last year's?

	Inmates	COs	Work Supervisors
More Crowded	17.4 (8)	2.0 (1)	--- (-)
Same	67.4 (31)	28.6 (14)	24.1 (7)
Less Crowded	15.2 (7)	69.4 (34)	75.9 (22)

The inmate respondents saw the situation different from the staff; this should not be surprising. The feeling of being crowded is relative and not geared to square foot per cell. However, the prison has ample space. There were several vacant cells and the population has decreased each year; the current population is some 200 inmates below the design capacity.

Safety

How safe do you feel right now?

	Inmates	COs	Work Supervisors
Unsafe	41.7 (20)	19.2 (10)	10.0 (3)
Don't Worry	52.1 (25)	57.7 (30)	80.0 (24)
Safe	6.3 (3)	23.1 (12)	10.0 (3)

How safe did you feel last year?

	Inmates	COs	Work Supervisors
Less Safe	2.1 (1)	8.0 (4)	--- (-)
Same	87.5 (42)	82.0 (41)	82.8 (24)
Safer	10.4 (5)	10.0 (5)	17.2 (5)

Inmates were more apprehensive about their safety than the staff. However, staff also reported safety concerns when they were interviewed. Safety

indicators had deteriorated over the past 3 years and were at their lowest point during 1980. The officers' questionnaire response was surprising in light of recent threatened armed attacks on staff. The prison was becoming steadily infused with management problems from other prisons due to the closing of other maximum security institutions.

Inmate Morale

How would you rate the current inmate morale?

	Inmate	COs	Work Supervisors
Poor	78.7 (37)	17.3 (9)	16.7 (5)
Fair	19.1 (9)	71.2 (37)	76.7 (23)
Good	2.1 (1)	11.5 (6)	6.7 (2)

How does current inmate morale compare with last year's inmate morale?

	Inmate	COs	Work Supervisors
Worse	37.0 (17)	12.0 (6)	23.3 (7)
Same	56.6 (26)	76.0 (38)	66.7 (20)
Better	6.5 (3)	12.0 (6)	10.0 (3)

The disparity between staff and inmate perception is very large. Correctional officers and work supervisors see the current situation the same, but see last years events somewhat differently. The difference between staff and inmate perceptions was not unexpected, but the magnitude was. Inmates identified lack of programs and poor visiting opportunities as major sources of discontent.

Staff Morale

How would you rate the current staff morale?

	Inmates	COs	Work Supervisors
Poor	79.2 (38)	69.2 (36)	33.3 (10)
Fair	18.8 (9)	25.0 (13)	56.7 (17)
Good	2.1 (1)	5.8 (3)	10.0 (3)

How does current staff morale compare with last year's staff morale?

	Inmates	COs	Work Supervisors
Worse	36.2 (17)	40.0 (20)	10.0 (3)
Same	59.6 (28)	58.0 (29)	83.3 (25)
Better	4.3 (2)	2.0 (1)	6.7 (2)

Inmates and correctional officers agree that staff morale is poor and getting worse. Work supervisors see a much mellow picture. It is interesting that staff and inmates agree on staff morale, but not on inmate moral.

In 1980, the quit rate was at its lowest point of the entire 5 year period. Officers cite poor administration and obusive inmates as the reasons for poor morale.

Inmate Activities

How available are inmate program activities?

	Inmates	COs	Work Supervisors
Few	57.4 (27)	1.9 (1)	--- (-)
Some	40.4 (19)	30.8 (16)	44.8 (13)
Very	2.1 (1)	67.3 (35)	55.2 (16)

Compared to last year, how available are inmate program activities?

	Inmates	COs	Work Supervisors
Less	29.8 (14)	4.0 (2)	--- (-)
Same	68.1 (32)	41.0 (82)	96.6 (28)
More	2.1 (1)	14.0 (7)	3.4 (1)

The staff and inmates see the situation differently. The perception is based upon role. Inmates view the situation as intolerable due to their incarceration and this feeling colors their perception. Idleness at Lewisburg was minimal, work and programs were readily available. The ratio of program staff and work supervisors to inmates was the best of all sites. However, inmates viewed this as relative; those who had spent time in state prisons were amazed at the amount of activities.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	COs	Work Supervisors
Ex. Limited	81.3 (39)	1.9 (1)	10.3 (3)
Some	16.7 (8)	7.7 (4)	37.9 (11)
Average	2.1 (1)	90.4 (47)	51.7 (15)

Compared to last year, how much freedom of movement do inmates have?

	Inmates	COs	Work Supervisors
Less	76.6 (36)	32.0 (16)	62.1 (18)
Same	19.1 (9)	48.0 (24)	34.5 (10)
More	4.3 (2)	20.0 (10)	3.4 (1)

Inmates and staff do not see eye to eye on this question. It is hardly a surprise that their answers were different, however, quite a few staff acknowledged that inmate movement is less now than the year before. A new pass system had been instituted that established rigid out of bounds areas. This was done to limit movement and to provide officers more control. When questioned, inmates did not like the new system and felt they were the losers in the situation. Lewisburg inmates had the most out of cell time of any of the sites surveyed. Lockdown was not until 11:30 pm.

Quality of Life

How would you rate the overall quality of life for inmates?

	Inmates	COs	Work Supervisors
Poor	83.0 (39)	--- (-)	--- (-)
Fair	14.9 (7)	7.7 (4)	26.7 (8)
Good	2.1 (1)	92.3 (48)	73.3 (22)

Compared to last year how would you rate the quality of life?

	Inmates	COs	Work Supervisors
Worse	45.7 (21)	--- (-)	--- (-)
Same	47.8 (22)	62.0 (31)	76.7 (23)
Better	6.5 (3)	38.0 (19)	23.3 (7)

Inmates see the situation as poor, and 45.7 percent feel it is getting worse. One cannot expect inmates to rate their quality of life as good, but the Lewisburg response was the most negative of the sites. The quality of life was good based on material goods, amount of space, program availability, quality of food, etc. However, those qualities lose their luster when inmates and staff are afraid.

INTERVIEWS

Several staff members and inmates were interviewed to supplement the questionnaire responses. Several areas of concern emerged for each group:

Correctional/Officers Work Supervisors

- . poor morale
- . lack of promotional opportunities
- . supervisors play favorites
- . poor support from management
- . inmates have too much freedom

Inmates

- . poor food
- . overcrowding
- . too much control
- . lack of minority officials
- . visiting
- . officers poorly trained

SUMMARY

Lewisburg offered a unique opportunity to gather some information on a prison where staff numbers increased and inmate numbers decreased. The ratios in all categories were substantially enriched. Security ratios were enriched due to reduction in inmate numbers, but program and work ratios were enriched due to reduced inmate numbers and increases in staff. Thus, 1980 was a banner year, staff counts were up and inmate counts were at their lowest point.

Climate and safety indicators were at their least advantageous point in 1980 and had been going downhill since 1978. Interviews with residents and staff and questionnaire responses indicated that morale was low for both groups. The expected calm and good morale clearly were not present. There was no evidence to suggest that safety, climate, or general morale had been enhanced by the enriched staff to inmate ratios.

Many of the problems voiced are endemic to prison; inmates are not expected to report high morale, excellent freedom of movement, or a good quality of life. The isolation of Lewisburg creates visiting problems especially due to the national character of the inmates. Minority staff are scarce in rural areas and the area does not have much appeal for an urban person. The major population center is too far to consider commuting, thus the lack of minority officers will remain a problem.

One major cause of the violence was the change in inmate population. Lewisburg was rapidly becoming the depository for a large share of the systems hard cases, as well as keeping several difficult state prisoners.

There is a major investment in the work and program areas as evidenced by the heavy staffing in these areas. In fact, these areas accounted for all the new positions added in the period studied. They offer a large industries program that employs over half of those available for work. An impressive array of educational, recreational, religious, and ethnic programs are available. These programs, along with the unit management concept, underscore a commitment to program as well as control. Correctional officers feel the program area is not in control; inmates feel security is the overriding concern.

CHAPTER VIII

STILLWATER, MINNESOTA

OVERVIEW

The facility has been in operation since 1913. It serves as the major prison in the state and is located in a rural area about 30 miles from Minneapolis-St. Paul. A new maximum security prison was under construction during the site visit. The new facility, Oak Park Heights, which is located a few miles away, was scheduled to open in 1981; however, due to budget pressure, it did not open until 1982.

The prison is a typical fortress type construction with multi-tier housing. The physical plant, while well maintained, has an austere appearance.

Many of the correctional officers come from Stillwater and are second and third generation officers. The daily commute from the twin cities area, while not prohibitive, is costly both in time and expenses. The entry level salary (\$12,840) is competitive for the area but not high enough to draw from the metropolitan area.

The prison administration has been very stable. The current warden had been warden only a few months, but had been at Stillwater for many years, most recently as Deputy Warden. Many felt his appointment marked a return to a greater interest in institutional corrections. The Commissioner of Corrections was also a previous Stillwater warden. The previous commissioner had made a powerful state and national push for a greater reliance on community corrections.

There were several current areas of concern for staff and inmates:

- . A new sentencing guideline system was in place. This was disturbing staff and inmates because there were many areas of ambiguity and several court challenges were in the making.

- . The parole board and the use of a new parole matrix system was an area of inmate concern.
- . Staff were concerned about pay and collective bargaining issues. Both were focal points of recent unpopular decisions.
- . There had been a lot of unrest, including 3 inmate homicides, a major fire in the gym, and a serious assault on several correctional officers by a group of native Americans.
- . Inmates were concerned about the new prison, Oak Park Heights. They knew some of them would be going there.

In spite of the problems listed above, the prison appeared very normal. There was a great deal of inmate movement; the relationships between officers and inmates were amiable and the feeling tone was good.

BUDGET

Minnesota operates on a bi-annual budget cycle, the current budget was the FY 1980-1981 cycle. They were in the process of preparing the FY 1982-1983 budget and had been instructed to prepare it with a 4 percent reduction in personnel (approximately 12 to 16 employees).

Budget figures for the past 3 fiscal years are presented below. These figures reflect total cost and the proportion of the general fund budget spent for staff. It does not allow for contract and special fund expenditures, therefore, these figures understate the real cost.

	FY 78/79	Per Capita Cost	Percent of Total
Staff	9,195,000	9,679	80%
Other	<u>2,313,500</u>	<u>2,435</u>	<u>20%</u>
TOTAL	11,508,500	12,114	100%

FY 79/80

Staff	10,452,400	9,955	80%
Other	<u>2,609,900</u>	<u>2,485</u>	<u>20%</u>
TOTAL	13,062,300	12,440	100%

FY 80/81

Staff	10,856,100	10,033	82%
Other	<u>2,456,800</u>	<u>2,271</u>	<u>18%</u>
TOTAL	13,312,900	12,304	100%

The staff portion takes up the majority of the total expenditures, and that portion increased from 80 to 82 percent over the 3 year period 1978 to 1980. Of the 7 research sites, Stillwater spent the highest percentage of its total budget and the second highest dollar amount per inmate on staff cost.

STAFFING DETAIL

Figure VIII-1 provides an overview of the staffing patterns for Stillwater as of December 1980. Several positions are not carried on departmental or Stillwater position counts, namely:

- . Nineteen mental health workers are not carried on the Stillwater count, but are carried on the departmental budget.
- . Six vocational instructors are there via a contract with a school district.
- . Nine food service workers are there under a food service contract with a private company.
- . Thirty-four production supervisors for industries are paid out of the industries revolving fund.

FIGURE VIII-1

STILLWATER
STAFFING DETAIL
1980-1981 FY

		Positions
<u>Administration</u>		
Wardens Office	60	
Business Office/Support	39	45
<u>Security</u>	232	232
<u>Health Services</u>		
Medical Clinic	19	19
<u>Programs</u>		
Mental Health Unit ^a	19	
Atlantis	7	
Caseworkers/Counselors	23	
Education ^b	17	
Recreation	2	68
<u>Operations</u>		
Food Services ^c	9	
Plant Operations	30	39
<u>Correctional Industries</u>		
Production Supervisors Only (Correctional Industries Revolving Fund)	34	<u>34</u>
TOTAL		437

^aCarried on departmental budget.

^bIncludes 6 vocational training contract employees.

^cPrivate vendor contract.

The following table provides a percentage breakdown by function for the position and an explanation of how those percentages rank with the other research sites.

FIGURE VIII-2
STILLWATER
PERCENT OF STAFF BY FUNCTION COMPARED TO OTHER
SITES BY RANK

Function	Percent of Total Staff	Rank Compared To Other Sites
Administration	10.3	1
Security	53.1	5
Health Services	4.3	4
Programs	15.6	3
Operations	8.9	3
Correctional Industries	7.8	2

The data reveals a heavy concentration in the administrative area (ranked first) and in the top three ranks for programs, operations, and industries.

Table VIII-3 gives an overview of how staffing patterns have changed for the 5 year period 1976 to 1980.

The percentage increase for staff and inmates has been almost identical. Staff increases in the security staff (particularly contact security staff) and program staff have stayed ahead of inmate increases. The area of contact and non-contact staff is a fuzzy distinction since Stillwater maintains a program of rotating officers on non-contact posts into contact positions every shift. Thus, posts may be designated as non-contact but officers on these posts will still be rotated into a contact post each shift.

**FIGURE VIII-3
STILLWATER
STAFFING DETAIL, 1976-80**

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>% Change 1976-1980</u>
No. of Inmates ^a	983	1,001	950	1,050	1,082	+ 10.1
Total Staff ^b	400	430	430	437	437	+ 9.3
Staff Excluding Administration and Health Services Staff						
Security Staff	209	231	231	232	232	+ 11.0
Contact Security Staff	158	180	180	181	181	+ 14.6
Noncontact Security Staff	51	51	51	51	51	0.0
Program Staff	61	64	64	69	69	+ 13.1
Production-Work Staff	71	72	72	73	73	+ 2.8

^aAverage daily population.

^bIncludes Industries Revolving Fund positions, food contract positions and vocational training contract positions.

The only area not keeping pace with the increase in inmates was the production-operations area. Industries have been in a cutback posture for the last several years; they were feeling the crunch of the recession like other private industries.

STAFF/INMATE RATIOS

Figure VIII-4 provides a summary of the various staff ratios for the period 1976-1980.

FIGURE VIII-4

STILLWATER
STAFF/INMATE RATIOS, 1976-1980

	1976	1977	1978	1979	1980
Total Staff/Inmate	1:2.46	1:2.33	1:2.21	1:2.40	1:2.48
Security Staff/ Inmate	1:4.70	1:4.33	1:4.11	1:4.53	1:4.66
Contact Security Staff/Inmate	1:6:22	1:5:56	1:5:28	1:5:80	1:5:98
Non-Contact Security Staff/Inmate	1:19.27	1:19.62	1:18.62	1:20.58	1:21.21
Program Staff/ Inmate	1:16.11	1:15.64	1:14.84	1:15.21	1:15.68
Production-Work Staff/Inmate	1:13.85	1:13.90	1:13.19	1:14.38	1:14.82

All the functional ratios except the production-work staff/inmate ratio were enriched over the 5 year period. The production-work/inmate ratio is still the second highest among the 7 sites. Thus, it appears that program personnel have been added at the same rate as security personnel. This is not surprising; it is in line with the prison's rehabilitative focus. In fact, correctional officers are called correctional counselors, and with the exception of special security squad officers, the change of name accurately

reflects the role expectation of the position. A small specially trained staff has been trained to provide special security functions such as:

- . escort
- . shakedown
- . investigation
- . riot control
- . intelligence

Even though the staff increases have kept up with the increase in number of inmates, the staff felt the major problem was lack of staff, particularly among the security ranks.

PUBLIC SAFETY

Figure VIII-5 displays the escape from secure custody for the 5 year period 1976 to 1980. Stillwater had the highest escape rate of any of the sites, they averaged two per year.

FIGURE VIII-5

STILLWATER
PUBLIC SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Escapes ¹					
Number	2	4	0	2	2
Rate/1,000	2.0	4.0	0.0	1.9	1.9

¹Escapes from secure custody area; does not include walkaways from outside the secure areas.

INTERNAL SAFETY

Data are available on 6 safety indicators for the 5 year period. The various indicators displayed in Figure VIII-6 yield a distinct pattern. 1978 was an exceptional year--the inmate population was at its lowest and all the staff to inmate ratios were at their most advantageous levels. The other 4 years have been perfectly symmetrical. The indicators followed the ideal staff/ratio pattern. As ratios got better the indicators got better, and as ratios declined, indicators followed. The question that remains unanswered is--does the change in indicators reflect the addition of staff or a reduction in inmate population?

The inmate population dropped in 1978, Stillwater's safest year, however there was also a small positive difference in 1977 when several new staff positions were added.

IDLENESS

Data was not available on inmate assignments for the entire 5 year period, but records indicate that there were 10.9 percent idle in 1979 and 11.3 percent in 1980. The primary reasons for the idleness was a decline in industry's need for workers.

CLIMATE

The climate measures in Figure VIII-7 indicate that the climate has deteriorated since 1978. Five of 12 indicators (41.6%) are above the median in 1980 compared to 1 of the 14 in 1978. The climate indicators follow the same general pattern as the safety ones. In 1980 the inmate population was at its highest level and there was a significant feeling that the facility was overcrowded even though there were still several vacant cells in some of the program areas and no double celling was taking place.

FIGURE VIII-6

STILLWATER
INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
1. <u>Inmate Assaults</u>					
Number	23	33	4	41	22
Rate/1000	(23.4)	32.9	4.2	39.0	20.3
2. <u>Staff Assaults</u>					
Number	35	21	23	21	32
Rate/1000	87.5	48.8	(53.5)	50.3	73.2
3. <u>Inmate Homicide</u>					
Number	0	0	0	2	3
Rate/1000	0.0	0.0	(0.0)	1.9	2.8
4. <u>Staff Homicides</u>					
Number	0	0	0	0	0
Rate/1000	0.0	0.0	0.0	0.0	0.0
5. <u>Disciplinary Reports</u> ¹					
Number	858	683	446	339	480
Rate/1000	870.8	682.3	(469.5)	322.9	443.6
6. <u>Inmates in Segregation</u> ²					
Number ³	101	92	79	79	107
% of Total Population	10.3	(9.2)	8.3	7.5	9.9

SUMMARY

Number of Indicators Greater Than the Median	3	2	0	2	3
--	---	---	---	---	---

¹All reports that could have resulted in disciplinary segregation.

²Includes both protective custody and disciplinary segregation.

³Average for the year.

There had been several significant indicators of an upturn in violence during the past 2 years:

- . there were 5 inmate homicides
- . a major fire in the gym
- . several correctional officers had been held hostage and assaulted by a group of native America inmates; two officers were seriously injured

This amount of violence was atypical for the 7 research sites. The officers interviewed expressed dissatisfaction with the current union; they felt they were not being adequately represented. The quit rate was also very high. Almost 1 in 5 staff members turned over in 1980, the highest percentage for the 5 year period. Staff morale was an issue; there was a lot of discontent over the union representation and a union determination effort was underway. (Several unions were seeking to represent the correctional officers who were currently represented by the Teamsters.)

On an observational level the climate was remarkably good. The inmates moved freely through the compound and a great deal of interaction took place between officers and inmates. There were very few complaints about visiting and inmates enjoyed a wide range of educational, vocational, and recreational opportunities. In interviews with staff and inmates, both groups reported the climate was acceptable. Inmates who had served time in other states were amazed at the freedom of movement and the range of programs available.

FIGURE VIII-7

STILLWATER
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980¹</u>
<u>Overcrowding</u>					
1. Density Ratio	91.9	(93.6)	88.8	98.1	101.1
<u>Safety</u>					
2. Staff Assault Rate	87.5	48.8	(53.5)	50.3	73.2
3. Inmate Assault Rate	(23.4)	32.9	4.2	39.0	20.3
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide Rate	0.0	0.0	(0.0)	1.9	2.8
6. Disciplinary Report Rate	870.8	682.3	(469.5)	322.9	443.6
7. % in Segregation	10.3	(9.2)	8.3	7.5	9.9
8. Escape Rate	2.0	4.0	0.0	1.9	(1.9)
<u>Inmate Morale</u>					
9. Suicide Rate	1.0	2.0	1.0	1.9	(1.8)
<u>Staff Morale</u>					
10. Grievance Rate*	25.0	41.9	18.6	36.6	N/A
11. Average Sick Leave**	7.6	7.3	6.3	6.5	N/A
12. Quit Rate (%)	17.3	14.0	13.7	(14.2)	18.3
13. Transfer Rate (%)	(1.9)	2.0	3.5	0.9	0.5
<u>Freedom of Movement</u>					
14. % of Time Out of Cell	67	67	67	67	67
CLIMATE SUMMARY					
Number of Indicators Greater Than the Median	6	7	1	5	5

¹ Only 12 indicators

*Median = 31.3

**Median = 6.9

QUESTIONNAIRE RESULTS

Race Relations

How would you describe current race relations?

	Inmates	COs	Work Supervisor
Poor	31.8 (14)	27.3 (24)	11.5 (3)
Fair	65.9 (29)	64.8 (57)	73.1 (19)
Good	2.3 (1)	8.0 (7)	15.4 (4)

How do current race relations compare with last years?

	Inmates	COs	Work Supervisors
Worse	18.6 (8)	22.6 (19)	--- (-)
Same	67.4 (29)	66.7 (56)	96.0 (24)
Better	14.0 (4)	10.7 (9)	4.0 (1)

The racial situation has been very stable with the exception of the native Americans. The black community was well organized and well represented via the Inmate Council and through a variety of inmate groups. It is very apparent that the problem is viewed differently by work supervisors than by the other two groups.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	CO's	Work Supervisors
Very Crowded	59.1 (26)	14.8 (13)	20.8 (5)
Not Acceptable	18.2 (8)	19.3 (17)	8.3 (2)
Adequate	22.7 (10)	65.9 (58)	70.8 (17)

How does current inmate living space compare to last year?

	Inmates	CO's	Work Supervisors
More Crowded	40.5 (17)	33.3 (28)	21.7 (5)
Same	54.8 (23)	64.3 (57.4)	73.9 (17)
Less Crowded	4.8 (2)	2.4 (2)	4.3 (1)

Inmates viewed the situation very differently than the staff. They saw the situation getting worse, but there was also some concurrence by the staff. In fact, the population only increased by 3 percent, a growth of only 32 inmates. None were double celled. Several empty cells were available and being used as storage and office space.

Inmate interviews revealed a definite split on the crowding issue. Those inmates who had only done time in Stillwater felt crowded, those from other states were surprised with the amount of space. This issue essentially became one of expectation based upon prior experience.

Safety

How safe do you feel right now?

	Inmates	COs	Work Supervisors
Unsafe	18.2 (8)	33.0 (29)	7.7 (2)
Don't Worry	72.7 (32)	52.3 (46)	69.2 (18)
Safe	9.0 (4)	14.8 (13)	23.1 (6)

How safe did you feel last year?

	Inmates	COs	Work Supervisors
Less Safe	4.8	3.6	8.0
Same	88.1	77.4	80.0
Safer	7.1	19.0	12.0

Considering the amount of recent violence, the concern for personal safety was surprisingly low. The correctional officers experienced a much different perception of personal safety than the work supervisors, but this difference occurred at all 7 sites. It became very apparent that work supervisors view the prison differently than correctional officers. They see a different side of the daily life of the inmates and often they only see the cream of the crop who are motivated enough to seek and hold a job.

The correctional officers see the situation as fairly stable, but 19 percent felt the situation was more dangerous than a year ago. This perception is in line with the safety indicators, staff assaults, disciplinary reports, and the segregation population increases over the 1979 totals.

Inmate Morale

How would you rate the current inmate morale?

	Inmates	COs	Work Supervisors
Poor	52.3 (23)	21.6 (19)	7.7 (2)
Fair	47.7 (21)	69.3 (61)	69.2 (18)
Good	--- (-)	9.1 (8)	23.1 (6)

How does current inmate morale compare with last years inmate morale?

	Inmates	COs	Work Supervisors
Worse	26.2	21.7	12.0
Same	73.8	72.3	88.0
Better	---	6.0	---

The inmates see the situation from a different perspective than the staff. This difference is not surprising considering their respective roles. However, the difference between correctional officers and work supervisors is somewhat surprising; the work supervisors see the situation as less drastic than the officers perhaps due to the difference in their relationships with inmates.

Inmates gave several reasons for their low morale, mainly lack of space due to overcrowding and uncertainty about sentence length because of the new sentencing guidelines.

Staff Morale

How would you rate the current staff morale?

	Inmates	COs	Work Supervisors
Poor	47.7 (21)	59.1 (52)	15.4 (4)
Fair	45.5 (20)	8.6 (34)	65.4 (17)
Good	6.8 (3)	2.3 (2)	19.2 (5)

How does current staff morale compare with last years staff morale?

	Inmates	COs	Work Supervisors
Worse	11.9 (5)	40.5 (36)	12.0 (3)
Same	81.0 (36)	54.8 (48)	88.0 (23)
Better	7.1 (3)	4.8 (4)	---

With the exception of the work supervisors, no one sees staff morale in very good terms. The difference between the two staff groups is amazing; it is as if they were working in different organizations. The majority of the correctional officers see the situation as poor and 40 percent say it has gotten worse. On the other hand, the work supervisors are relatively satisfied and only 12 percent feel like the situation is looking worse.

Staff quits were up to over 18 percent in 1980; almost 1 in 5 left the prison. This is one of the highest quit rates among the sites. Interviews revealed several sources of dissatisfaction:

- . administration would not back the officers
- . new employees get favored jobs
- . inmates have too much freedom
- . lack of communication between line staff and administration
- . inmate activities

How available are inmate program activities?

	Inmates	COs	Work Supervisors
Few	27.3 (12)	9.1 (8)	7.7 (2)
Some	63.6 (28)	34.1 (30)	50.0 (13)
Very	9.1 (4)	58.6 (50)	42.3 (11)

Compared to last year, how available are inmate program activities?

	Inmates	COs	Work Supervisors
Less	14.3	2.4	---
Same	78.6	75.0	84.0
More	7.1	22.6	16.0

Everyone concerned felt there were programs available. Inmates saw it a bit differently than staff, but only 14.3 percent felt the programs were decreasing. There are an impressive array of programs available ranging from

special housing treatment centers, to contract work for outside vendors, to a rather sophisticated recreation program. Prison industries has not been able to keep up with the increased population due to lack of sales. The idle rate of 10-11 percent is very respectable. Inmates interviewed followed two general patterns:

- 1) If Minnesota was the only place where they had been imprisoned they felt that programs were in short supply.
- 2) If they had served time in other states they were amazed at the amount of programs available.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	COs	Work Supervisors
Ex. Limited	15.9 (7)	1.1 (1)	3.8 (1)
Some	27.3 (12)	3.4 (3)	7.7 (2)
Average	56.9 (25)	95.5 (84)	88.4 (23)

Compared to last year how much freedom of movement do inmates have?

	Inmates	COs	Work Supervisors
Less	23.8 (10)	1.2 (2)	8.0 (2)
Same	69.0 (30)	71.4 (63)	68.0 (18)
More	7.2 (3)	27.4 (13)	24.0 (6)

The difference in the response patterns is clearly based upon role, the keepers versus the kept. However, Stillwater inmates did not feel nearly as confined as prisoners at the other 6 sites.

Quality of Life

How would you rate the overall quality of life for inmates?

	Inmates	COs	Work Supervisors
Poor	38.6 (17)	1.1 (1)	--- (-)
Fair	43.2 (19)	10.3 (9)	23.1 (6)
Good	18.1 (8)	88.5 (77)	76.9 (20)

Compared to last year how would you rate the quality of life?

	Inmates	COs	Work Supervisors
Worse	16.7	1.2	4.0
Same	76.2	60.7	88.0
Better	7.1	38.1	8.0

The results are predictable based upon role; however, the situation is viewed as static by all groups except the correctional officers. Correctional officers see situations as better for inmates and worse for them. Interviews with staff consistently point out the theme of catering to inmates.

INTERVIEWS

Several staff members and inmates were interviewed to supplement the questionnaire data. Several areas of concern emerged for each group:

Correctional Officers/Work Supervisors

- . poor administration
- . inmates have too many rights
- . officers are losing control of the inmates
- . racism among staff members
- . need more staff

Inmates

- . staff members poorly trained
- . overcrowding
- . racial tension
- . lack of work
- . poor staff morale

SUMMARY

The climate at Stillwater was good, especially considering the events that had taken place over the past year. The safety and climate indicators seem to vary with the staff ratios, but do these changes reflect more staff or fewer inmates? The best year indicator wise was 1978 and the inmate population was at its lowest point. The staff picture has stayed fairly stable since 1977 and the inmate count has only risen by 99 inmates in the 5 year period though it jumped by 100 in 1979. All in all, staff and inmate counts have kept pace with each other with all staff positions except the production work area growing more rapidly than the inmate population.

Stillwater, no doubt, experiences many of the problems endemic to single maximum security prison states. They have very few places to transfer troublesome inmates or inmates who need protection. Therefore, they must deal with them and try to keep those few inmates from impacting the rest of the program.

Stillwater maintains an impressive array of programs and is very accessible to the outside world. They are host for several private enterprise contracts, ethnic associations, self help groups, and sports programs. They allow a great deal of inmate movement, much to the dismay of line correctional officers who feel that they have little control. Inmates having served time in other states are impressed by the amount of freedom and general quality of life available.

Budgetwise, they had the third highest per inmate cost and the highest percentage (82%) of total cost dedicated to salary. These high salary costs

are in part accountable to their administration and correctional industries' components.

CHAPTER IX

SOMERS, CONNECTICUT

OVERVIEW

Somers is a relatively new prison. It was built in 1963 and has a design capacity of 984 inmates. It functions as the major prison in the state and houses all maximum security prisoners. The prison is well designed, but like most other major prisons, is hampered by location. It is located about 40 miles north of Hartford in the rural New England countryside. Thus the recruitment of urban minority staff has been difficult as the small towns nearby are primarily white and the daily commute to Hartford is taxing.

The correctional officer force is represented by AFSCME. They struck in 1977, but several officers did not honor the pickets. The scars between the two groups were still very visible.

The prison is administered by a veteran warden who enjoys a good relationship with the central office. Most of the senior staff are long time Somers employees; many have been there since the prison opened in 1963. The continuity of leadership at the institution and central office level provide a stability that very few prisons enjoy.

The prison is significantly overcrowded. The warden and the central office have a commitment to single celling and consequently some recreational areas have been converted into sleeping space. The industry program was at low ebb. A significant number of inmates were idle due to the increased population. There were many areas of over-assignment, namely, the kitchen and building maintenance crews.

Several areas of concern impacted the prison:

- . The overcrowding was clearly causing problems.
- . The state was in financial trouble and all state employees were anxious as to how those financial woes would effect them.
- . There was considerable idleness among the inmates and this created morale problems; the free venture industries program was not able to accommodate any more inmate labor.

BUDGET

The state operates on an annual budget cycle, and has been experiencing fiscal difficulties for the past 2 years. This crunch has been felt by all departments in the state. However, correctional budgets increased in each of the 5 fiscal years covered.

Budget figures for the past 3 fiscal years are presented below. These figures only reflect general fund cost; correctional industry, and other special funds are not included, thus, actual costs are understated.

		<u>Per Capita Cost</u>	<u>Percent of Total</u>
FY 76/77			
Staff	6,166,390	6,279	75
Other	<u>2,093,115</u>	<u>2,131</u>	25
Total	8,259,505	8,410	
FY 77/78			
Staff	7,033,796	7,530	76
Other	<u>2,230,778</u>	<u>2,389</u>	24
Total	9,264,574	9,919	

FY 78/79

Staff	7,452,265	8,280	77
Other	<u>2,323,664</u>	<u>2,512</u>	23
Total	9,775,929	10,792	

<u>Per</u>	<u>Percent of</u>
<u>Capita Cost</u>	<u>Total</u>

FY 79/80

Staff	8,432,815	8,332	74
Other	<u>3,023,063</u>	<u>2,897</u>	26
Total	11,455,878	11,319	

FY 80/81

Staff	10,760,623	9,480	72
Other	<u>4,100,652</u>	<u>3,613</u>	28
Total	14,861,275	13,093	

Like other sites, the staff portion takes up the majority (72% - 76%) of the total budget. Somers had the second highest per capita inmate cost and the third highest percent of its total budget spent on staff costs. The cost per inmate has risen by an average of 11.1 percent per year for the 5 year period. The staff portion has increased by 10.2 percent per year, somewhat slower than the nonstaff portion.

STAFFING DETAIL

Figure IX-1 provides an overview of some staffing patterns as of December 1980. There are 7 federally funded positions and 23 industry production supervisor positions listed that do not appear on normal position count documents.

FIGURE IX-1

SOMERS PRISON, CT
STAFFING DETAIL
1980-1981 FY

		<u>Positions</u>
<u>Administration</u>		
Warden's Office	5	
Business Office	24	29
<u>Security</u>	320 ^a	320
<u>Health Services</u>		
Medical, Dental, Mental Health	30	30
<u>Programs</u>		
Education	32	
Classification	22	
Psychological Services	5	
Reception	15	
Addiction Services	3	
Recreation	2	
Religious Services	2	81
<u>Operations</u>		
Food Services	9	
Plant Operations	33	
Transportation/Miscellaneous	2	44
<u>Correctional Industries</u>		
Production Supervisors Only	23	<u>23</u>
(Correctional Industries Revolving Fund)		
TOTAL		527

^aIncludes 7 federally funded positions.

The following table provides a percentage breakdown by function for the type of position and an explanation of how these percentages rank with the other research sites.

FIGURE IX-2

SOMERS - PERCENT OF STAFF BY FUNCTION
 COMPARED TO OTHER SITES BY RANK

<u>Function</u>	<u>Percent of Total Staff</u>	<u>Rank Compared to Other Sites</u>
Administration	5.5	6
Security	60.7	4
Health Services	5.7	2
Programs	15.3	4
Operations	8.3	5
Correctional Industries	4.4	5

Somers security and program percentages were the median for the 7 sites. Health services was the only functional area above the median. All in all, the staffing pattern represented an even distribution between the various areas.

Table IX-3 provides an overview of how staffing patterns have changed for the 5 year period 1976 to 1980.

The staffing patterns have remained remarkably static with an overall increase of only 6 staff members. There has been some fluctuation within years for various categories. The major exception has been the program area. Twenty-one staff members have been added over the 5 year period, an increase of 32.8 percent. The inmate count is up 15.6 percent over 1976 and 26 percent over 1978. While this is a dramatic increase, it was offset by the fact that Somers enjoyed a high staff to inmate ratio in 1976.

FIGURE IX-3

SOMERS
STAFFING DETAIL, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>% Change 1976-1980</u>
Number of Inmates ^a	982	934	900	1,012	1,135	+15.6
Total Staff ^b	521	520	527	520	527	+1.2
Staff Excluding Administration and Health Services Staff						
Security Staff	320	313	310	314	320	0.0
Contact Security Staff	259	252	249	253	259	0.0
Noncontact Security Staff	61	61	61	61	61	0.0
Program Staff	61	67	78	78	81	+32.8
Production-Work Staff	63	64	67	65	66	+4.8

^aMidyear population.

^bIncludes industries revolving fund positions and federally funded positions.

Prison industries have converted to a free venture model under an LEAA grant. The number of inmates assigned has decreased to keep pace with production needs, but the same pattern has not held true for production staff; they have remained at the same level, in fact, they added a position in 1980.

STAFF/INMATE RATIOS

Figure IX-4 provides a summary of the various staff ratios for the period 1976-1980.

FIGURE IX-4

SOMERS
STAFF/INMATE RATIOS, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total Staff/Inmate	1:1.88	1:1.80	1:1.71	1:1.95	1:2.15
Security Staff/Inmate	1:3.07	1:2.98	1:2.90	1:3.22	1:3.55
Contact Security Staff/ Inmate	1:3.79	1:3.71	1:3.61	1:4.00	1:4.38
Noncontact Security Staff/ Inmate	1:16.10	1:15.31	1:14.75	1:16.59	1:18.61
Program Staff/Inmate	1:16.09	1:13.94	1:11.54	1:12.97	1:14.01
Production-Work Staff/ Inmate	1:15.59	1:14.59	1:13.43	1:15.57	1:17.20

The only ratios that improved over the 5 year period were the program staff to inmate ratio. All ratios were at their most enriched period in 1978. Even though all the ratios have deteriorated, they are still the most enriched for all sites in the following areas:

- . total staff/inmate ratio
- . security staff/inmates ratio
- . non-contact security staff/inmate ratio
- . program staff/inmate ratio

They ranked second in contact security staff/inmates ratio and fourth in production work staff/inmate ratio. They do not rank below the median in any of the categories. Simply put, they had the most desirable staff to inmate ratios of any of the 7 sites. Yet 1 of their major concerns was the lack of staff: too much work for too few people. One reason for the richness of staff is the work week. The standard work week is 36¼ hours instead of the traditional 40 hours. Thus, it takes 5.8 persons to cover a 7 day, 24-hour post instead of the usual 4.8 to 5.1.

PUBLIC SAFETY

Figure IX-5 indicates that escape from secure custody has been minimal. There were no escapes for 3 of the 5 years, 2 in 1978, and 1 in 1979. It is interesting that the most escapes occurred in 1978, the year the staff/inmate ratios were at their peak and the inmate count was at its lowest. Escapes are rare occurrences and probably are not related to the number of noncontact positions or their ratio to inmates.

FIGURE IX-5

SOMERS
PUBLIC SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Escapes ¹					
Number	0	0	2	1	0
Rate/1,000	0.0	0.0	2.2	0.9	0

¹Escapes from a secure area; does not include walkaways from outside the secure compound.

INTERNAL SAFETY

Data for 6 internal safety indicators is displayed in Figure IX-6. The indicators do not follow any pattern. 1976 was the best year, but staff-inmate ratios were better in 1977 and 1978 and the inmate population was lower. The worst year was 1979, but the number of indicators over the median decreased from 3 to 2 in 1980, the most crowded, least enriched staff-inmate ratio year.

FIGURE IX-6

SOMERS
INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
1. <u>Inmate Assaults</u>					
Number	9	29	22	34	44
Rate/1000	9.2	(31.0)	24.4	33.6	38.8
2. <u>Staff Assaults</u>					
Number	5	11	7	18	11
Rate/1000	9.6	21.5	13.3	34.6	(20.9)
3. <u>Inmate Homicides</u>					
Number	0	0	0	0	0
Rate/1000	0.0	0.0	0.0	0.0	0.0
4. <u>Staff Homicides</u>					
Number	0	0	0	0	0
Rate/1000	0.0	0.0	0.0	0.0	0.0
5. <u>Disciplinary Reports</u>					
Number	892	886	918	1,114	1,433
Rate/1000	908.4	948.6	(1,020.0)	1,100.8	1,262.6
6. <u>Inmates in Segregation</u> ¹					
Number ²	47	48	47	47	54
% of Total Population	4.8	5.1	5.2	4.6	(4.8)

SUMMARY

Number of Indicators Above the Median	0	2	1	3	2
---------------------------------------	---	---	---	---	---

¹Includes protective custody and disciplinary segregation.

²Average number for entire year.

There weren't any homicides for the 5 year period and the assault rates for staff were among the lowest for any of the 7 institutions. Clearly, Somers was one of the safest prisons in the study for both staff and inmates.

The only indicator that has constantly risen has been the disciplinary report rate, perhaps an indication of the prisons control orientation. The percent of inmates in segregation has remained fairly stable. It may well be a function of available space rather than an indication of the problem. Data was not available for the breakdown between protective custody and disciplinary segregation.

IDLENESS

Data on inmate assignments were not available for any extended period of time, but work supervisors reported gross over-assignments in the food service and building maintenance areas. Prison industries have cutback on production and consequently are using fewer inmates. A one-day count revealed 37 unassigned, 141 assigned as window workers, and 33 assigned to the yard. This accounts for almost 19 percent of the total population and the percentage is even higher if you discount the segregation and orientation population from the work force. Clearly a large portion of the population are either idle or are over-assigned.

CLIMATE

Data was available on 14 climate indicators for the 5 year period as displayed in Figure IX-6. The climate significantly dropped off in 1979 and 1980 when 50 percent of the indicators were above the median. This is even more striking since 3 of the indicators did not change over the 5 year period. Thus 7 of 11 indicators or 64 percent were below the median for the years 1979 and 1980. Like internal safety, 1976 was the best year.

The period was relatively violence free, with no staff or inmate homicides and a low assault rate, especially for staff.

FIGURE IX-7

SOMERS
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>Overcrowding</u>					
1. Density Ratio	(101.9)	.97	.93	104.9	117.7
<u>Safety</u>					
2. Staff Assault Rate	9.6	21.5	13.3	34.6	(20.9)
3. Inmate Assault Rate	9.2	(31.0)	24.4	33.6	38.8
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide Rate	0.0	0.0	0.0	0.0	0.0
6. Disciplinary Report Rate	908.4	948.6	(1020.0)	1100.8	1262.6
7. Percent in Segregation	(4.8)	5.1	5.2	4.6	(4.8)
8. Escape Rate	0.0	0.0	2.2	0.9	(0.0)
<u>Inmate Morale</u>					
9. Suicide Rate	0.0	0.0	0.0	0.0	0.9
10. Grievance Rate	N/A	N/A	17.8	39.5	(19.4)
<u>Staff Morale</u>					
11. Average Sick Leave	(9.87)	8.18	8.37	10.97	11.42
12. Quit Rate (%)	3.8	5.0	2.7	(4.8)	5.1
13. Transfer Rate (%)	6.0	(4.6)	2.8	2.9	5.9
<u>Freedom of Movement</u>					
14. % of Time out of Cell	62	62	62	62	62
CLIMATE SUMMARY					
Number of Indicators Above Median	1	3	2	7	7

The prison is overcrowded, a situation which began in 1979 and got progressively worse in 1980. Along with the overcrowding came a rise in the:

- . inmate assault rate
- . disciplinary report rate
- . average number of staff sick days taken
- . staff quit rate

Staff morale was a factor in the rather poor climate rating. Scars from the 1977 strike were still visible. The correctional officers who did not honor the strike were referred to as scabs and administration men. Correctional officers felt overworked and understaffed even in the face of having a very desirable staff to inmate ratio in all areas. Safety was a real concern, but the institution had been homicide free for 5 years and the staff assault rate was down for 1980. The number of sick days taken had climbed significantly over the 5 year period. The quit rate, while higher in 1980, is still only about 1 in 20.

At an observational level, the climate was mediocre. Few inmates were working. The facility was poorly maintained. The dining facilities were drab and the food was average at best. The institution showed signs of crowding and the industries program was suffering. Inmate programs were not visible. There were no inmate groups and no inmate council. Inmates and correctional officers did converse with each other and the exchange, especially in industries, was spirited and friendly. Movement was average but the prison was locked down by 8:30 pm leaving inmates in their cells almost two thirds (62%) of the day.

QUESTIONNAIRE RESULTS

Responses were received from 48 inmates, 83 correctional officers, and 19 work supervisors. The following analysis provides a topic by topic review of responses.

Race Relations

How would you describe current race relations?

	Inmates	CO'S	Work Supervisors
Poor	29.2 (14)	16.9 (14)	15.8 (3)
Fair	60.4 (29)	66.3 (55)	57.9 (11)
Good	10.4 (5)	16.9 (14)	26.3 (5)

How do current race relations compare with last years?

	Inmates	CO'S	Work Supervisors
Worse	25.5 (12)	29.7 (26)	21.1(4)
Same	68.1 (33)	67.6 (56)	68.4 (13)
Better	6.4 (3)	2.7 (1)	10.5 (2)

The ratings on these questions are very similar to ratings at other research sites. Inmates see current relationships somewhat different than staff and they are pretty much in agreement concerning last years situation. No racial tension was reported and there was no recent history of any racial conflicts. A sizeable percentage of all groups see the racial situation getting worse since last year.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	CO'S	Work Supervisors
More Crowded	68.1 (33)	89.3 (74)	68.4 (13)
Same	23.4 (11)	8.0 (5)	21.1 (4)
Less Crowded	8.5 (4)	2.7 (2)	10.5 (2)

Everyone viewed the situation as overcrowded and getting worse. While no one had a very rosy outlook, correctional officers had a more dismal view of the situation. Almost 9 out of 10 saw the situation as more crowded than the year before compared to 7 of 10 inmate respondents.

The perceptions of crowding were well founded. The prison was 17.7 percent over design capacity in 1980. The population has increased by 235 inmates since 1977 a 26 percent increase. Recreation space had been turned into dormitory space to prevent double celling and the warden was looking for more convertible space during the site visit. Both the warden and the commissioner have decided they will avoid double celling.

Safety

How safe do you feel right now?

	Inmates	CO'S	Work Supervisors
Unsafe	37.5 (18)	55.4 (46)	5.3 (1)
Don't Worry	58.3 (28)	33.7 (28)	73.7 (14)
Safe	4.2 (2)	10.8 (9)	21.1 (4)

How safe did you feel last year?

	Inmates	CO'S	Work Supervisors
Less Safe	8.5 (4)	5.4 (4)	0.0
Same	78.7 (38)	59.5 (48)	84.2 (16)
Safer	12.8 (6)	35.1 (21)	15.8 (3)

The correctional officers felt unsafe. They led all 7 sites in this area. Not only did they feel unsafe now, 35.1 percent of them felt the situation was getting worse. Although the sample is too small to make statistical comparisons, the difference between correctional officers and work supervisors is very large. The difference was observed in several sites but never to this magnitude.

The feeling of lack of safety is paradoxical in that Somers enjoys the highest staff/inmate ratios of any of the 7 sites and the staff have not been exposed to unusual hazards. In fact, the homicide rate for staff and inmates has been zero for the 5 year period and staff assaults have not been exceptional. The questionnaire responses relate to perceived danger instead of some empirically based notion.

Inmate Morale

How would you rate the current inmate morale?

	Inmates	CO'S	Work Supervisors
Poor	54.2 (26)	37.3 (31)	5.3 (1)
Fair	43.8 (21)	51.8 (43)	84.2 (16)
Good	2.1 (1)	10.8 (9)	10.5 (2)

How does current inmate morale compare with last years inmate morale?

	Inmates	CO'S	Work Supervisors
Worse	37.0 (19)	43.2 (37)	10.5 (2)
Same	60.9 (28)	55.4 (45)	84.2 (16)
Better	2.2 (1)	1.4 (1)	5.3 (1)

Inmates and correctional officers view the situation basically the same. Not surprisingly, inmates view it worse than the officers. However, the work supervisors have an entirely different perspective. It is obvious that work supervisors see a different view of the inmate and the prison in general. This view shapes their perception and paints a much brighter picture than does the view of the other 2 groups.

There is very little to bolster inmate morale. Interviews reveal that overcrowding is increasing, idleness is increasing, there are very few programs, no social clubs or organizations, and they spend a great deal of

their time locked in their cells. Their surroundings are drab, the food is poor, and they see no hope of things improving.

Staff Morale

How would you rate the current staff morale?

	Inmates	CO's	Work Supervisors
Poor	55.3 (26)	56.6 (47)	26.3 (5)
Fair	42.6 (20)	33.7 (28)	63.2 (12)
Good	2.1 (1)	9.6 (8)	10.5 (2)

How does current staff morale compare with last years staff morale?

	Inmates	CO's	Work Supervisors
Worse	47.8 (23)	53.9 (46)	31.6 (6)
Same	45.7 (21)	43.4 (37)	68.4 (13)
Better	6.5 (3)	2.6 (2)	

Inmates and correctional officers' views on staff morale are pretty even. A substantial percentage of both groups see it as essentially poor and getting worse. These views are not shared by the work supervisors. They view the situation substantially different.

Staff morale climate indicators reflect the perceived deterioration of morale; sick leave usage, the quit rate, and the transfer rate were all up for the year 1980. Interviews with correctional officers reveal a general dissatisfaction with the state of affairs. They view the place as crowded, dangerous, and feel a general lack of support from the administration.

Inmate Activities

How available are inmate program activities?

	Inmates	CO's	Work Supervisors
Few	74.5 (35)	22.98 (19)	26.3 (5)
Some	25.5 (12)	56.6 (47)	52.6 (10)
Very	-- (-)	20.5 (17)	21.1 (4)

Compared to last year, how available are inmate program activities?

	Inmates	CO's	Work Supervisors
Less	46.8 (22)	14.5 (12)	--
Same	53.2 (25)	69.7 (58)	83.3 (16)
More	--	15.8 (13)	16.7 (3)

The perceptions reflect the expected role differences. Inmates see the situation as much less desirable than do the staff. Correctional officers and work supervisors are unified in their responses. Both groups see the situation as tolerable and stable. Unfortunately idleness percentages were not available; however, on-site observation revealed there was a great deal of idleness and over-assignment and very few recreational and social activities were available for inmates. The situation may have become worse with the additional inmates and the diminished need for an industry work force.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	CO's	Work Supervisors
Ex. Limited	47.9 (23)	1.2 (1)	-- (-)
Some	20.8 (10)	7.3 (6)	10.5 (2)
Average	31.3 (15)	91.4 (75)	89.4 (17)

Compared to last year, how much freedom of movement do inmates have?

	Inmates	CO's	Work Supervisors
Less	27.7 (14)	5.3 (4)	0.0 (-)
Same	70.2 (33)	48.7 (40)	73.7 (14)
More	2.1 (1)	46.0 (39)	26.6 (5)

There were no surprises in this category. Role was the major determinant of response. Seven inmates saw the situation as extremely limited, however, more than 70 percent saw the situation as static in spite of the continued overcrowding.

Quality of Life

How would you rate the overall quality of life for inmates?

	Inmates	CO's	Work Supervisors
Poor	56.3 (27)	3.6 (3)	-- (-)
Fair	35.4 (17)	19.3 (16)	21.1 (4)
Good	8.4 (4)	77.1 (64)	78.9 (15)

Compared to last year, how would you rate the quality of life?

	Inmates	CO's	Work Supervisors
Worse	40.4 (19)	14.7 (13)	-- (-)
Same	55.3 (27)	45.3 (35)	78.9 (15)
Better	4.3 (2)	40.0 (32)	21.1 (4)

Inmates responded in a predictable manner. They see the situation as poor and 40 percent of them feel it is getting worse. A considerable number of correctional officers (40.0%) felt the quality of life was better. This

perception was held in spite of the increased overcrowding and large scale idleness.

INTERVIEWS

Several staff members and inmates were interviewed to supplement the questionnaire data. The following areas of concern emerged:

Correctional Officers/Work Supervisors

- . interference from the federal government
- . overcrowding
- . poor administrative backing
- . poor training
- . new offices not adequate
- . too lax with inmates
- . lack of work for inmates

Inmates

- . staff poorly trained
- . racism among staff
- . overcrowding
- . lack of programs
- . unsafe

SUMMARY

Somers is somewhat paradoxical. The climate indicators, staff and inmate questionnaire responses, and interview data, paint a grim picture. There is significant overcrowding and much inmate idleness, and morale appears to be low. Yet, on the other hand, they are well staffed, have a stable management team, and enjoy good relationships with the central office. Given these positives, one would view morale and climate in general to be on the upswing, or at least not suffering.

The other paradox lies in staff behavior versus expressed attitude. They feel unsafe but safety indicators do not support their fears. They complain of poor morale, but the quit rate is very low.

Somers major thrust is towards control, perhaps a response to the overcrowding and feelings of lack of personal safety. Idleness is exacerbated by cutbacks in industry and lack of available assignments to other areas. The idleness is not offset by participation in cultural or recreational activities and inmates have no representative group to present concerns to the administration.

The number of staff remained almost constant over the 5 year period 1976-1980; only 6 new staff positions were added, while the inmate count grew by 153. This no doubt puts pressure on the capacity of the institution to respond, particularly since the additional inmates caused the population to exceed the design capacity.

CHAPTER X

FOLSOM PRISON, CALIFORNIA

OVERVIEW

Folsom Prison has been in operation since 1880; it was designed to accommodate 1,778 inmates. The physical structure is an imposing large stone fortress covering several acres. The inmate population has traditionally been made up of older felons, mostly recidivists with long terms. It is located close to the state capitol and within the bounds of a metropolitan area of about a million.

The prison staff takes pride in their work. They exhibit a great deal of esprit de corps. The management team is made up of several veteran prison employees, many who have spent a great deal of time at Folsom. The major orientation is on control. Folsom has made a commitment to maximize the number of armed observation posts. It was the only site in the study that used gun walks in the cellblocks. The central office had just undergone a major reorganization with the former adult corrections director being replaced by someone with a probation/parole background and very little institutional experience. The other major element of change revolved around a new classification system based upon behavior rather than age or sentence. Folsom was designated as one of the institutions to handle problem inmates. This change in clientele would alter the demographics of the current population by shipping out older inmates that posed little potential for violence and importing younger more violence prone inmates. This change was a concern for staff and inmates alike.

The industries program was operating at a reduced level and the entire correctional industries program systemwide was under study. The outside yard population had grown considerably due to lack of assignments.

Inmate gangs were a major problem. Careful screening of new arrivals took place to avoid the mixing of members of rival hispanic gangs. While the

prison as a whole had been relatively quiet, the violence between rival gang members was on the increase. The gang violence escalated after the study was complete and it became a major source of media attention. The inmate population also began a period of rapid growth and within 18 months after the study had grown by 1,000 inmates. Thus, the relatively quiet, stable Folsom Prison reported here for the period 1976-1980 underwent a substantial change in many areas during the next 18 months.

Major concerns were expressed by staff and inmates in the area of:

- . The new classification plan and how it would impact them.
- . The change in administration at the central office level.
- . The formalization of the collective bargaining process. There were at least 3 powerful rival unions competing to see who would represent correctional officers.
- . The increasing problems manifested by rival hispanic and black groups.

BUDGET

California operates on an annual budget cycle. The new Director had just come aboard a few months before and the new budget was ready to be presented. However, they were in the middle of the 1980/81 fiscal year appropriation. Budget figures for the 5 fiscal years covered under the study are presented below. The figures represent general fund expenditures and do not include industries or other special funds, thus the real staff and other costs are understated.

	FY 76/77	Per Capita Cost	% of Total
Staff	10,427,155	6,401	77%
Other	<u>3,103,096</u>	<u>1,905</u>	23%
TOTAL	13,530,251	8,306	

	FY 77/78	Per Capita Cost	% of Total
Staff	11,746,688	6,632	76%
Other	<u>3,667,067</u>	<u>2,071</u>	24%
TOTAL	15,413,755	8,703	

	FY 78/79	Per Capita Cost	% of Total
Staff	12,044,892	7,726	77%
Other	<u>3,508,018</u>	<u>2,250</u>	23%
TOTAL	15,552,910	9,976	

	FY 79/80	Per Capita Cost	% of Total
Staff	13,603,320	8,058	79%
Other	<u>3,700,625</u>	<u>2,193</u>	21%
TOTAL	17,303,945	10,251	

	FY 80/81	Per Capita Cost	% of Total
Staff	17,665,665	10,416	78%
Other	<u>5,118,744</u>	<u>3,018</u>	22%
TOTAL	22,784,399	13,434	

The overall increase for the 5 year period was dramatic. It represented a 68.4 percent increase, an average increase of 13.7 percent per year. The most dramatic increase occurred in 1980 when the budget increased by 5.4 million dollars. This single year increase was larger than the other 4 increases combined. Folsom has the highest per capita cost of any of the 7 sites studied. While the percent of total costs spent on staff was the second highest, the actual dollar amount was higher than any of the other sites.

STAFFING DETAIL

Figure X-1 provides an overview of the staffing pattern for Folsom as of December 1980. Several positions were not carried on departmental position counts:

- . 5.5 inmate welfare fund positions
- . 18 correctional industry production supervisors are paid out of the industries revolving fund
- . 11.5 education positions are contract positions with local school districts

These positions are included here because they actually perform duties central to the daily operation of the prison.

FIGURE X-1

STAFFING DETAIL
FOLSOM PRISON, CA
1980-1981 FY

		<u>Positions</u>
<u>Administration</u>		
Warden's Office	5.0	
Business Office	20.7	
Canteen (Inmate Welfare Fund)	5.5	31.2
<u>Security</u>	352.0	352.0
<u>Health Services</u>		
Medical/Dental	38.6	
Psychiatric Services	7.0	45.6
<u>Programs</u>		
Education ^a	21.5	
Counseling Services	37.0	
Religion	2.2	
Recreation	2.0	62.7

		<u>Positions</u>
<u>Operations</u>		
Plant Operations	31.8	
Food Services	12.2	
Laundry/Miscellaneous	4.0	48.0
<u>Correctional Industries</u>		
Production Supervisors Only	18.0	<u>18.0</u>
(Correctional Industries Revolving Fund)		
TOTAL		557.5

211.5 positions are contract positions with the local school district. The following table provides a percentage breakdown by function for the various positions and an explanation of how these percentages rank with other research sites.

FIGURE X-2

**FOLSOM - PERCENT OF STAFF BY FUNCTION,
COMPARED TO OTHER SITES, BY RANK**

Function	Percent of Total Staff	Rank Compared To Other Sites
Administration	5.6	5
Security	63.1	3
Health Services	8.2	1
Programs	11.2	6
Operations	8.6	4
Correctional Industries	3.2	7

They ranked number 1 in percent of staff providing health services, and were above the median for security staff. They ranked seventh in correctional industries. Administration, programs and industries all ranked below the median.

Figure X-3 provides an overview of how staffing patterns have changed over the 5 year period.

Staff increases have stayed ahead of increases in the inmate populations. Total staff have increased by 6.2 percent over the 5 year period. However, security staff positions have increased by 17.3 percent, while program and production work staff positions decreased. These changes represent an investment in control instead of program or work. The number of contact security staff positions has grown dramatically. The inmate population has remained relatively stable, only increasing by 65 inmates or 4.1 percent over the 5 year period.

FIGURE X-3
FOLSOM
STAFFING DETAIL, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>% Change 1976-1980</u>
Number of Inmates ^a	1,629	1,771	1,559	1,688	1,696	+4.1
Total Staff ^b	525	525	529	533	557.5	+6.2
Staff Excluding Administration and Health Services Staff						
Security Staff	300	307	313	323	352	+17.3
Contact Security Staff	211	218	224	234	263	+24.6
Noncontact Security Staff	89	89	89	89	89	0.0
Program Staff	65	65	65	63	62.7	-3.1
Production-Work Staff	67	67	66	65	66	-1.5

^aAverage daily population.

^bIncludes inmate welfare fund positions, industries revolving fund positions, and education contract positions with school district.

STAFF/INMATE RATIOS

Figure X-4 provides a summary of a variety of staff ratios for the period 1976-1980.

The overall ratio of staff to inmates improved as did the security staff and contact security staff to inmate ratios. The other ratios deteriorated during the 5 year period. Program and production ratios decreased due to staff reductions in those areas.

FIGURE X-4

FOLSOM STAFF INMATE RATIOS, 1976-1980

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Total Staff/Inmate	1:3.10	1:3.37	1:2.95	1:3.17	1:3.04
Security Staff/Inmate	1:5.43	1:5.77	1:4.98	1:5.23	1:4.82
Contact Security Staff/	1:7.72	1:8.12	1:6.96	1:7.21	1:6.45
Noncontact Security Staff/ Inmate	1:18.30	1:19.90	1:17.52	1:18.17	1:19.05
Program Staff/Inmate	1:25.10	1:27.24	1:23.98	1:26.79	1:26.92
Production-Work Staff/	1:24.31	1:26.43	1:23.62	1:25.97	1:25.70

Overall, the staffing picture has been relatively stable. With the exception of the large increase in the number of correctional officers very few staff changes have taken place. This was somewhat surprising in light of the large increase in budget in the staff area. The 1980 security staff and contact security staff ratios represent the median for the 7 sites studied. Program staff and production work staff ratios rated sixth out of the 7 sites.

PUBLIC SAFETY

Escapes were almost non-existent at Folsom, as depicted in Figure X-5. There was only 1 escape during the 5 year period. Folsom has over 25 percent of its staff allocated to non-contact positions.

FIGURE X-5

FOLSOM
PUBLIC SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Escapes ¹					
Number	0	0	1	0	0
Rate/1,000	0	0	0.6	0	0

INTERNAL SAFETY

Data were available on 6 safety indicators for the entire 5 year period. This data is displayed in Figure X-6. The indicators reveal that there has been a rather gross change in the internal safety picture over the past 2 years. In 1976-1977-1978, only 1 of the 6 indicators per year was greater than the median; that increased to 3 in 1979 and 4 in 1980. Considering that no staff homicide occurred in any of the years studied, the number of indicators greater than the median in 1980 was really 4 of 5, or 80 percent. All categories except inmate assaults were above the median. Clearly the indicators point to 1980 as being the least safe year. This occurs in a year when staff ratios were improved and several additional correctional officers were on board. Another factor to be considered is that the inmate population increased by 137 inmates in 1979 -- the first year the indicators varied. However, the numbers increased by 142 in 1977 and decreased by 212 in 1978 without any variation in the number of indicators greater than the median.

All in all, the pattern does not correspond to numbers of staff or to changes in inmate population, but to something else. Correctional officers attribute it to a changing inmate population. By late 1980, several older stable inmates had been transferred out and 80-100 younger violence prone inmates had been received from other California prisons.

FIGURE X-6

FOLSOM
INTERNAL SAFETY

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
1. <u>Inmate Assaults</u>					
Number	22	23	26	38	28
Rate/1,000	13.5	13.0	16.7	22.8	(16.5)
2. <u>Staff Assaults</u>					
Number	7	7	7	13	21
Rate/1,000	(13.3)	13.3	13.2	24.9	37.7
3. <u>Inmate Homicides</u>					
Number	2	0	0	1	5
Rate/1,000	1.2	0	0	(0.6)	2.9
4. <u>Staff Homicides</u>					
Number	0	0	0	0	0
Rate/1,000	0.0	0.0	0.0	0.0	0.0
5. <u>Disciplinary Reports¹</u>					
Number	60	103	68	98	141
Rate/1,000	38.6	58.2	43.6	(58.0)	83.1
6. <u>Inmates in Segregation²</u>					
Number ³	94	129	132	164	159
Percent of Total Population	5.7	7.3	(7.8)	9.7	9.4

SUMMARY

Number of Indicators Greater Than the Median	1	1	1	3	4
--	---	---	---	---	---

¹Reports referred to the district attorney for prosecution.

²Includes protective custody and disciplinary segregation.

³Average for year.

IDLENESS

Figure X-7 shows the number and percent of inmates who were listed as idle for the period 1976-1980. The idleness rate was lower in 1980 than in any other year except 1978. The production and program staffs have remained constant. Interviews with these staff members reveal that there is a great deal of over-assignment to work details.

FIGURE X-7

FOLSOM INMATE ASSIGNMENTS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
Number Idle ¹	288	427	218	333	259
Percent Idle	17.7	24.1	14.0	19.7	15.3

¹Average number per year.

CLIMATE

The climate indicators show that overall climate has remained fairly stable for the period 1977 to 1979. In 1976 only one indicator was above the median, but since then, roughly one third have been greater than the median. The worst year was 1979 with nearly half of the indicators (7) in the greater than median category. The climate indicators do not follow the same degenerative pattern as the safety ones; in fact, when considered as a whole, 1980 showed some improvement over 1979. Therefore, safety issues account for most of the negative readings in 1979 and 1980, and for very little in 1977 and 1978.

FIGURE X-8

FOLSOM
CLIMATE INDICATORS

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>
<u>Overcrowding</u>					
1. Density Ratio	.92	.99	.88	(.95)	(.95)
<u>Safety</u>					
2. Staff Assault Rate	3.3	(13.4)	13.2	24.9	37.7
3. Inmate Assault Rate	13.5	13.0	16.7	22.8	(16.5)
4. Staff Homicide Rate	0.0	0.0	0.0	0.0	0.0
5. Inmate Homicide Rate	1.2	0.0	0.0	(0.6)	2.9
6. Disciplinary Report Rate	36.8	58.2	43.6	(58.0)	83.1
7. Percent in Segregation	5.7	7.3	(7.8)	9.7	9.4
8. Escape Rate	0.0	0.0	0.6	(0.0)	0.0
<u>Inmate Morale</u>					
9. Suicide Rate	0.0	(1.1)	1.3	0.6	0.0
10. Grievance Rate	224.7	(257.5)	241.2	326.4	307.8
<u>Staff Morale</u>					
11. Average Sick Leave	8.6	10.1	11.8	12.8	(11.5)
12. Quit Rate (%)	1.8	3.2	(1.7)	1.1	1.4
13. Transfer Rate (%)	3.0	(3.6)	3.8	4.3	2.0
<u>Idleness</u>					
14. Percent Idle	(17.7)	24.1	14.0	19.7	15.3
<u>Freedom of Movement</u>					
15. % of Time Out of Cell	45	45	45	45	45

CLIMATE SUMMARY

Number of Indicators Greater Than the Median	1	4	5	7	5
--	---	---	---	---	---

Violent behavior had escalated in 1980; several categories were at their highest level:

- . staff assaults
- . inmate homicides
- . disciplinary reports

These events were clearly out of character with earlier periods when Folsom had been a relatively quiet prison made up of older long term inmates.

Staff morale had not suffered as a result. Quit and transfer rates were down, and sick leave days taken were at a 3 year low in 1980. Staff numbers were also at their highest level. At the same time violence was on the upswing. As stated earlier, this behavior seemed to be the result of something other than staff/inmate ratios because violent behavior should theoretically diminish as staff levels increase. This has been the age old argument offered to support increases in staff.

On the observational level climate appeared good. Inmate and officers had a easy exchange of communication. There was a great deal of inmate movement, especially in the yard. The yard was full of unassigned inmates, as well as those who were released from their work detail due to being overassigned. Industries were at a low ebb and were only working a 4 to 5 hour day.

Inmates were allowed quite a bit of personal property in their cells and canteen privilages were generous. The institution is old but well maintained. The food was adequate and the buildings were clean. One of the prime climate enhancers is the conjugal visiting program that is extended to all married inmates regardless of their status.

QUESTIONNAIRE RESULTS

Questionnaire responses were received from 48 inmates, 71 correctional officers, and 39 work supervisors. The following analysis provides a topic by topic review of the responses.

Race Relations

How would you describe current race relations?

	Inmates	CO's	Work Supervisors
Poor	52.1 (25)	62.0 (44)	20.5 (8)
Fair	39.6 (19)	35.2 (25)	71.8 (28)
Good	8.3 (4)	2.8 (2)	7.7 (3)

How do current race relations compare with last year?

	Inmates	CO's	Work Supervisors
Worse	41.7 (2)	52.1 (37)	33.3 (13)
Same	54.2 (26)	46.5 (33)	66.7 (26)
Better	4.2 (3)	1.4 (3)	--- (--)

Significant numbers of inmates and correctional officers felt the racial situation was poor and getting worse. Work supervisors did not see the situation as being nearly as serious as the other 2 groups. Interviews confirmed the mounting concern over the potential of rival gang violence. These confrontations are expected to occur between rival hispanic gangs rather than on a racial level. The potential for racial violence was discounted, but the potential for gang violence was felt to be real.

Work supervisors clearly see the problem differently than do the other groups. This perception is in line with those of work supervisors from other sites.

Living Space

How would you rate the current amount of inmate living space?

	Inmates	CO's	Work Supervisors
Very crowded	30.0 (15)	8.5 (6)	2.6 (1)
Not acceptable	48.0 (24)	15.5 (11)	23.7 (9)
Adequate	22.0 (11)	76.1 (54)	73.7 (28)

How does current inmate living space compare to last year?

	Inmates	CO's	Work Supervisors
More crowded	24.5 (12)	9.9 (7)	2.6 (1)
Same	67.3 (33)	59.2 (42)	73.7 (28)
Less Crowded	8.2 (4)	31.0 (2)	23.7 (9)

The perception of overcrowding was definitely stronger on the part of the inmates. Thirty percent of them felt very crowded compared to less than 10 percent of the staff. The average daily population only increased by 8 inmates from 1979 to 1980, but 24.5 percent of the inmates and 9.9 percent of the correctional officers felt the situation was getting worse. In fact, the institution was not double celling and still had extra cell space available.

Safety

How safe do you feel right now?

	Inmates	CO's	Work Supervisors
Unsafe	44.0 (22)	48.6 (34)	15.4 (6)
Don't Worry	44.0 (22)	32.9 (23)	64.1 (25)
Safe	12.0 (6)	18.6 (13)	20.5 (8)

How safe did you feel last year?

	Inmates	CO's	Work Supervisors
Less Safe	14.6 (7)	14.1 (10)	13.2 (5)
Same	79.2 (38)	80.3 (57)	86.8 (33)
Safer	6.3 (3)	5.6 (4)	--- (-)

The inmates and the correctional officers agree on how they view the situation; both groups feel relatively unsafe. These perceptions were in line with the safety indicators reported earlier and are supported by the fact that homicide and assaults have increased. The interesting finding was the perception of the work supervisors. They were not effected by whatever was impacting the other 2 groups. Only 15.4 percent felt unsafe and none saw the situation as getting worse.

Inmate Morale

How would you rate the current inmate morale?

	Inmates	CO's	Work Supervisors
Poor	70.0 (35)	36.6 (26)	10.3 (4)
Fair	28.0 (14)	52.1 (37)	71.8 (28)
Good	2.0 (1)	11.3 (8)	17.9 (7)

How does current inmate morale compare with last year inmate morale?

	Inmates	CO's	Work Supervisors
Worse	40.8 (20)	28.2 (20)	34.2 (13)
Same	53.1 (26)	69.0 (49)	65.8 (25)
Better	6.1 (3)	2.8 (2)	--- (-)

The role of the respondent clearly dictates the response. Work supervisors see the situation differently from the correctional officer and inmates see the situation as serious and getting worse. Many of the inmates interviewed blamed the poor morale on lack of work, the change in the classification system, and the increased gang violence.

Work supervisors only see the inmates who are working and only deal with them while they are working. They see a different inmate than the correctional officer sees, they see the inmate at work and not idle or in the yard.

Staff Morale

How would you rate the current staff morale?

	Inmates	CO's	Work Supervisors
Poor	59.2 (29)	52.9 (37)	25.6 (10)
Fair	32.7 (16)	32.9 (23)	48.7 (19)
Good	8.2 (4)	14.3 (10)	25.6 (10)

How does current staff morale compare with last years staff morale?

	Inmates	CO's	Work Supervisors
Worse	29.2 (14)	25.4 (18)	13.2 (5)
Same	68.8 (33)	67.6 (48)	68.4 (26)
Better	2.1 (1)	7.0 (5)	18.4 (7)

Inmates and correctional officers agree on the status of staff morale. Between 5 and 6 out of 10 feel it is poor and 25 to 30 percent feel it is getting worse. Again, work supervisors see the situation differently. Only 25.6 percent feel it is poor, and 13.2 percent feel it is getting worse.

The morale portion of the climate indicators does not reflect poor morale. Only 3 to 5 percent are leaving Folsom with a quit rate of less than 2 percent. Sick leave days are high but many correctional officers interviewed said that was due to overtime instead of illness.

The officer morale at the observational level was very good. The officers were very professional; they exhibited a great deal of pride in their work and their organization. They felt proud that they ran one of the toughest "joints" in California.

Inmate Activities

How available are inmate program activities?

	Inmates	CO's	Work Supervisors
Few	66.0 (33)	21.1 (15)	18.4 (7)
Some	28.0 (14)	57.7 (41)	47.4 (18)
Very	6.0 (3)	21.1 (15)	34.2 (13)

Compared to last year, how available are inmate program activities:

	Inmates	CO's	Work Supervisors
Less	34.0 (17)	5.6 (4)	7.9 (3)
Same	66.0 (33)	90.1 (64)	86.8 (33)
More	--- (-)	4.2 (3)	5.2 (2)

The perceptions were geared towards role; the staff felt the inmates had adequate programs and inmates felt they were not available. Work supervisors and correctional officers agreed on the issue. The idleness rate of about 15 percent does not reflect the real idleness. The yard is full all day with inmates who are assigned for a half day or are released from their detail because the detail has been overassigned. Correctional industries were not operating at full strength.

Freedom of Movement

How much freedom of movement do inmates currently have?

	Inmates	CO's	Work Supervisors
Ex. Limited	64.0 (32)	4.2 (3)	5.1 (2)
Some	20.0 (10)	21.1 (15)	41.0 (16)
Avg.	16.0 (8)	74.7 (53)	53.8 (21)

Compared to last year how much freedom of movement do inmates have?

	Inmates	CO's	Work Supervisors
Less	29.2 (14)	2.8 (2)	7.7 (3)
Same	64.6 (31)	77.5 (55)	84.6 (33)
More	6.3 (3)	19.8 (14)	7.7 (3)

There were no surprises in the answers to these questions. Inmates see their lives as extremely limited and staff feel they have too much freedom. Inmates move about the prison and the yard with relative freedom.

Quality of Life

How would you note the current overall quality of inmate life?

	Inmates	CO's	Work Supervisors
Poor	68.0 (34)	4.2 (3)	10.3 (4)
Fair	28.0 (14)	29.6 (21)	17.9 (7)
Good	4.0 (2)	66.2 (47)	71.8 (28)

Compared to last year how would you rate the quality of life?

	Inmates	CO's	Work Supervisors
Worse	40.8 (20)	4.2 (3)	--- (-)
Same	53.1 (26)	70.4 (50)	89.7 (35)
Better	6.1 (3)	25.3 (18)	10.3 (4)

The results are in the direction one would expect given the respective roles of the respondents.

INTERVIEWS

Several staff members and inmates were interviewed to supplement the questionnaire data. Several areas of concern emerged from each group.

Correctional Officers/Work Supervisors

- . lack of work for inmates
- . new staff members inadequately trained
- . inmates have too much freedom
- . felt unsafe
- . poor fringe benefits

Inmates

- . too many staff
- . racism
- . lack of programs
- . cells too small
- . racial violence
- . inmates too young
- . too many gun towers

SUMMARY

The climate at Folsom was relatively good. They were entering a period of transition and there was a considerable amount of anxiety as to how the changes would effect them. This anxiety was reflected in both staff and inmates. Neither group had a good grasp on how the new inmate classification system would impact the prison. The safety indicators accurately reflect the changing pattern towards violence.

The population remained stable over the 5 year period. There was some minor fluctuation during 1976 to 1978, but 1979 and 1980 were very stable. They did not exceed their design capacity in any of the years studied. Staff additions have kept up with the increases in population, especially in the security staff area. There were some reductions in the program and production work areas.

The intense pride and esprit de coup of the staff is a positive aspect. While staff rated their morale as low, outward appearances and interviews did not reflect that state. The officers took a great deal of pride in their jobs and the notion that they had been selected to handle the toughest prisoners in the system.

As stated earlier, Folsom maximizes control. They have several gun towers and gun walks in densely populated areas. In fact, more than one-fourth of their security personnel are assigned to these posts. The absence of work and lack of full day programming creates excessive idleness. The industry program was undergoing a revamping during our visit. It had reached a low ebb and very little production was taking place.

The most positively received program is the conjugal visiting program that is extended to all married inmates. Inmates viewed it as a very powerful reinforcer and valued it highly. The structure of the prisons does not allow inmate councils and thus inmates have no routinized channel to the warden.

The cost of running the prison has escalated. It took a dramatic jump in 1980, making Folsom the most costly prison among the sites studied. Personnel costs account for almost 80 percent of the cost.

CHAPTER XI

SUMMARY AND CONCLUSIONS

PURPOSE

This chapter will review findings from the 7 sites. Site by site responses to the questionnaires are summarized in the individual chapters for each site displayed in more detail in Appendix E. The focus is on the overview of findings, not site by site comparisons. The sample was too small and the data far to disparate to allow such comparisons. Each site must be viewed as a separate, unique entity. The tables found in this chapter focus on 5 year comparisons by site (1976-1980). Budget summaries are for the most recent fiscal year 1980/81.

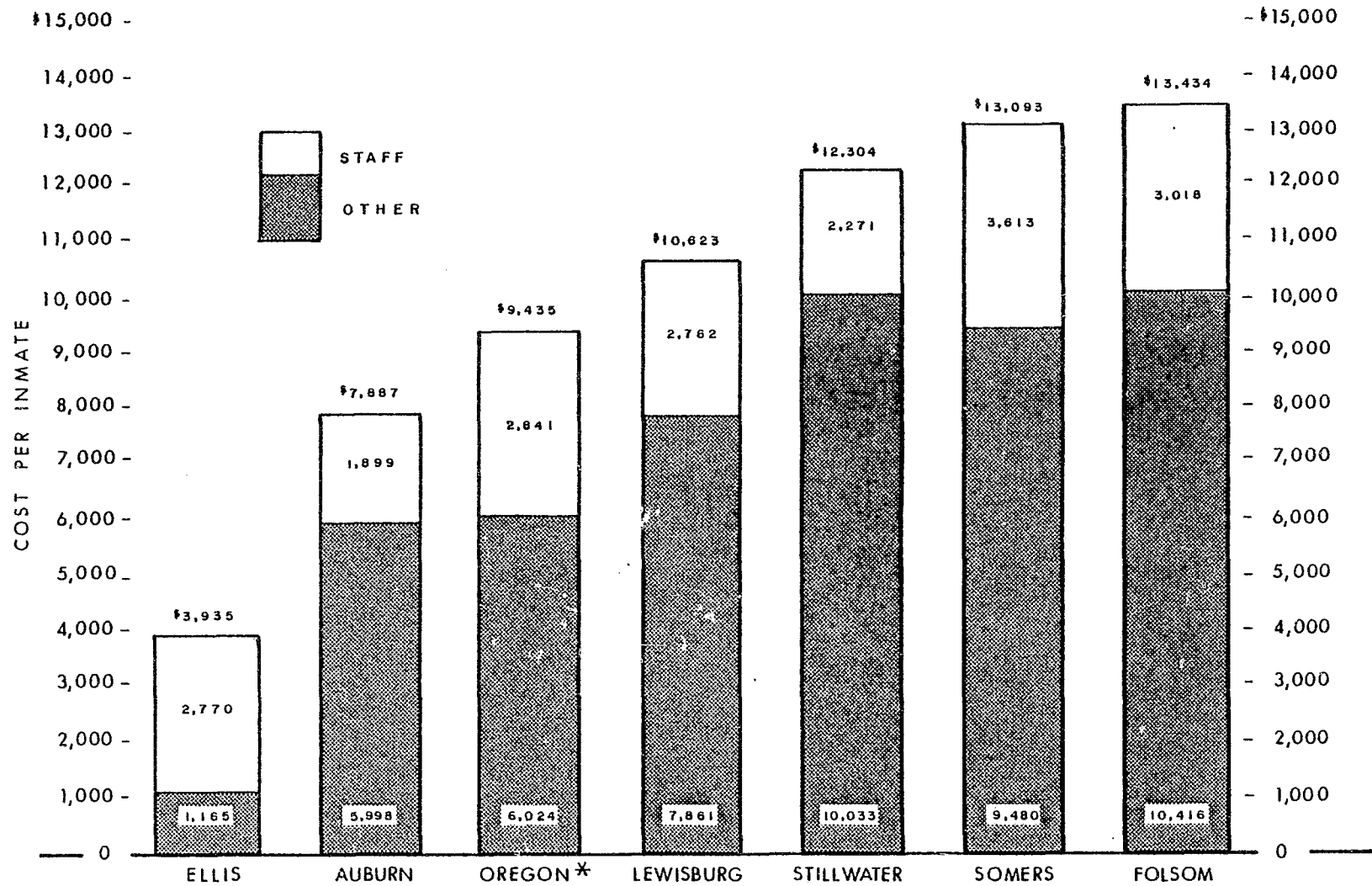
BUDGET

The average costs per inmate for 1980 are presented in Figure XI-1. The range is staggering; it costs 340 percent as much to care for an inmate at Folsom as it does at Ellis. Ellis is truly the exceptional case, the next closest site was Auburn, still 100 percent more expensive. Stillwater, Somers, and Folsom are very close to each other costwise; all 3 have favorable staff ratios. Somers has the most desirable ratio. This is partially offset by their greater need for staff due to a 36¼ hour work week. The shortened work week means that it takes 5.8 employees to cover a 24 hour, 7 day post compared to 5.1 in most institutions.

Folsom leads the sites in cost. The salary level for entry and journeyman correctional officers is considerably above that of other sites. In some cases the differences amounted to \$5,000 to \$7,000 a year.

The dollar amount for staff versus other costs is also displayed in Figure XI-1. There were few surprises in this category except for Ellis and Stillwater. Ellis spends less on staff than other costs, the only site to do so. Stillwater spends more on staff than Somers even though the total cost at Somers is higher.

FIGURE XI - 1
**COSTS PER INMATE BY TYPE OF COST, BY SIZE
 FY 1980 - 81**



* OREGON DATA REPRESENT AN AVERAGE OF BUDGETS FOR 1979/80 FY AND 1980/81 FY

Figure XI-2 provides an overview of what percent of the total general fund budget goes toward staff. Stillwater spends 82 cents on the dollar for staff while Ellis only spends 30 cents. Ellis is clearly separate from the other sites and represents an entirely different orientation. The sites, Ellis excluded, ranged from 66 percent for OSP to 82 percent for Stillwater. This range is fairly compact and only reinforces the fact that staff costs make up the bulk of the expense of running a prison.

Figure XI-3 provides a summary of how these percentages have changed for the period 1978 to 1980. Most have remained remarkably stable, only changing 1 or 2 percent during the period. Percentages increased at Ellis, Lewisburg, Stillwater, and Folsom. Somers and OSP showed a decline, Somers by 5 percent.

These budget figures must be viewed with caution; they are considerably understated since they do not include any expenses other than general fund items. The real costs are considerably higher and may cause shifts in percentage. General fund budgets were used for this comparison because they were the only consistent sources of data.

STAFFING DETAIL

Figure XI-4 provides a summary of staffing detail for the 7 sites. The data provides empirical indications of the functional areas that are emphasized. This emphasis reflects the orientation of the prison; e.g., the control versus program dichotomy. Ellis, Folsom, Somers, and Auburn all have security components which are greater than the average. All these facilities, with the possible exception of Auburn, were control oriented. Lewisburg, OSP, and Stillwater were below the mean and in all 3 cases, these institutions had strong commitments to providing programs. The same general pattern follows when program and work categories are considered. Ellis is an exception in the industries area due to its heavy reliance on work.

A different way of looking at how staff have been added to each site is presented in Figure XI-5. This figure reveals how staff and inmate percentages changed for the year 1980 compared to 1976. All sites, except

FIGURE XI - 2

PROPORTION OF STAFF BUDGETS TO TOTAL BUDGETS FY 1980 - 81

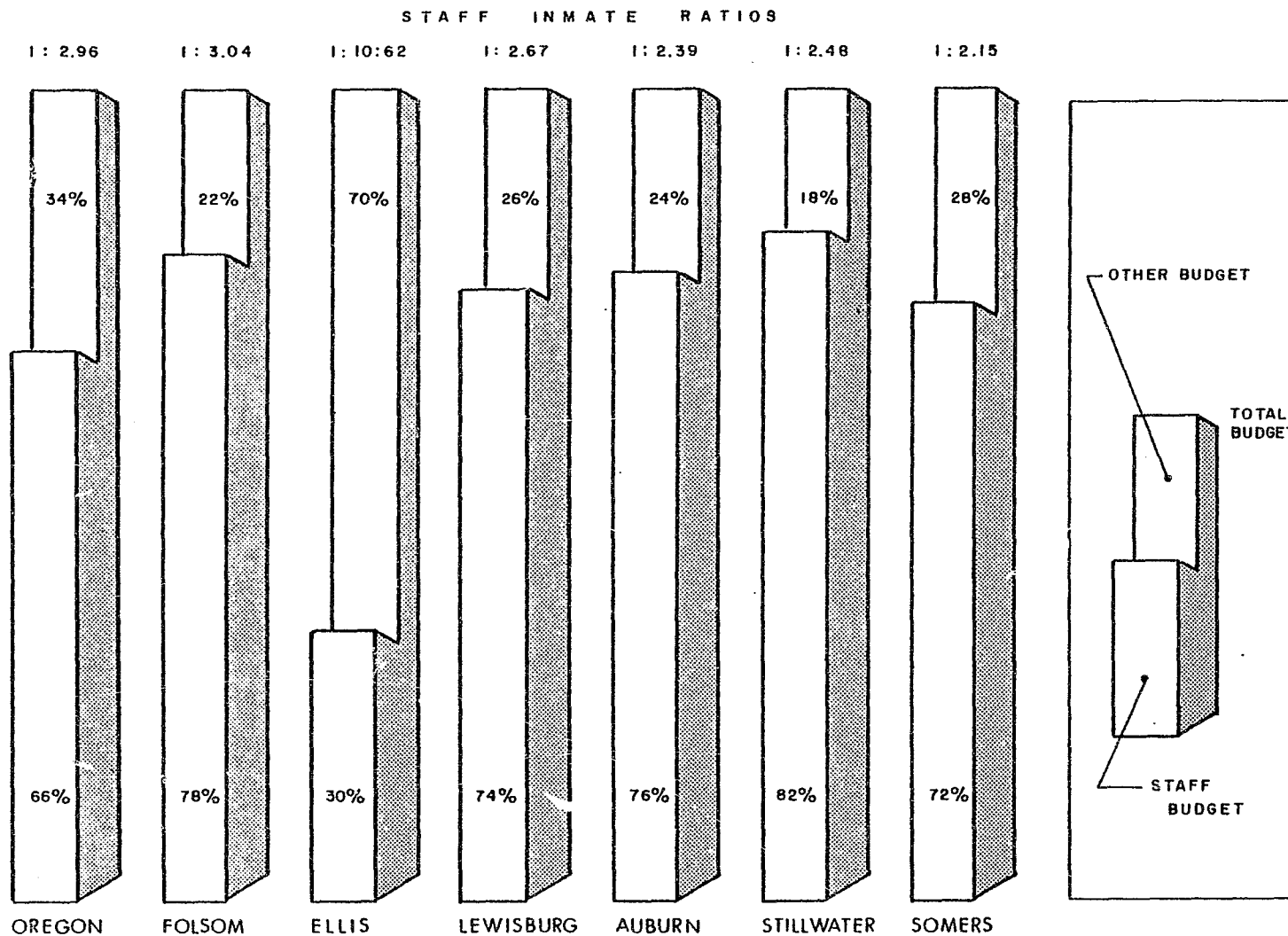


FIGURE XI-3
 PERCENT OF TOTAL BUDGET* SPENT ON STAFF
 1978-1980

SITE	1978	1979	1980
Ellis	N /A	28	30
Auburn	N /A	N /A	76
OSP	68	66	66
Lewisburg	71	71	74
Stillwater	80	80	82
Somers	77	74	72
Folsom	77	79	78

*General fund only.

FIGURE XI-4

PERCENT OF STAFF ASSIGNED BY FUNCTION AND BY SITE

1980

FUNCTION	ELLIS	AUBURN	OSP	LEWISBURG	STILLWATER	SOMERS	FOLSOM	AVERAGE
Administration	4.3	8.7	7.2	7.8	10.3	5.5	5.6	7.1
Security	72.7	66.0	49.1	43.6	53.1	60.7	63.1	58.3
Health Services	3.5	2.2	5.6	4.0	4.3	5.7	8.2	4.8
Programs	7.5	11.5	20.3	18.6	15.6	15.3	11.2	14.3
Operations	5.5	7.6	10.4	16.6	8.9	8.3	8.6	9.4
Correctional Industries	6.3	3.7	7.4	9.3	7.8	4.4	3.2	6.0

FIGURE XI-5
 CHANGES BY PERCENT, BY CATEGORY, BY SITE
 1976 TO 1980

CATEGORY	ELLIS	AUBURN	OSP	LEWISBURG	STILLWATER	SOMERS	FOLSOM
Inmate	+36.0	+1.5	+6.8	-22.9	+10.1	+15.6	+4.1
Total Staff	+12.9	+11.0	+13.3	+2.1	+9.3	+1.2	+6.2
Security Staff	+2.8	+12.2	+21.8	-1.2	+11.0	0.0	+17.3
Contact Security Staff	+3.6	+18.8	+34.5	-1.6	+14.6	0.0	+24.6
Non-Contact Security Staff	0.0	+7.8	0.0	0.0	0.0	0.0	0.0
177 Program Staff	+18.8	+11.6	+2-.0	+13.8	+13.1	+38.2	-3.1
Production Work Staff	+15.4	+5.6	+19.2	+3.0	+2.8	+4.8	-1.5

Lewisburg experienced some increase in inmate population. The growth was slight at Auburn and Folsom, and heavy at Ellis, Somers and Stillwater. All sites except Folsom and Lewisburg were above their rated capacity by 1980. Ellis, OSP, and Somers had experienced chronic overcrowding for 2 or 3 years.

Total staff additions outpaced inmate increases in 4 of the sites and kept pace at Stillwater. Therefore, these sites had better staff/inmate ratios in 1980 than in 1976. Ellis and Somers were the only 2 sites where the reverse was true. The situation at Ellis exacerbated an already acute situation, but Somers, even after the growth, still enjoyed the highest staff to inmate ratio of any of the 7 sites.

The security staff additions outpaced inmate growth in all sites except Ellis and Somers. This trend surely reflects a growing concern about safety and is manifested by the questionnaire responses (35.5 percent of all correctional officers said they felt unsafe). The growth in the security area also is attributable to correctional officer union pressures. Ellis was the only site not represented in some fashion by a union.

Program staff additions kept up with inmate increases in all sites except Folsom and Ellis. The base was so small at Ellis that even small additions make large percentage changes. However, Folsom actually lost 2.3 positions in the face of increases in the number of inmates. This may represent a return to strong control orientation as evidenced by the increase in security staff and the large portion of security staff who are assigned to non-contact posts.

Production/work staff followed the same general pattern as the program staff. Again, Folsom was the only site to lose positions in the face of increases in the number of inmates.

STAFF/INMATE RATIOS

Several 1980 functional ratios are summarized in Figure XI-6. The numbers used to compute these ratios included all staff assigned regardless of source of salary. When contract, other agency, and industry staff were added to the

FIGURE XI-6

STAFF RATIOS BY TYPE BY SITE
1980

	FOLSOM	STILLWATER	SOMERS	AUBURN	TEXAS	OREGON	LEWISBURG
Total Staff/Inmate	1:3.04	1:2.53	1:2.15	1:2.39	1:10.41	1:2.92	1:2.67
Security Staff/Inmate	1:4.90	1:4.28	1:3.55	1:3.78	1:16.00	1:5.95	1:6.12
Contact Security Staff/ Inmate	1:19.05	1:21.21	1:18.61	1:23.17	1:64.00	1:22.45	1:23.02
Non-Contact Security Staff/Inmate	1:19.05	1:21.21	1:18.61	1:23.17	1:76.80	1:15.43	1:14.31
179 Production-Work Staff/ Inmate	1:24.22	1:15.68	1:17.20	1:22.80	1:76.80	1:15.43	1:14.31
Program Staff/Inmate	1:28.74	1:17.74	1:14.01	1:16.29	1:107.52	1:13.98	1:10.28

general fund staff, the results were surprising. In some cases, these hidden staff accounted for 10 to 15 percent of the total count. Stillwater had 68 employees in these areas. In all 7 sites, these hidden staff made significant changes in the institution's staff to inmate ratios.

The total staff/inmate range was broad with Somers at 1:2.15 to Ellis with 1:10.41. Again, Ellis was significantly different from the rest of the sites. The other sites were within a range of 1:2.15 to 1:3.04. The same general patterns hold for all the various ratios.

The pattern of control versus program is apparent in production/work and program ratios: Stillwater, Lewisburg, and OSP were among the most favorable. Somers was also enriched in these areas but it is more of function of total staff than emphasis.

Figure XI-7 provides an overview of functional ratios by site for the period 1976 compared to 1980. The analysis provides for direction, not magnitude of change. If a ratio is referred to as better, it means that staff increases stayed ahead of increases in the number of inmates. Total staff/inmate ratios improved in all sites except Stillwater, where it remained constant, and Ellis and Somers, where they got worse. The same pattern held true for security staff since they represented the largest portion of increases in the numbers of staff.

Virtually all categories of ratios increased for Auburn, OSP, and Lewisburg. Lewisburg's increases came about due to decreases in inmate population while the other 2 represent staff increases. Ellis and Somers experienced decline in almost every area. Somers, even though it experienced decline, still had the most enriched ratios in each area.

All sites except Ellis and Folsom added to their program staff at a rate sufficient to stay ahead of increases in inmate numbers. These patterns reflect their commitments to control over program.

FIGURE XI-7

DIRECTION OF CHANGE BY TYPE OF RATIO BY SITE
1976 COMPARED TO 1980

RATIOS	ELLIS	AUBURN	OSP	LEWISBURG	STILLWATER	SOMERS	FOLSOM
Total Staff	Worse	Better	Better	Better	Same	Worse	Better
Security Staff	Worse	Better	Better	Better	Same	Worse	Better
Contact Security Staff	Worse	Better	Better	Better	Better	Worse	Better
Non-Contact Security Staff	Worse	Better	Worse	Better	Worse	Worse	Worse
Productin Work Staff	Worse	Better	Better	Better	Worse	Worse	Worse
Program Staff	Worse	Better	Better	Better	Better	Better	Worse

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Production/work increases occurred at Auburn, OSP, and Lewisburg. Lewisburg's increases were due to declining inmate numbers, while Auburn and OSP were seeking to reduce idleness.

PUBLIC SAFETY

Escapes from within the secure perimeters were rare occurrences. All seven prisons dedicated large portions of their resources to preventing these events. Some of the differences between how many posts were assigned by site were a function of prison structure, some because of operational procedures and some were due to philosophical positions.

The architecture in old prisons, such as Auburn, is not conducive to prisoner movement. There are many blind spots that must be observed from above. Newer prisons, like Ellis and Somers, were constructed with prisoner movement in mind and do not consume as many posts to man towers or to cover blind spots. Ellis maintains a constant state of lockdown after 4:30 pm, thus, they do not require the security of prisons such as Lewisburg that continues to have inmates in the buildings and in the yard until after dark.

Folsom maximizes control by using non-contact positions. They man some 27 towers and gunwalks during certain periods of the day. They do this to provide surveillance and to have the ability to crush a disturbance before it spreads.

Each of these rationales help determine how these positions are staffed. Custom also plays a part; only 1 site, Auburn, had changed their non-contact staffing during the 5 year period.

These non-contact posts do not vary with increases or decreases in the number of inmates. However, changes in physical structure or changes in prison routine may have an effect.

With these caveats in mind, average escape rates per 1,000 inmates were computed for the 5 year period and compared to the 5 year average non-contact

security staff to inmate ratios. The third variable in this analysis was the 5 year average percent of total security staff dedicated to this function. These computations are presented in Figure XI-8. These calculations must be reviewed with caution since the number of staff dedicated may well be a function of several of the reasons listed above.

Auburn did not experience any escapes during the 5 year period, although it had the lowest percent of staff dedicated to non-contact posts and ranked fifth in the ratio column. At the other end, Stillwater averaged 2 escapes per 1,000 inmates per year, had a large percent of its staff dedicated to non-contact posts, and had one of the most desirable ratios.

It is clear from this chart that other factors must have accounted for these differences. In fact, the occurrences are so infrequent that no general explanation will account for them. Yet, one typical response after an escape is to add posts or cut down movement. The data presented here should provide strong evidence that: (1) escapes are not usual occurrences; (2) guarding against them is costly. Thus, adding more non-contact posts is a costly solution to a rare problem. A new 24-hour post will require 4.8 to 5.8 staff at an average rate of \$20,000 per staff per year for a cost of \$96,000 to \$116,000 per year.

INTERNAL SAFETY

Personal safety was a concern for many of the staff and inmates interviewed. These perceptions of danger were also reflected on the questionnaire responses (38.2 percent of the inmates, 35.5 percent of the correctional officers and 14.6 percent of the work supervisors reported that they felt unsafe). These fears were present in all institutions. The question of personal safety had played a large role in the labor versus management contract disputes at several of the sites.

Feelings of personal safety were not related to discernable incidents. Stillwater had experienced a high inmate homicide rate; in fact, an inmate was killed during the site visit and several officers had been seriously assaulted

FIGURE XI-8

FIVE YEAR AVERAGE ESCAPE RATE PER 1,000 BY
 FIVE YEAR PERCENT OF NONCONTACT STAFF BY FIVE
 YEAR AVERAGE NONCONTACT RATIO BY RANK

1976-1980 BASE

SITE	ESCAPE RATE	RANK	PERCENT OF SECURITY STAFF	RANK	NON-CONTACT RATIO	RANK
Ellis	0.4	4	22.8	4	54.7	7
Auburn	0.0	1	15.6	7	23.9	5
OSP	0.3	3	26.8	1	21.7	4
Lewisburg	0.5	5	26.6	2	27.1	6
Stillwater	2.0	7	22.0	5	19.0	3
Somers	0.6	6	19.0	6	16.3	1
Folsom	0.1	2	25.2	3	18.7	2

in a recent hostage taking incident, yet they felt much safer than their Somers counterparts. This discrepancy exists in spite of the fact that Somers had the most favorable ratios, had not experienced any inmate homicides, and had a lower incidence of staff assaults.

No staff homicides occurred in any of the sites for the period 1976 to 1980, and serious assaults were not very prevalent. It is impossible to compare assault rates since each institution had a different definition of what would be considered an assault. The various definitions ranged from actual injury to being verbally abusive.

The same definitional issue exists for most of the safety indicators, even the percent in segregation since the percent in segregation usually depended upon available cell space. All sites except Stillwater and Auburn had their facilities at capacity. Segregation counts will also vary by type of facility and the small states do not have the luxury of transferring their problems; they must deal with them within the confines of a single institution.

Figure XI.9 presents a summary of the internal safety experience for 5 sites. Two sites did not have enough available data to provide for the comparison. Again the analysis is geared towards direction not magnitude. Each of the 5 sites were normed to themselves. Improvements or decline on the internal safety scores means that the number of indicators greater than the median was either higher or lower in 1980 than in 1976. If the number of indicators increased it is scored as "worse" and vice versa. The same logic holds true for the contact staff ratio column. Internal safety concerns are prime movers behind adding more staff. Frequently these demands come on the heels of a recent violent altercation; however, as indicated in this analysis and in the site level analyses, lack of staff is not the key variable. The key variables are probably situational and do not translate equally to all situations.

CLIMATE

The climate or feeling tone of an institution takes on different elements. An attempt was made to capture some of those elements by using several

FIGURE XI-9

CHANGES IN INTERNAL SAFETY COMPARED TO CHANGES
IN CONTACT SECURITY STAFF/INMATE RATIOS, BY SITE

1976 AND 1980*

SITE	INTERNAL SAFETY	CONTACT STAFF RATIO
Ellis	Worse	Worse
Folsom	Worse	Better
OPS**	Same	Better
Lewisburg	Worse	Better
Stillwater	Same	Better

*Data not available on two sites.

**1976 used as base year.

categories of empirical data and matching those elements to interviews, observations, and questionnaire responses. Inmates and staff view climate from different perspectives, but they have a few areas of overlap -- one of these areas is safety which was covered in the last section. Another is overcrowding. Overcrowding impacts everyone. Inmates are cramped, idleness increases, noise levels raise, support facilities get taxed and everyone suffers as a result. Lewisburg was the only site to lower its inmate count.

Another area was staff morale. Fifty-five percent of the correctional officers said morale was poor and 37.4 percent said it was worse than the year before. Staff morale impacts inmates. Both groups suffer when it is low. There was a lot of complaints about management and poor working conditions among the staff. Ellis was the only site that reported a modest level (27.3 percent) of officers who said morale was poor. However Ellis also experienced the highest quit rate. Apparently those who stay are content and the unhappy ones leave very rapidly. On the other hand, Auburn and Lewisburg had a poor morale rating from 7 out of 10 officers and a quit rate of only about 3 percent per year. It is noteworthy that Ellis is the only site not represented by a union. There, the union rhetoric was noticeably absent.

Figure XI-10 provides a comparison of climate conditions in 1980 compared to 1976. The change in total staff and contact security staff are also included. Climate improved at 1 site, Auburn; it remained static at OSP and Stillwater, and got worse at Ellis, Lewisburg, Somers, and Folsom.

Three sites went in the logical direction; climate varied with staffing ratios. Staffing got worse and climate got worse at Ellis and Somers. Staffing got better and climate got better at Auburn. OSP and Stillwater were middle cases. Staffing got better at OSP but climate remained static at Stillwater as did total staffing, but contact security ratios improved. It is a question of perspective as to whether remaining static is better, but from an analytic point of view, it represents failure. Two sites, Lewisburg and Folsom experienced a decline in climate and an increase in staffing levels.

FIGURE XI-10
 CHANGES IN CLIMATE COMPARED TO CHANGES IN
 STAFF/INMATE RATIOS, BY SITE
 1976 AND 1980

SITE	CLIMATE	TOTAL STAFF	CONTACT SECURITY STAFF
Ellis	Worse	Worse	Worse
Auburn	Better	Better	Better
OSP*	Same	Better	Better
Lewisburg	Worse	Better	Better
Stillwater	Same	Same	Better
Somers	Worse	Worse	Worse
Folsom	Worse	Better	Better

*1978 used as base year.

The evidence is certainly not conclusive but only 3 of 7 sites went in the direction one would assume based upon staffing. Climate, like all other elements of this study, is certainly not explained by staffing levels alone. They most certainly influence climate but are not solely responsible for it.

Several other elements work in concert to explain these changes. These elements are not generalizable to all sites. The idea that more staff alone will cure all the ills of the prisons needs to be laid to rest.

IDLENESS

Overcrowding and idleness go hand in hand. Interviews with staff and inmates revealed that it was a major problem at most sites. While comprehensive statistics were not available, 1 day counts and departmental estimates indicated that the 1980 percent idle ranged from 9.4 percent at OSP to almost 30 percent at Auburn. Idleness is debilitating; it exacerbates the problem of overcrowding by providing too many demands for existing jobs.

Prison industries were major sources of employment for all 7 sites. In 5 of the sites, industry programs were running at reduced levels.

This reduction created a decreased demand for inmate labor. The cutbacks were handled in a variety of ways. Stillwater continued to use large amounts of labor, but was creating a product surplus. This surplus created marketing and capital problems, but the institutional solution was to reduce idleness.

Somers, 1 of the free-venture model states, took the opposite approach. They laid off inmate workers and reduced their workforce to meet production demands. However, only inmate laborers were laid off; staff positions remained constant. In fact they hired an additional industrial supervisor in 1980.

These 2 approaches represented the basic choices available to prison management in the industries area. Lewisburg was able to use all available inmate labor in their industries program. This was due to a declining inmate

count and a steady industrial program. Ellis had the capacity to use more inmates in their agricultural operation, but the lack of manpower to provide security was a problem.

Another common method for dealing with idleness was to overassign inmates to details. This is a burdensome practice. It creates tension and negatively effects the quality of work. It was not uncommon to find 75 to 100 inmates assigned to the kitchen; food service supervisors said the ideal crew ranged between 25 to 40. Thus, supervision time was spread thin, the quality of the food went down and wastage went up. During tours of work areas, it was not unusual to see half of a work crew sitting down, doing their laundry, or being released to the yard for the day.

Idleness, like overcrowding, presents a dilemma for administration. They can either increase security to provide the extra surveillance or increase work and programs to provide something to do. Both options require staff. The choice is dependent upon the operating philosophy of the prison. If it is control oriented, security staff are added and vice versa. However, actual practice is rarely that clear cut. The typical case for the 7 sites was to add both. Folsom was the only exception. They increased security staff by 17.3 percent but reduced program and work staff by 3.1 and 1.5 percent respectively (Appendices G and H provide information on industries and inmate assignment plans).

QUESTIONNAIRE

The questionnaire concerning perceptions of climate was given to staff and inmate groups at each site. Site specific responses can be found in individual site reports and in Appendix E. Summary calculations for the entire group of respondents from all sites combined are presented in Figure XI-11 through XI-26. This group was made up of 319 inmates, 591 correctional officers, and 248 work supervisors.

The responses are in line with what one would expect based upon the role of the respondent. Inmates viewed crowding, inmate morale, availability of

FIGURE XI-11

PERCEPTIONS OF CURRENT RACE RELATIONS

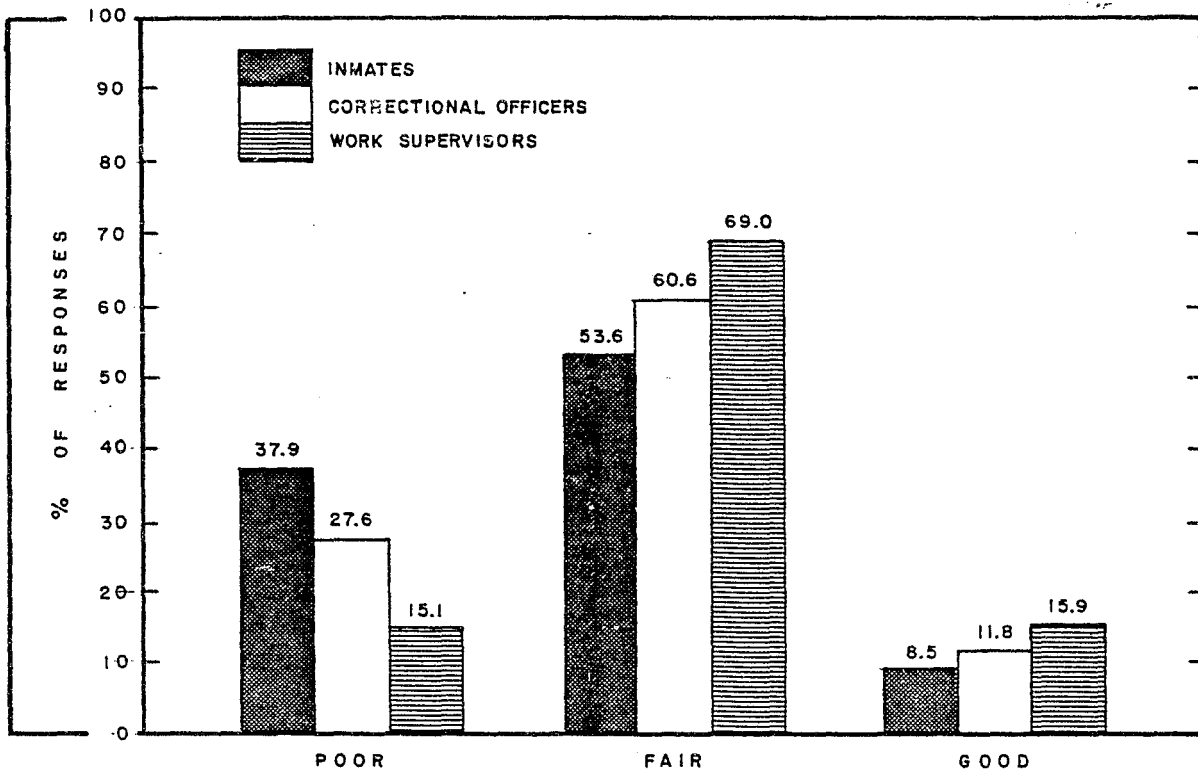


FIGURE XI-12

PERCEPTIONS OF RACE RELATIONS COMPARED TO LAST YEAR

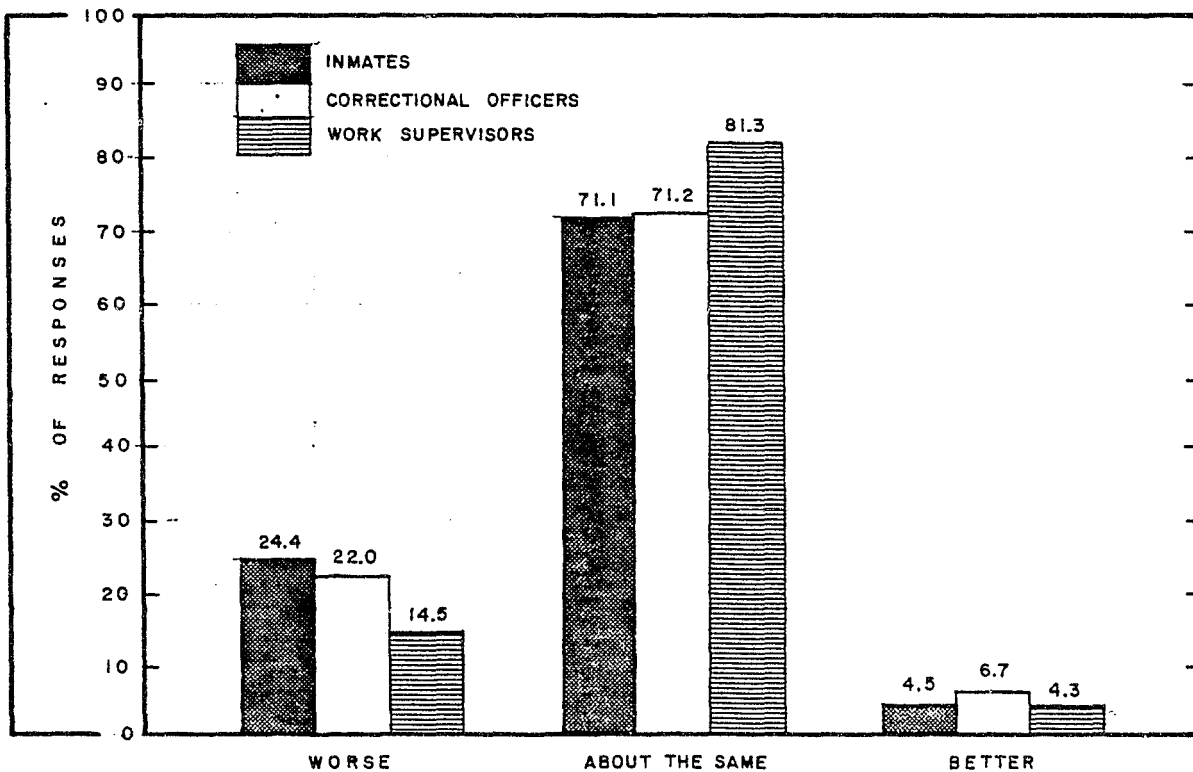


FIGURE XI-13

PERCEPTIONS OF CURRENT AMOUNT OF LIVING SPACE

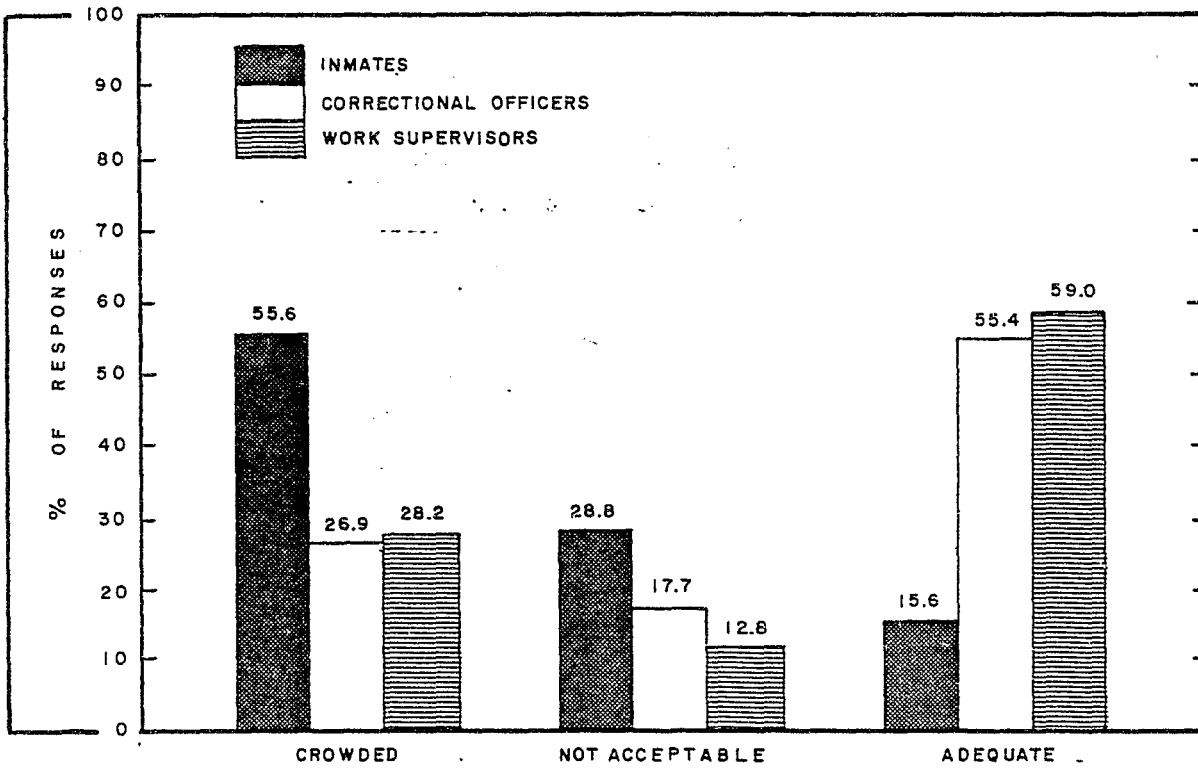


FIGURE XI-14

PERCEPTIONS OF LIVING SPACE COMPARED TO LAST YEAR

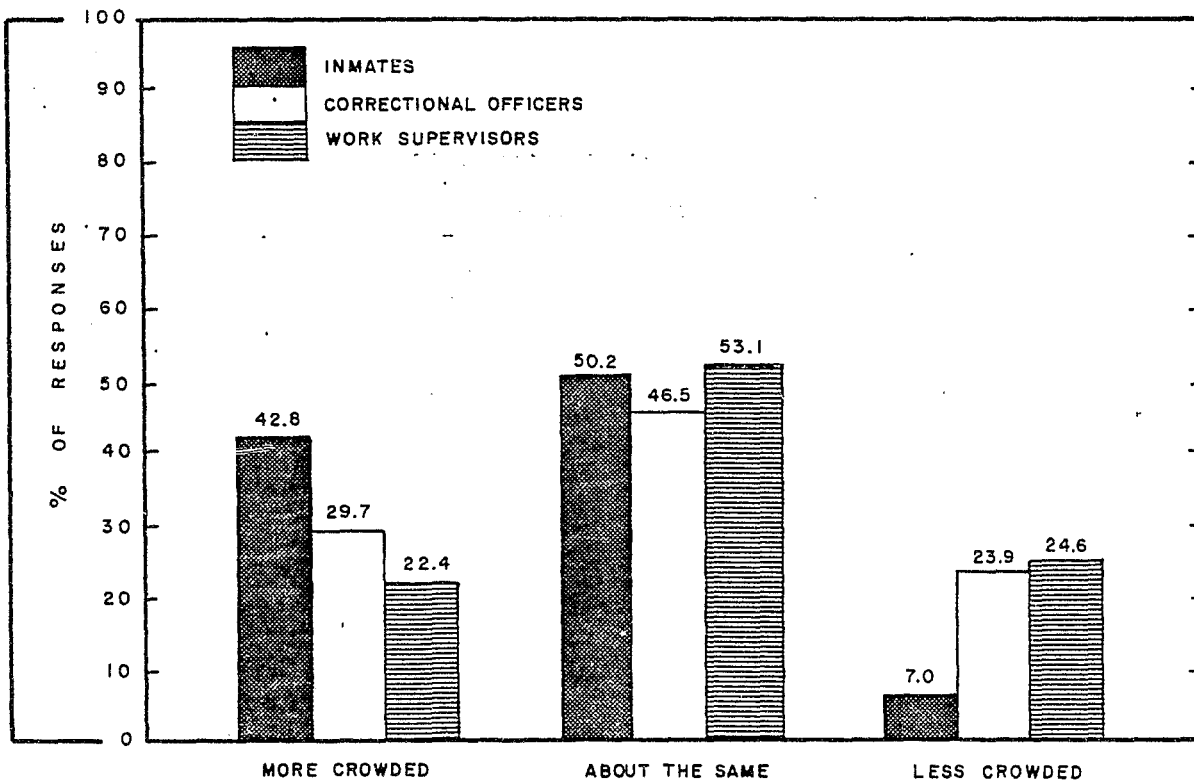


FIGURE XI-15

PERCEPTIONS OF PERSONAL SAFETY RIGHT NOW

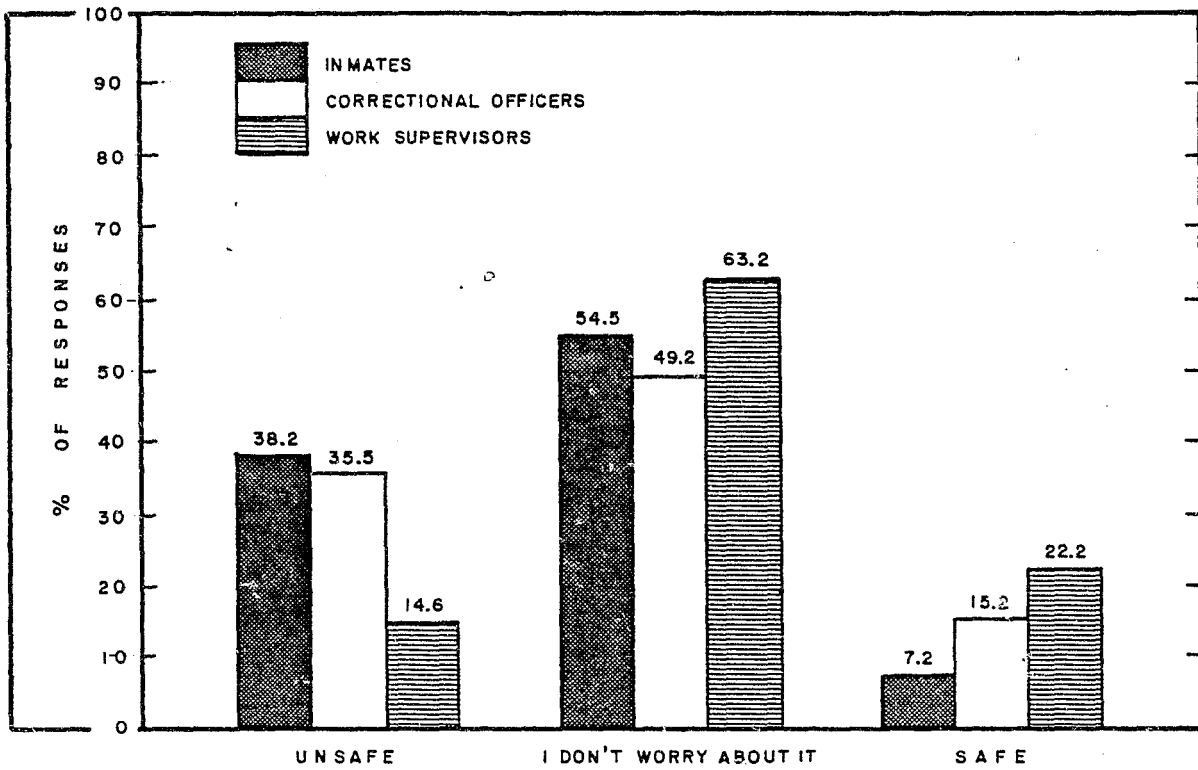


FIGURE XI-16

PERCEPTIONS OF SAFETY COMPARED TO LAST YEAR

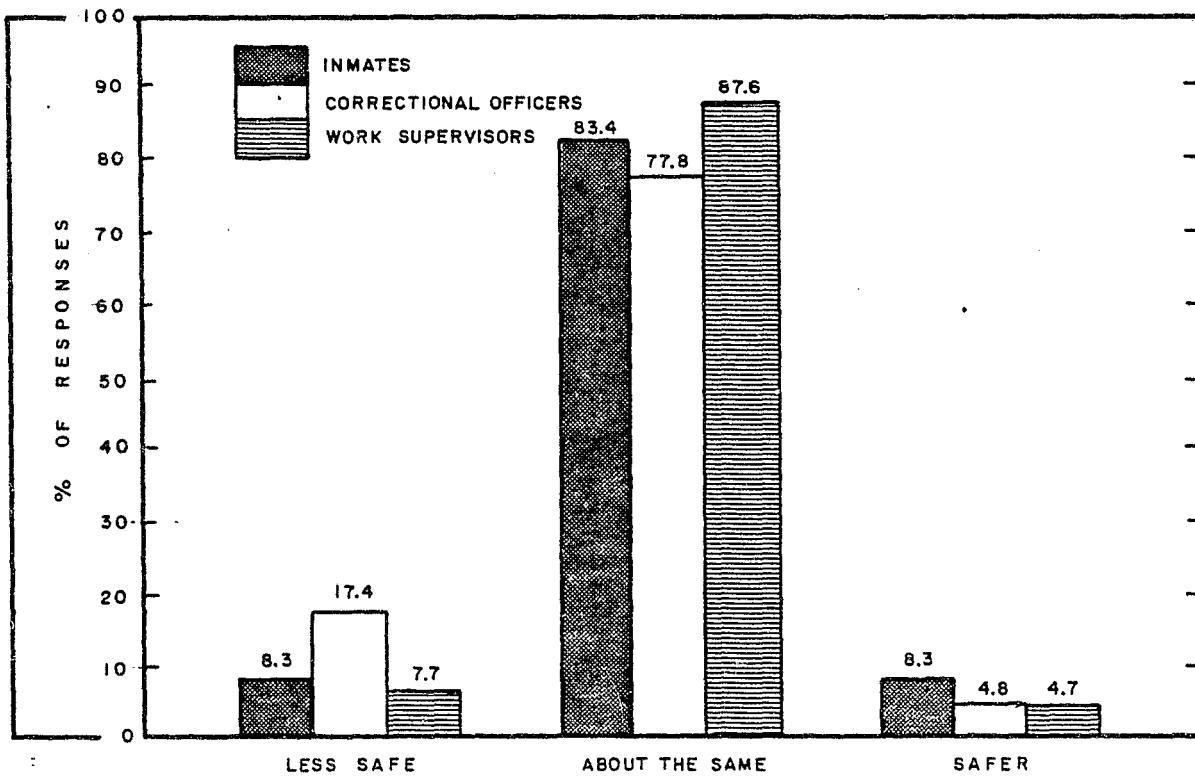


FIGURE XI-17

PERCEPTIONS OF CURRENT INMATE MORALE

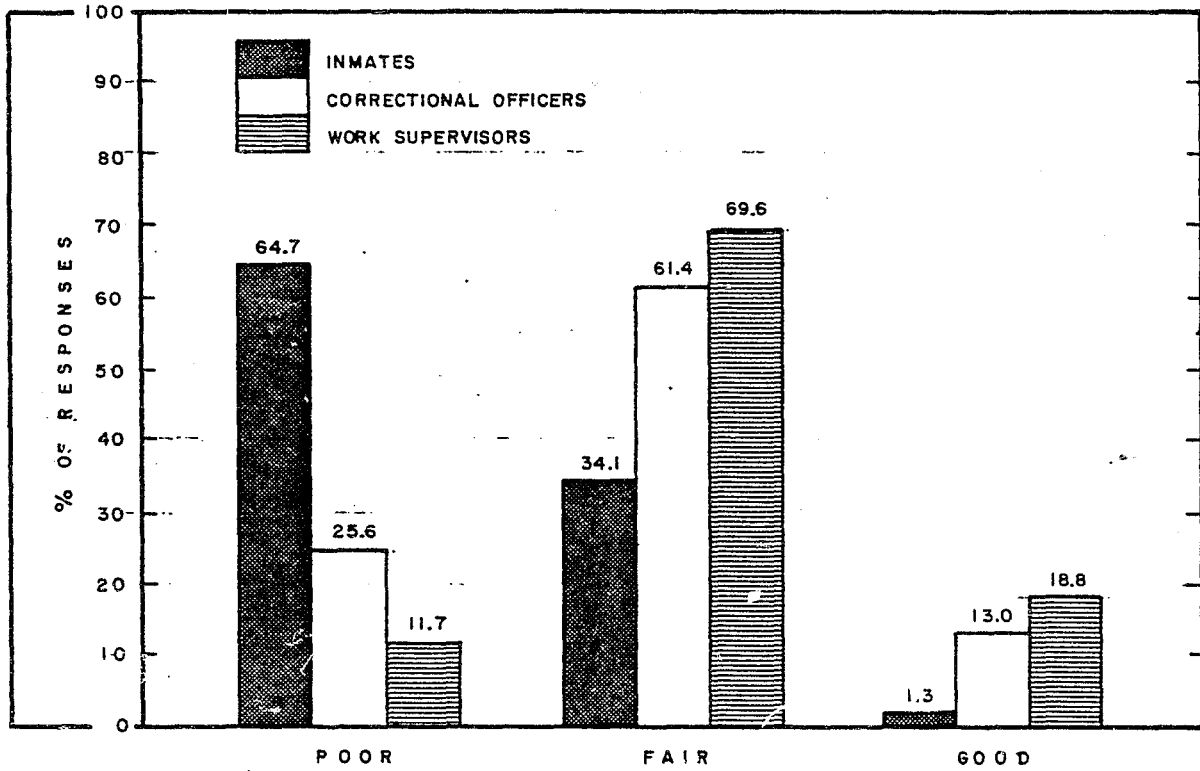


FIGURE XI-18

PERCEPTIONS OF INMATE MORALE COMPARED TO LAST YEAR

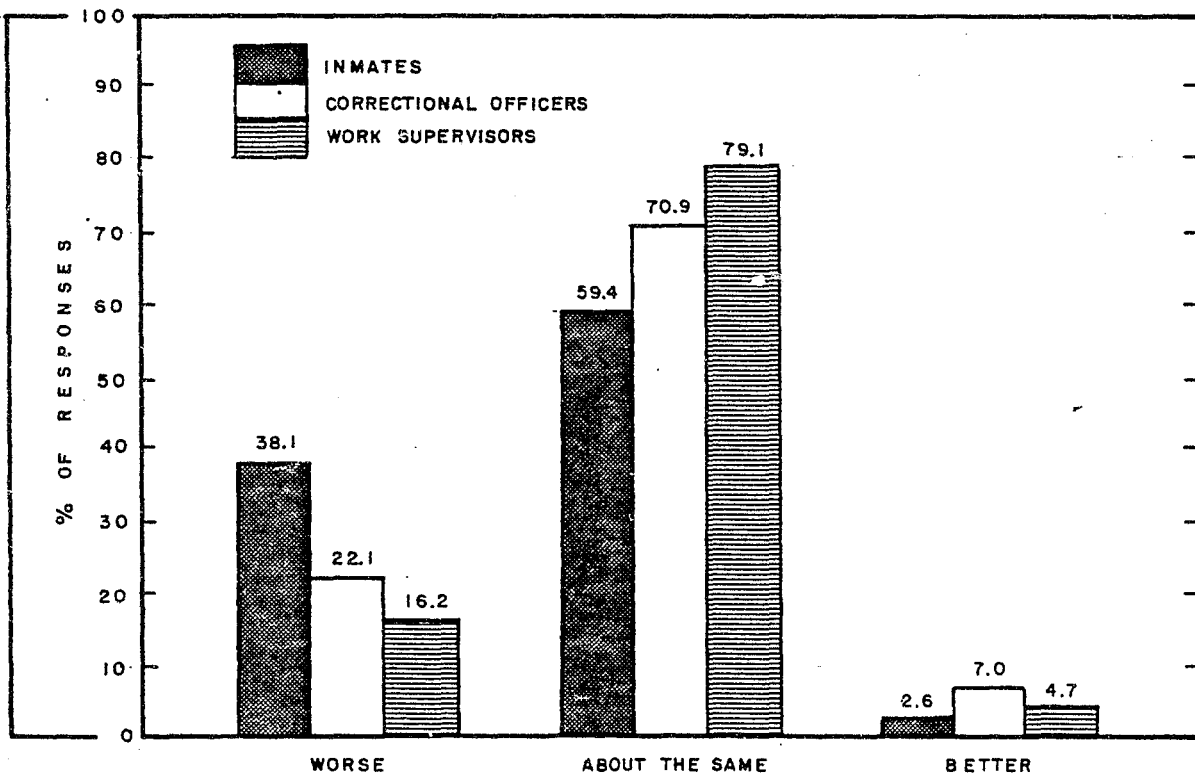


FIGURE XI-19

PERCEPTIONS OF CURRENT STAFF MORALE

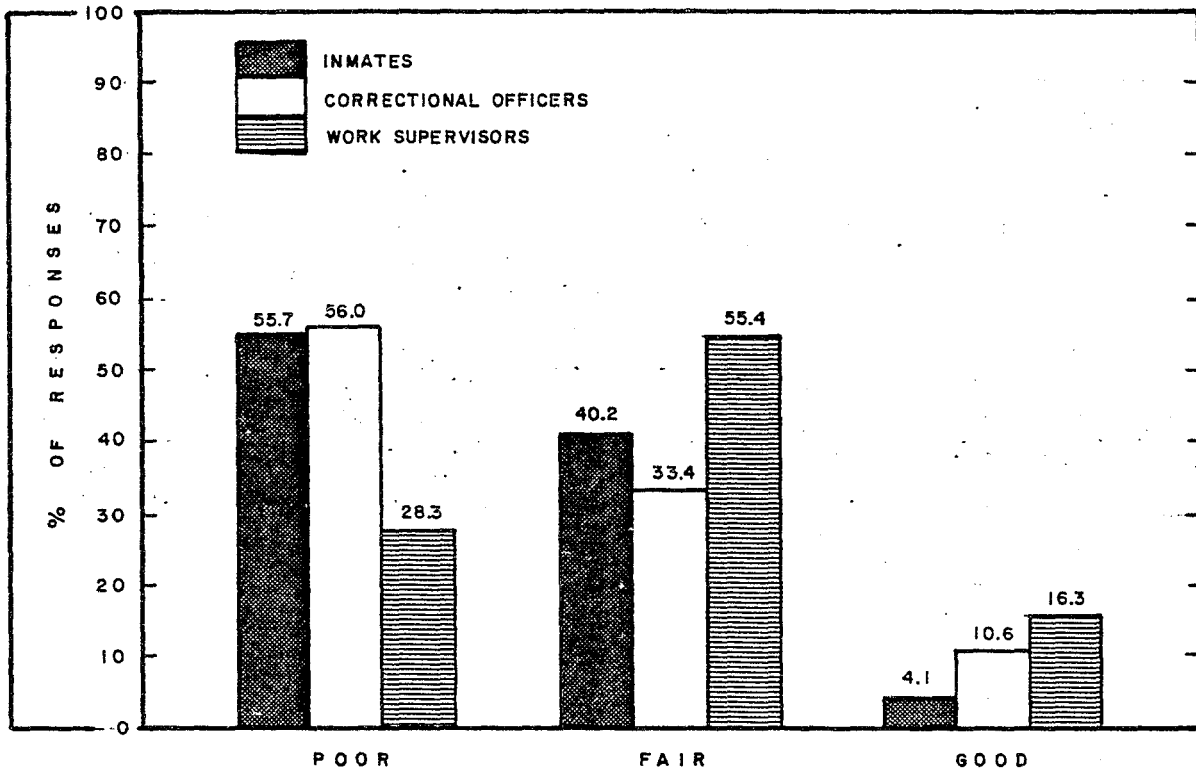


FIGURE XI-20

PERCEPTIONS OF STAFF MORALE COMPARED TO LAST YEAR

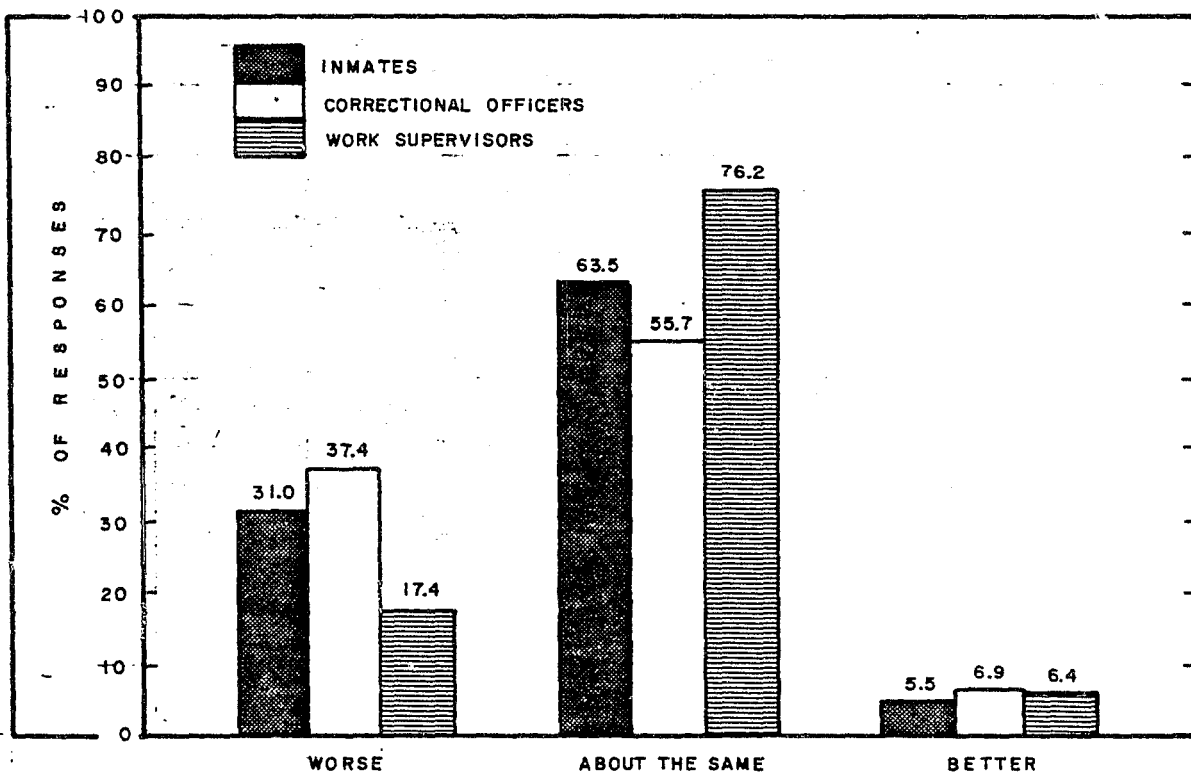


FIGURE XI-21

PERCEPTIONS OF AVAILABILITY OF INMATE PROGRAMS

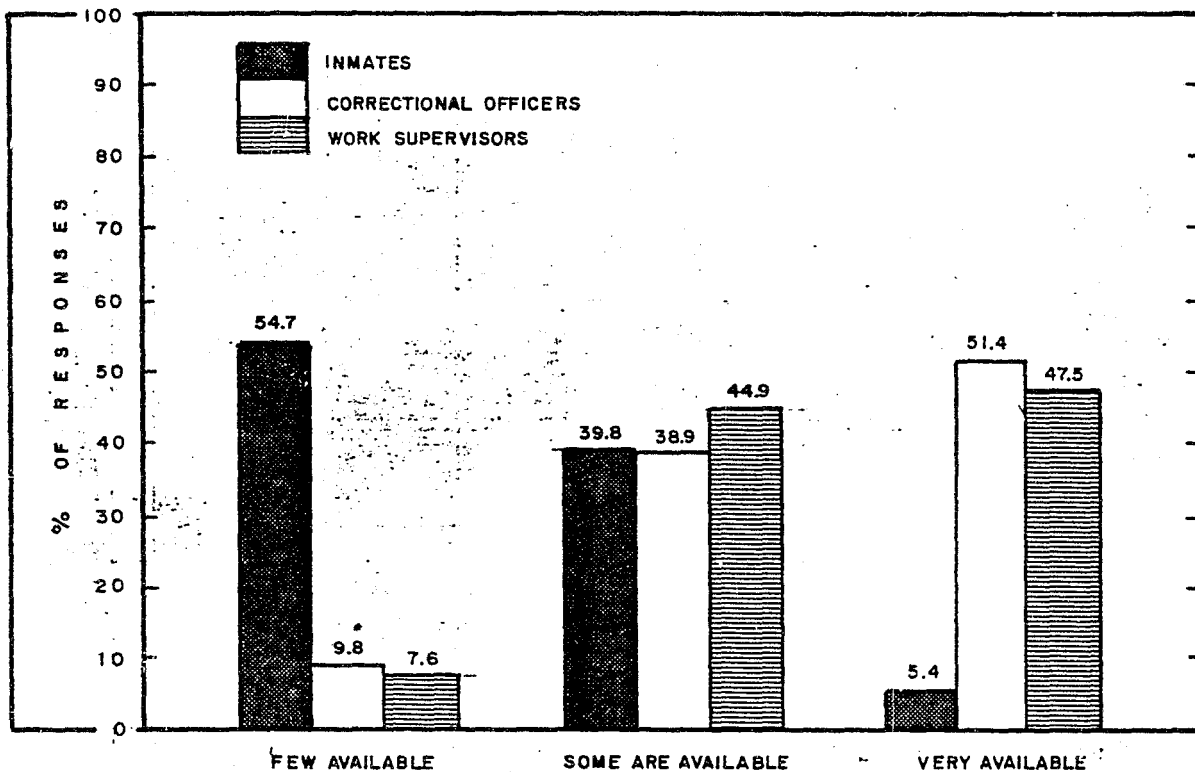


FIGURE XI-22

PERCEPTIONS OF AVAILABILITY OF INMATE PROGRAMS COMPARED TO LAST YEAR

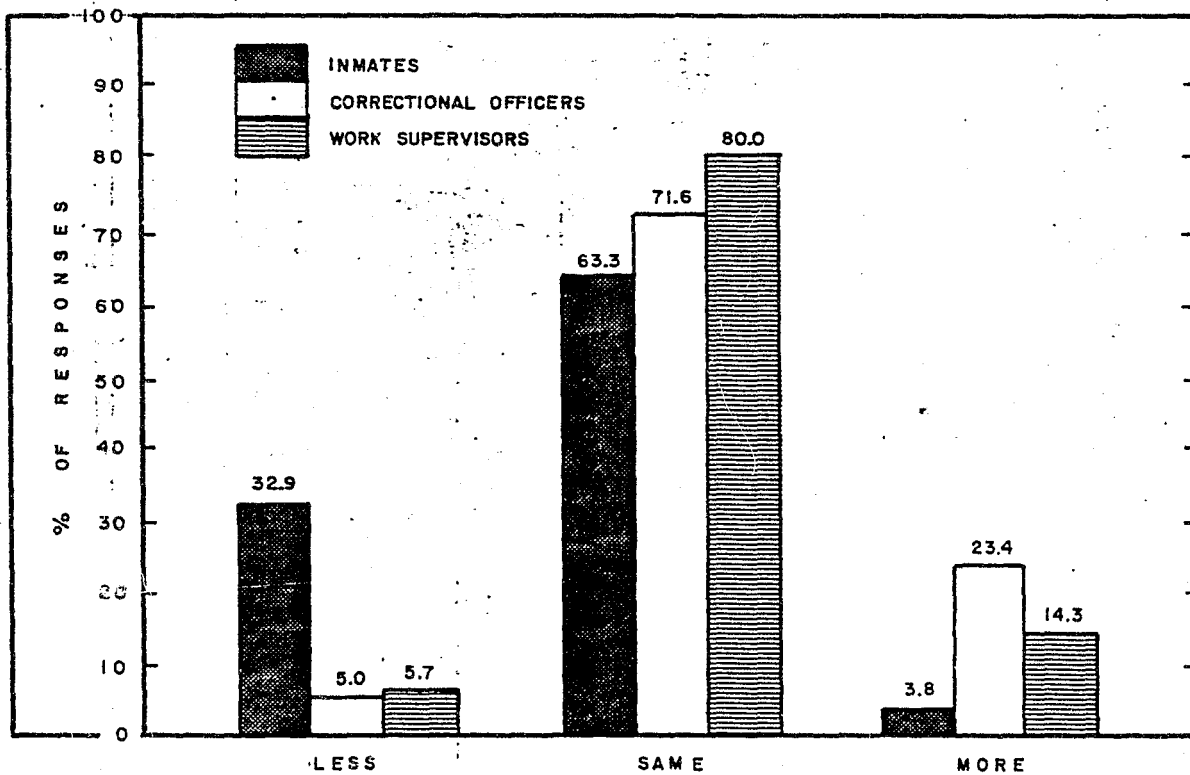


FIGURE XI-23

PERCEPTIONS OF CURRENT FREEDOM OF MOVEMENT

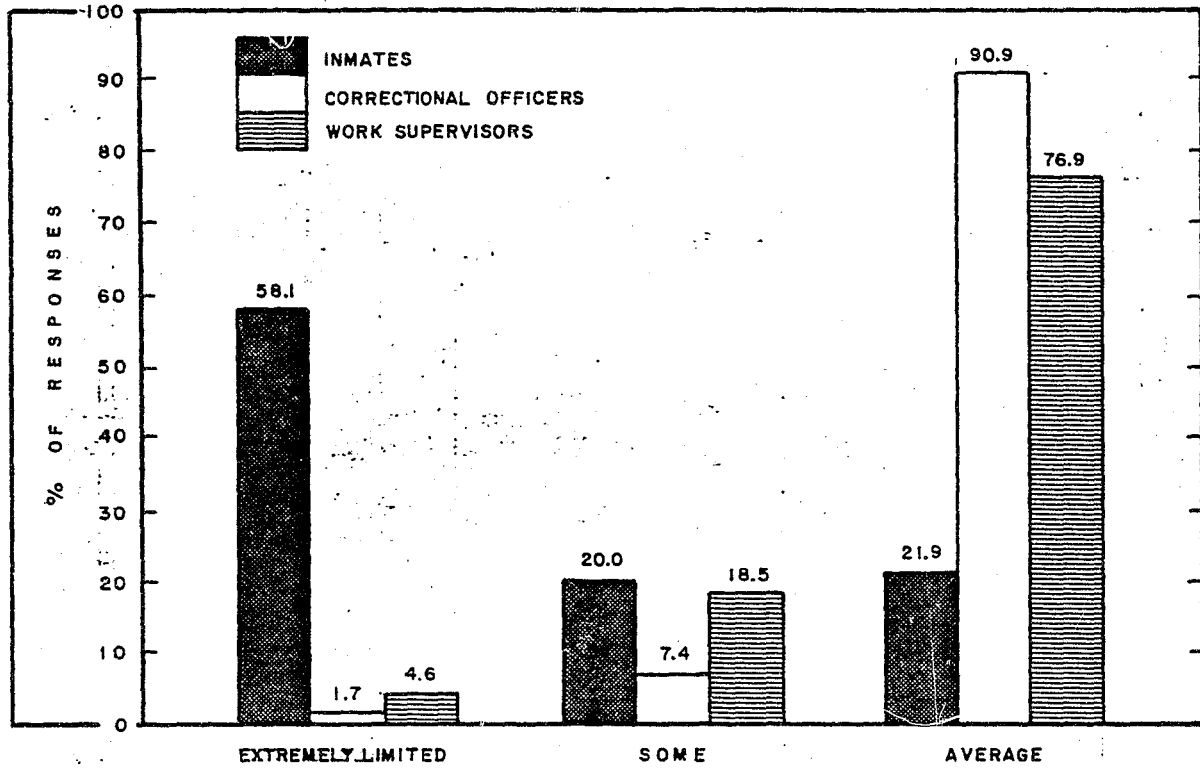


FIGURE XI-24

PERCEPTIONS OF FREEDOM OF MOVEMENT COMPARED TO LAST YEAR

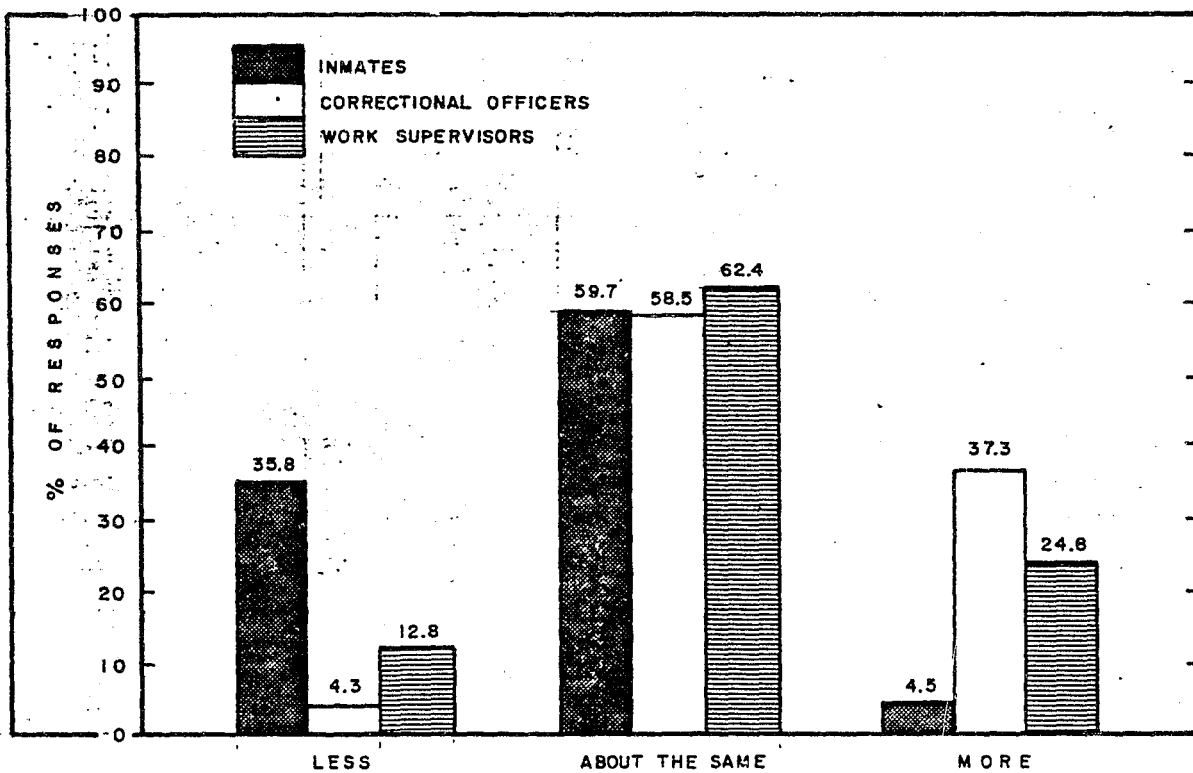


FIGURE XI-25

PERCEPTIONS OF CURRENT "QUALITY OF LIFE" FOR INMATES

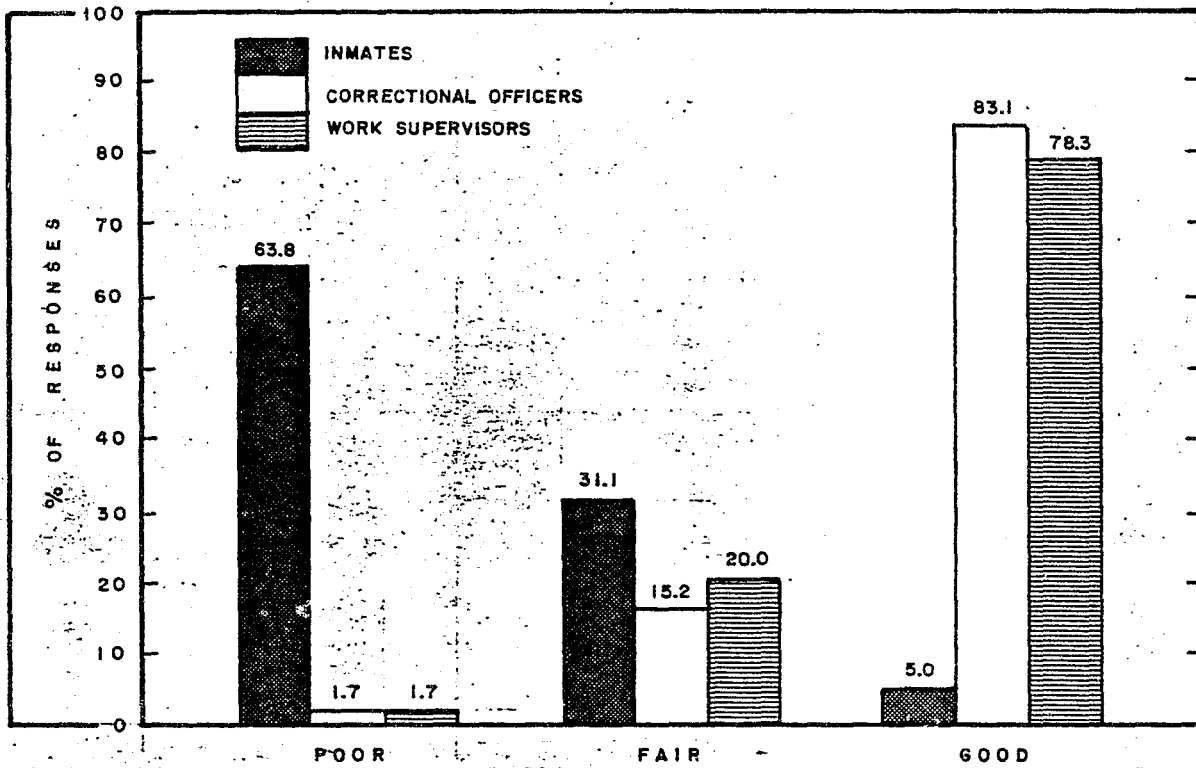


FIGURE XI-26

PERCEPTIONS OF "QUALITY OF LIFE" FOR INMATES COMPARED TO LAST YEAR

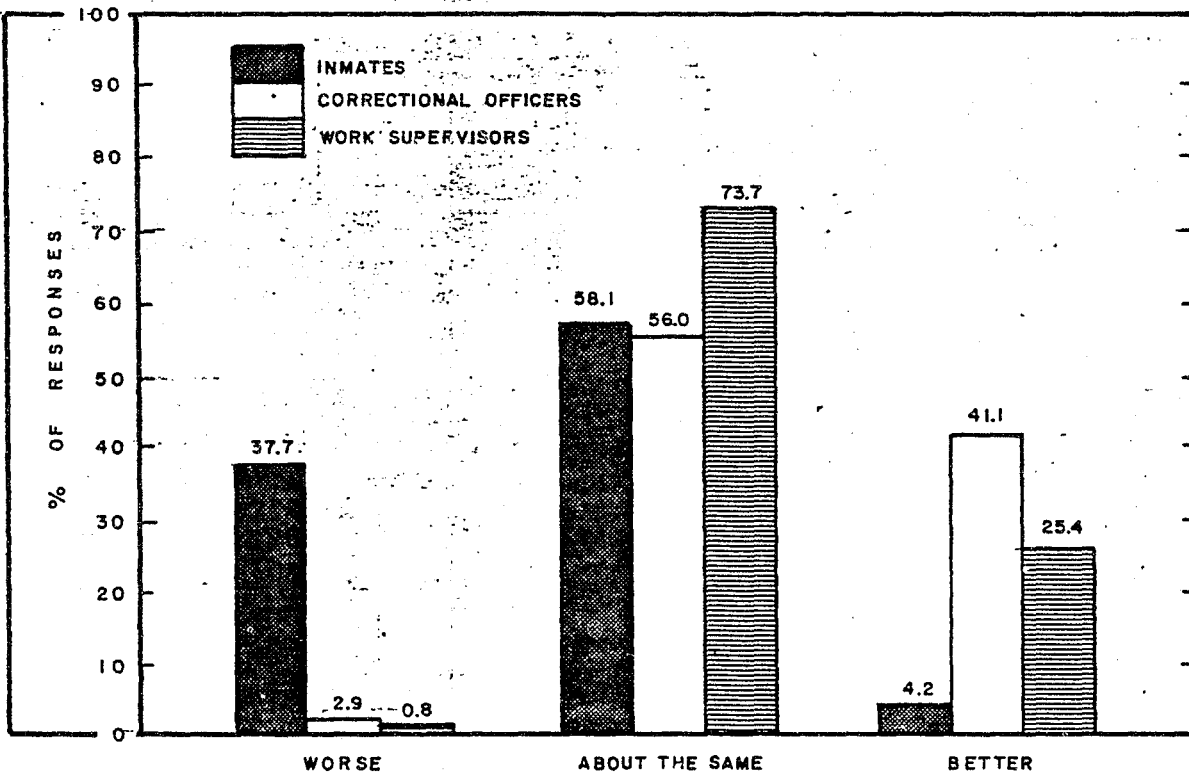


FIGURE XI-27

INMATE RESPONSES BY RACE

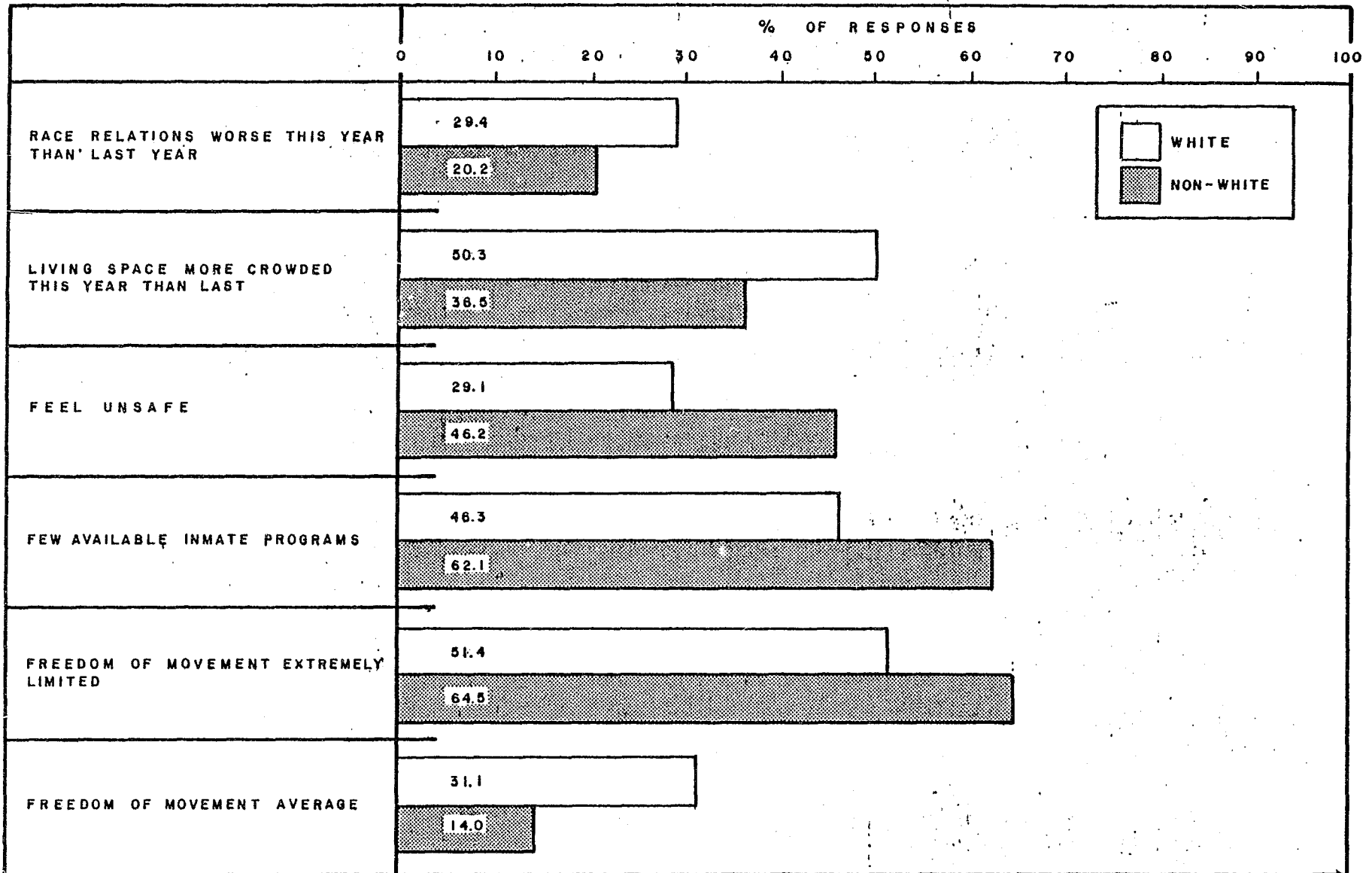
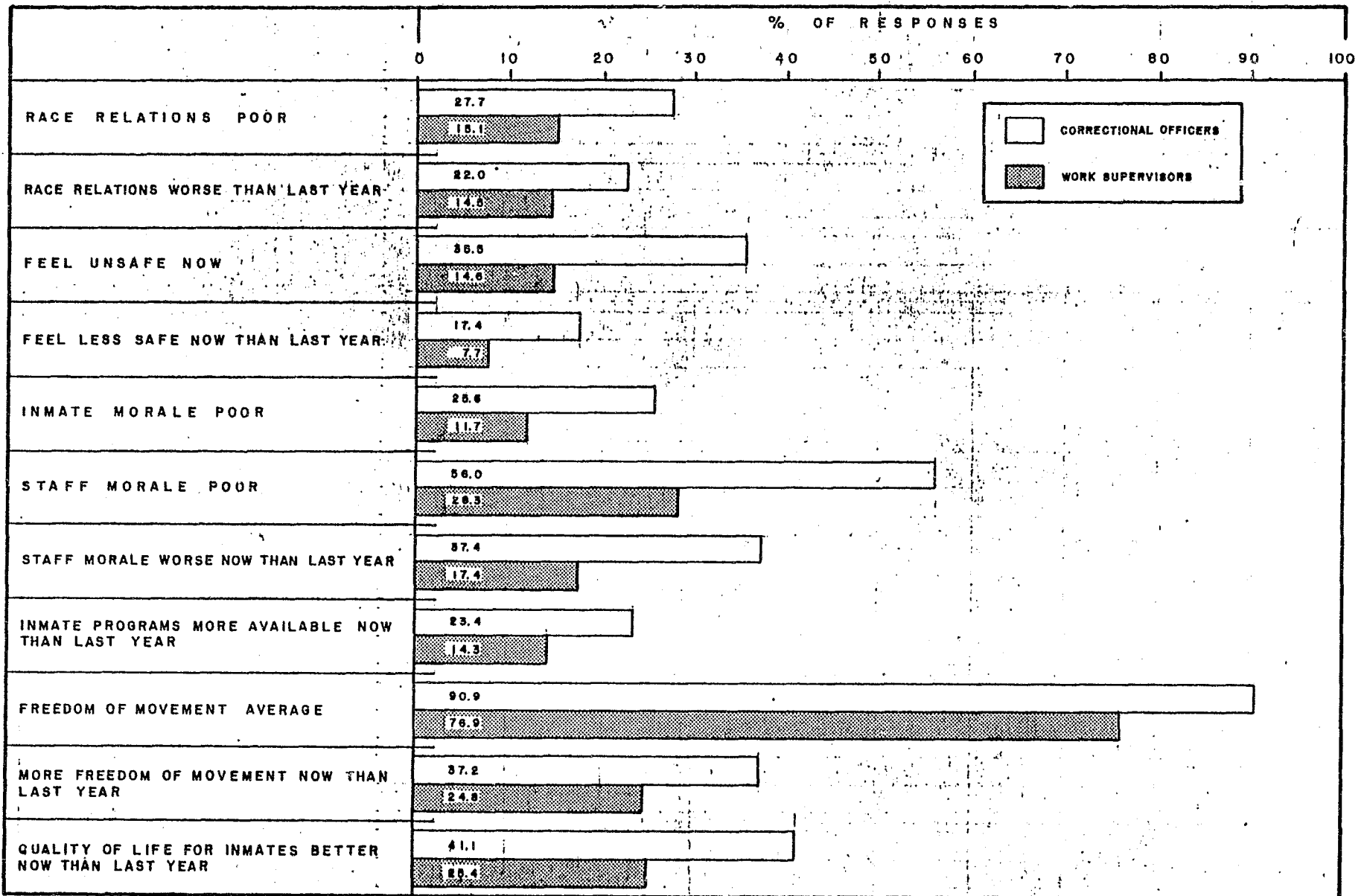


FIGURE XI-28

CORRECTIONAL OFFICER RESPONSES COMPARED TO WORK SUPERVISOR RESPONSES



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programs, freedom of movement, and quality of life significantly more negatively than their staff counterparts. These were also areas where inmates expressed greater concerns when interviewed. These areas impact both groups, but inmates view the problem through a different perceptual lens. Conditions were viewed as static. Most responses by all groups indicated that conditions were about the same now as the year before.

Figure XI-27 presents a summary of inmate responses that were answered significantly different by racial categories.

White Inmates:

- . felt race relations were getting worse
- . living space was getting more crowded
- . freedom of movement was average

Non-White Inmates:

- . felt less safe
- . thought fewer programs were available
- . felt freedom of movement was average

One of the interesting findings of the questionnaire results was the difference in perception between the correctional officers and the work supervisors. As depicted in Figure XI-28, work supervisors see a much less threatening view of inmates and the prison. The differences in responses were significant in 11 response categories. The answers are revealing since the assumption might well be that staff all harbor the same views towards morale, safety, inmate programs, and inmate demeanor. However, the results presented here do not support that view. This may be explained by the fact that they only see inmates at work; they do not deal with segregation units, cell house disturbances or other day to day unpleasant events. They see inmates who are motivated enough to seek a job and they see them at work.

INTERVIEWS

Several dozen inmates and staff members were interviewed to assess their concerns and to gather impressions about the current climate. A sampling of remarks are provided here to display areas of concern to inmates, correctional officers, and work supervisors. These responses are typical and address common themes found throughout the 7 sites.

Correctional Officers

. Racial Tension

"There will always be some racial tension because some people want it that way, the cripple with his crutch. Inmates don't really care about programs; what most want is their freedom. Morale is what got most inmates here to start with. As for feeling safe in a prison with inmates, you have to remember they were sent here for crimes of all kinds and a prison is criminals that are housed in 1 area. They think and act in the same nature as they did on the street."

"Would it do any good! I think not. Anyway I feel this institution has double standards in its treatment of staff. Black is negative and white is right. Huh!"

. Lack of Support

"It would appear that most of the tension which arises amongst staff can be attributed directly to lack of support from the prison administration, the over-zealousness of the staff to implement Judge Burns' order, and the diminishment of staff authority. It would also appear that the administration has decided to work against the Union instead of with it and the staff it represents. In a nut-shell it would appear that the administration couldn't give a shit about their fellow workers and staff."

"Administration will not back up the rules they make for inmates. The ratio of staff to inmates is too small to govern."

. Overcrowding

"Overcrowding cuts down on the activities inmates have and gives officers the feeling of less control. Inmates at this prison need more work time. They seem to just wait all day until released for recreation to release all their energy. I have never seen an inmate fired from work (8 years on the job)."

"Prisons as presently constructed and staffed are unmanageable and ineffective. The prisons of the future must be smaller, better staffed, and must have a mandate to create an environment that is conducive to change. The goal of rehabilitation must not be dismissed."

"This institution is overcrowded, understaffed. This problem creates an atmosphere of physical insecurity for the staff. In the event of a major disturbance many officers could be seriously harmed."

. Staff Morale

"The job of correctional officers stinks. It is a thankless job at best. The pay is poor and promotions are few and far between."

"Staff morale in my judgment would be greatly improved if the quality of the officers was increased instead of corrections being the dumping grounds for people who can't get a job in any other agency. I also believe that inmate violence could be lessened in a more structured environment (structured but fair). We have too many convicts with too little to do and this is what breeds violence. We need mandatory work programs or work programs such as the Texas Department of Corrections has."

"Too many line staff and they are not qualified. Prison does not reward older employees. Newer employees seem to get all the good positions and don't have to work for them."

"Since the N.Y. State corrections strike, morale has declined greatly. Problems are consistent with constant administrative harassment. An officer has little and increasingly less authority causing interaction with inmates more difficult. The quality of new incoming officers has declined due to a new retirement system requiring officers to work until they reach the age of 62 instead of the 25 years and not enjoyed by men hired before 7/76. The new retirement system known as Tier III is a poor retirement package causing quality people to seek other opportunities."

"Some of the answers I gave may seem funny, but that is the way I feel. The correctional officer is little more than a turnkey. We get treated like inmates rather than staff by the lieutenants and above. We are told we are the front line (which we are) and we rarely find out anything that is going down until it happens, and are kept in the dark about most of the operations here. We are the lowest paid group here and get the blunt of all the disciplinary action when it is a case of the foremans in industry and the officers involving an inmates' actions."

. Research in General

"Instead of wasting time on studies about inmates, why not study the problems staff have. Correctional officers are treated worse than inmates. We have fewer rights, poor working conditions, and a correctional supervisory staff that does nothing except harrass everyone except the inmates."

"Your questions are too simplistic to correctly gauge the atmosphere of the prison. If you want answers why don't you join the staff and see how it runs from the inside."

. Inmates Have Too Much Freedom

"Inmates take advantage of overcrowding conditions by violating rules, disobeying orders. Overcrowding gives inmates opportunities

and the confidence to avoid detection of illegal activities, increases sexual assaults, contraband, drugs, theft, etc."

"Inmates are being given too much freedom to sit where they want during movie period and are allowed to leave the mess hall without being properly dismissed. The administration does not seem to care for the warden which in turn reflects on the staff line - supervisors."

"Inmates have too many privileges and civil rights."

"The purpose of our duty is security and the good health of inmates and officers. The prison life could be more adequate if the inmates would change their attitudes and have more respect for each other."

General Comments

"Need many more officers per inmate. Must reduce number of inmates. Need to give a better promotion system for each unit for incentive, if nothing else, individual pay raises."

"We have a clean, well-run institution that offers many avenues of advancement for those inmates and staff who wish to avail themselves of them. Of the institutions I have visited and judging from comments of others, OSP is an outstanding leader in the field of corrections."

"Keep the federal government out of state prisons. Let the state control the prisons instead of sending money to Washington. Control it within."

"Too many carpet baggers in this service trying to advance the program that they want regardless of their worth; thereby assuring themselves of job security, regardless of costs. These people should be replaced by more front line people."

Inmates

. Racial Tension

"One major problem is the prejudice all inmates are subject to by almost all non-inmates. Additionally there is a noticeable lack of concern by most staff members. Almost all programs are not administered with proper intensity; almost too lax to be effective in most cases. Programs are unrealistic when compared to the real world, i.e., 6 hour work day for example."

"The ratio of correctional officers with a racial attitude (KKK, AKA red tee shirt gang) is very large and it makes living conditions and communicating quite difficult."

"The relationships of the "so called" races are poor and is designed and encouraged by the administration for security reasons (among other things). The only end result of this present existence, in my opinion, is an increasing disrespect for life. Unfortunate but yet true!"

"I would like to see the cops not be so negative towards the inmate. I would like to see all blacks separated from other inmates."

"I feel that the fear of the administration of racial law suits adds to the existing black favoritism in this institution which contributes to the racial tension (jealousy). Wages here could be improved and family visits would help alleviate much tension. The existing visiting system is too much of a strain on the marriage relationship."

"Conditions at this prison are bad. As long as a racist attitude exists, things will not change for the better. The only solutions I see is a segregated system, at least a realistic approach to this problem of morale."

. Poor Living Conditions

"Prison is very crowded and with this is a tension problem."

"First of all, there is a perpetual feeling of constant depression due to the limited activity. Close confinement, overcrowding, excessive use of prison personnel, and far too many gun towers which most of all creates tension because of the feeling of always being under the gun."

"Roach infested culinary. Only 48 sq. ft. of living space (cell), as opposed to the required ACA 60 sq. ft. Staff doesn't follow or adhere to the professional standards of accreditation. Staff in education are too custodial conscious. No working relationships or rapport amongst work crews, staff, teachers, etc. Mail policies here don't comply with the accreditation's standards. Students don't have adequate space or supplies."

"I think the overall conditions of this prison is degrading and immoral. Most of the officials here don't have any regard for human life and they deliberately try to make life as hard as possible for the individuals here. There is a great need for improvement."

"The food is bad, living conditions are crowded. Fewer people in the population would vastly improve conditions."

"Conditions are getting so tight that the prison has to explode. The inmates won't take much more."

. Lack of Programs

"Meaningful programs are being curtailed. Possibility of BEOG Grants for college are being eliminated. We have a new family program in existence for about 3 months, but it is only useful to 1/34 (one of 34) inmates. Night recreation has been curtailed. One half of prison out on alternate nights instead of whole place every night."

Radicals that cause trouble in other prisons are sent here and placed in population along with all the boys from state hospitals causing fear and tensions in population. The administration ignores enforcement of rules for some larger ethnic groups but enforces these same rules stringently for the others who have less outside influences to support them. There are drugs and money available in here brought in by those who have immunity from search while persons who are clean are hassled!"

"No incentive for schools or rehabilitation programs. In fact it's as though you are dared to rehabilitate. No activities to relieve tensions which lead to violence."

"Prisons in New York have mixed unstable individuals with stable and borderline's which cause tension. The desire of staff to build a large union has caused excessive problems through excessive disciplinary reports. Over the past 5 years, several beneficial inmate run programs were eliminated due to staff union pressure but the population has remained stable while staff almost doubled."

"This is not a rehabilitation system; it is a punishment system. School is at a low level as far as courses and availability. Security visits should be better than they are."

. Poor Staff Relations

"Very poor staff/inmate communications; security is the main theme. No real transitional services. Punishment just deserts direct philosophy - very conservative . . ."

"This prison could be improved a lot; if someone is qualified to run it was in charge of it."

"Problems with staff. On most parts staff tries to work with the convicts. But there are a lot of old line staff and other staff who

dislike inmates, that make life extremely difficult. This also leads to how the prison is administrated, which is better than 20 years ago, but still in the dark ages. There are those trying to revert to 20 years ago."

"Overstaffing in noncritical areas generates inefficient job performance, which in turn generates inmate hostility. Folsom is overstaffed . . . in the wrong areas. Take the excess personnel and reappropriate them to more critical areas."

"Staff morale is very poor generally. Present events have led them to feel they are not supported in their efforts. Educational opportunities are very good. Prison is overcrowded but inmates get along surprisingly well despite this."

"Prison staff has the problem of being too permissive in some areas and too quick to administer punishment in others. Too much violence due to poorly given shakedowns!"

Work Supervisors

- Too Lax

"Life in this prison is good enough that the men don't mind coming back again and again. It is in many ways easier than the streets."

"It seems that at times, times and rules are changed to improve inmate conditions without regard for safety."

"This prison is not a prison anymore, it is more of a country club."

- Safety

"The superintendent at this institution runs this place in such a way that I feel comfortable to work here without being harmed."

. Lack of Minorities

"More of an effort should be made to recruit minority employees. The imbalance is unbelievable. Please investigate how very few minorities are in a supervisory capacity."

. Morale

"Morale at this institution is at a very low level. I feel safer with inmates than with fellow employees. Someone needs a rude awakening at the top level to see what is happening at this institution."

"I wish I could retire tomorrow, 4½ more years seems doubtful to me."

. Lack of Programs

"I think that more vocational trade courses such as plumbing, heating, electrical, and cooking should be taught by qualified instructors."

"More program activities, school training - more sports all day."

"Results of research (of the climate) of the institution I feel depends mostly on ones reactions based on ones job. Being in education I see many positive aspects that is on people involved in education. Were I not in education and dealing more with cell hall living, I probably would see the climate somewhat differently, so in answering some questions I feel my knowledge of the question content is limited and find some questions not varied enough in answer choices and therefore difficult to answer."

"Although good work and school programs are provided, the availability is limited due to the lack of latitude given to supervisors for the removal of uninterested or uncooperative inmates from these programs. Removal of these inmates would not only provide more openings for interested inmates but would greatly improve inmate

morale. Less time would be spent supervising these problem inmates and more time would be made available for more extensive training in the related field. This would serve a dual purpose of more productivity, and better trained and equipped inmates to return to society upon their release."

CONCLUSIONS

Several key points need to be highlighted in order to assess what impact staffing levels had on performance and climate in the 7 research sites. The results were far from clear. This is a natural consequence of the nature of the question. The question as posed by the request for proposal was far too ambitious. It was naive to think that variance in an organization as complex as a maximum security prison could be explained by 1 variable: staffing patterns. The 1967 Presidents Commission report recognized this fact when it reported "the desirable ratio depends upon the institution program and type of inmates." The conventional wisdom of the 1960's is still valid today. Very little evidence was found to support the idea that more staff impact the safety or the climate of an institution. While virtually everyone interviewed listed lack of staff as the major problem, the data revealed that increases in staff outpaced increases in the number of inmates in 4 of the 7 sites. The security force ratios improved in 5 of the 7 sites, but correctional officers harkened back to the good old days when inmate counts were lower.

Overcrowding was a major problem. The taxing of a facility due to rapid growth is debilitating. Security and program staffs may grow but support facilities such as health services, the laundry, food service, the canteen, and recreation, are bound by time and space constraints. The simple addition of a few staff members cannot deal with these problems. The noise level and lack of personal space create tensions that exacerbates the lack of support services. In the reviews of successful programs in juvenile settings, the method of increasing staff to inmate contact was to reduce population. It is difficult to assess whether the change came about due to increased staff contact or reduced stress and tension due to a reduction in inmate numbers.

Lewisburg offered a unique opportunity to address this proposition. The inmate count declined by 22.9 percent and the staff stayed relatively constant. However, the severity of the population shifted due to changes in the Federal Bureau of Prisons policy and the influx of troublesome state prisoners. Therefore, it is difficult to assess the changes in climate and safety.

Safety concerns were high in all 7 sites; however, the level of concern was not linked to observable behavior. Somers staff were the most fearful, but they enjoyed the best staff to inmate ratio and had been exposed to very little violence. Stillwater, on the other hand, had experienced a great deal of recent violence, but the staff and inmate fears were below the average for the 7 sites.

One of the primary pushes for more staff came from the union. These demands were based on a common rhetoric that was evident at all sites except Ellis. The rhetoric had no empirical referent, but was usually based upon anecdotal incidents. This rhetoric must be confronted or the price for additional staff will become unbearable. Management was equally guilty of seeing all problems as staff shortage based.

The typical response to a negative incident was to try and plug the hole after the incident. The major focus was a return to a control orientation -- when an incident occurs in the dining hall, new staff are added there. The next incident happens in industries and security is beefed up there; the next in the gym. The response is the same and so on. The result is a shifting base of problems chased by additional staffing. This is a costly solution since the staff either come from other areas, often programmatic ones, or from overtime, or a new position is established. Each of these options rob the system of precious resources.

The search for "one best way" is futile. Each situation must be addressed on its own merits. There are no ideal staffing patterns. This quest for a normative set of instructions is futile; it is the correctional

administrations equivalent of the search for the Holy Grail. Common sense dictates that each prison has some acceptable range of staffing with a barebones complement on one end and a redundancy of positions on the other. Benton's work and the Federal Bureau's staffing guide are useful tools in establishing these limits. However, that middle range is broad and the skillful manager will manipulate resources to fit current needs. Ellis was the only unit of the 7 studied that approached the extreme; the others were clearly in the middle range.

APPENDICES

APPENDIX A
INMATE/STAFF RATIO FORMULAS

INMATE/STAFF RATIO FORMULAS

<u>RATIO</u>	<u>FORMULA</u>
Total Staff to Total Inmates	All authorized institutional staff positions as of July 1 adjusted for special functions divided by average number of inmates or inmate population on July 1, adjusted for special functions.
Total Non-Contact Security Staff to Total Inmates	All authorized non-contact security staff positions (perimeter, control posts, towers, etc.) as of July 1, adjusted for special functions divided by average number of estimates or inmate population on July 1, adjusted for special functions.
Total Contact Security Staff to Total Inmates	All authorized contact security staff positions (cellblock, work area, mess hall, etc.) as of July 1, adjusted for special function divided by average number of inmates or inmate population on July 1, adjusted for special functions.
Total Production/Maintenance Staff to Total Inmates	All authorized production/maintenance staff positions (industries, maintenance, support services, etc.) as of July 1, adjusted for special functions divided by average number of inmates or inmate population on July 1, adjusted for special functions.
Total Program staff to Total Inmates	All authorized treatment staff positions (mental health, education, vocational, etc.) as of July 1, adjusted for special function divided by average number of inmates or inmate population on July 1, adjusted for special functions.

*All positions are adjusted to FTE

APPENDIX B
INMATE/STAFF RATIOS

INMATE/STAFF RATIOS

1976

	<u>Folsom</u>	<u>Stillwater</u>	<u>Somers</u>	<u>Auburn</u>	<u>Texas</u>	<u>Oregon</u>	<u>Lewisburg</u>
Total Staff/Inmate	1:3.10	1:2.51	1:1.88(L)	1:2.60	1:8.83(H)	1:3.10	1:3.35
Security Staff/Inmate	1:5.43	1:4.27	1:3.06(L)	1:4.21	1:12.13(H)	1:6.87	1:7.44
Contact Security Staff/ Inmate	1:7.72	1:5.49	1:3.79(L)	1:5.07	1:16.34(H)	1:10.20	1:10.09
Noncontact Security Staff/Inmate	1:18.30	1:19.27	1:16.09(L)	1:24.88	1:47.07(H)	1:21.02	1:28.30
Production-Work Staff/ Inmate	1:22.63	1:14.67(L)	1:15.59	1:23.29	1:63.77(H)	1:16.91	1:20.03
Program Staff/Inmate	1:27.61	1:18.55	1:16.09(L)	1:17.48	1:104.05(H)	1:15.58	1:13.02

1977

Total Staff/Inmate	1:3.37	1:2.38	1:1.80(L)	1:2.57	1:9.36(H)	1:3.09	1:3.52
Security Staff/Inmate	1:5.84	1:3.97	1:2.98(L)	1:4.16	1:13.14(H)	1:6.94	1:8.07
Contact Security Staff/ Inmate	1:8.28	1:4.98	1:3.71(L)	1:4.99	1:17.99(H)	1:10.30	1:10.98
Noncontact Security Staff/Inmate	1:19.90	1:19.62	1:15.31(L)	1:24.89	1:48.83(H)	1:21.24	1:30.54
Production-Work Staff/ Inmate	1:24.60	1:14.72	1:14.59(L)	1:28.14	1:64.09(H)	1:17.09	1:18.99
Program Staff/Inmate	1:30.02	1:17.88	1:13.94(L)	1:16.59	1:102.55(H)	1:14.31	1:14.05

INMATE/STAFF RATIOS (Cont'd)

1978

	<u>Folsom</u>	<u>Stillwater</u>	<u>Somers</u>	<u>Auburn</u>	<u>Texas</u>	<u>Oregon</u>	<u>Lewisburg</u>
Total Staff/Inmate	1:2.95	1:2.26	1:1.71(L)	1:2.55	1:10.73(H)	1:3.13	1:3.33
Security Staff/Inmate	1:5.11	1:3.77	1:2.90(L)	1:4.03	1:15.40(H)	1:6.89	1:7.69
Contact Security Staff/ Inmate	1:7.22	1:4.72	1:3.61(L)	1:4.88	1:21.46(H)	1:10.43	1:10.47
Noncontact Security Staff/Inmate	1:17.52	1:18.62	1:14.75(L)	1:23.20	1:54.67(H)	1:22.09	1:28.91
Production-Work Staff/ Inmate	1:21.96	1:13.97	1:13.43(L)	1:24.26	1:69.58(H)	1:16.76	1:17.97
Program Staff/Inmate	1:26.42	1:16.96	1:11.53(L)	1:17.99	1:120.84(H)	1:14.29	1:13.17

1979

Total Staff/Inmate	1:3.17	1:2.45	1:1.95 (L)	1:2.53	1:10.63(H)	1:3.07	1:2.88
Security Staff/Inmate	1:5.31	1:4.15	1:3.22 (L)	1:3.95	1:15.52(H)	1:6.61	1:6.61
Contact Security Staff/ Inmate	1:7.37	1:5.19	1:4.00 (L)	1:4.76	1:21.09(H)	1:10.54	1:9.01
Noncontact Security Staff/Inmate	1:18.97	1:20.58	1:16.59(L)	1:23.32	1:58.73(H)	1:21.83	1:24.87
Production-Work Staff/ Inmate	1:24.11	1:15.21	1:15.56(L)	1:24.37	1:68.53(H)	1:16.56	1:15.46
Program Staff/Inmate	1:28.61	1:17.21	1:12.97(L)	1:17.88	1:123.35(H)	1:14.13	1:11.33

INMATE/STAFF RATIOS (Cont'd)

	<u>1980</u>						
	<u>Folsom</u>	<u>Stillwater</u>	<u>Somers</u>	<u>Auburn</u>	<u>Texas</u>	<u>Oregon</u>	<u>Lewisburg</u>
Total Staff/Inmate	1:3.04	1:2.53	1:2.15 (L)	1:2.39	1:10.41 (H)	1:2.92	1:2.67
Security Staff/Inmate	1:4.90	1:4.28	1:3.55 (L)	1:3.78	1:16.00 (H)	1:5.95	1:6.12
Contact Security Staff/ Inmate	1:6.60	1:5.36	1:4.38 (L)	1:4.52	1:21.33 (H)	1:8.10	1:8.34
Noncontact Security Staff/Inmate	1:19.05	1:21.21	1:18.61(L)	1:23.17	1:64.00 (H)	1:22.45	1:23.02
Production-Work Staff/ Inmate	1:24.22	1:15.68	1:17.20(L)	1:22.80	1:76.80 (H)	1:15.43	1:14.31
Program Staff/Inmate	1:28.74	1:17.74	1:14.01(L)	1:16.29	1:107.52(H)	1:13.98	1:10.28

APPENDIX C
PERFORMANCE INDICATOR FORMULAS

<u>INDICATOR</u>	<u>FORMULA</u>
Public Safety	
<ul style="list-style-type: none"> ● Escape Rate 	The number of escapees beyond the perimeter divided by the average number of inmates (or population on July 1) multiplied by 1,000.
Internal Safety	
<ul style="list-style-type: none"> ● Inmate Assault Rate 	The number of reported assaults on inmates divided by the average number of inmates (or population on July 1) multiplied by 1,000.
<ul style="list-style-type: none"> ● Staff Assault Rate 	The number of reported assaults on staff by inmates divided by the number of authorized staff positions (July 1) multiplied by 1,000.
<ul style="list-style-type: none"> ● Inmate Homicide Rate 	The number of reported inmate homicides divided by the average number of inmates (or population on July 1) multiplied by 1,000.
<ul style="list-style-type: none"> ● Staff Homicide Rate 	The number of reported staff homicides divided by the number of authorized staff positions (July 1) multiplied by 1,000.
<ul style="list-style-type: none"> ● Average Percent of Inmate Population in Segregation 	The average number of inmates held in segregation divided by the average number of inmates (or population on July 1) multiplied by 100.
Idleness	
<ul style="list-style-type: none"> ● Idle 	The average number of inmates idle divided by the average number of inmates (or population on July 1) multiplied by 100.

Note: All inmate and staff counts are adjusted for special functions.

APPENDIX D
OPERATIONAL DEFINITIONS AND
FORMULAS FOR CLIMATE SCALE

MEASURE

OPERATIONALIZATION

- Density/Overcrowding
The average number of inmates divided by the rated capacity of the institution (if annual average not available use inmate count on July 1).
- Staff-Assault Rate
The number of reported assaults on staff by inmates divided by the number of authorized staff positions (July 1) multiplied by 1,000.
- Inmate-Assault Rate
The number of reported assaults on inmates divided by the average number of inmates (or number incarcerated July 1) multiplied by 1,000.
- Staff Homicide Rate
The number of reported staff homicides divided by the number of authorized positions as of July 1 multiplied by 1,000.
- Inmate Homicide Rate
The number of reported inmate homicides divided by the average number of inmates (or the inmate population on July 1) multiplied by 1,000.
- Escape Rate
The number of escapees beyond the perimeter divided by the average number of inmates (or the population on July 1) multiplied by 1,000.
- Average Percent of Inmates In Segregation
The average number of inmates held in segregation divided by the average inmate population (or inmate population on July 1) multiplied by 100.
- Inmate Suicide Rate
The number of inmate suicides divided by the average number of inmates (or inmate population on July 1) multiplied by 1,000.
- Average Number of Grievances Filed Per Inmate
Number of inmate grievances filed that receive a formal hearing divided by the average inmate population (or inmate population on July 1).

MEASURE

OPERATIONALIZATION

- Average Number of Grievances Filed Per Staff Member
Number of staff grievances filed that receive formal hearing divided by the number of authorized staff positions as of July 1.
- Average Number of Sick Leave Days Used Per Staff Per Year
Number of sick days taken divided by the number of authorized staff positions as of July 1.
- Quit Rate
Number of staff who resign divided by the number of authorized staff positions as of July 1.
- Transfer Request Rate
The number of staff requests for transfer divided by the number of authorized staff positions as of July 1.
- Percent Idle
The number of inmates idle divided by the average inmate population on July 1 multiplied by 100.
- Percent of Time in Lockdown
Number of hours inmate population is locked down divided by 24 multiplied by 100.

APPENDIX E
THE ASSESSMENT OF PRISON CLIMATE BY PRISON SITE

THE ASSESSMENT OF PRISON CLIMATE BY PRISON SITE

7. How would you describe the current relationships between members of different inmate racial groups in this prison?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Poor	31.8	(14)	27.8	(25)	12.5	(4)
Fair	65.9	(29)	64.4	(58)	71.9	(23)
Good	2.3	(1)	7.8	(7)	15.6	(5)
SOMERS, CT						
Poor	29.2	(14)	16.9	(14)	15.8	(3)
Fair	60.4	(29)	66.3	(55)	57.9	(11)
Good	10.4	(5)	16.9	(14)	26.3	(5)
ELLIS UNIT, TX						
Poor	39.6	(21)	24.7	(19)	8.3	(3)
Fair	54.7	(29)	62.3	(48)	63.9	(23)
Good	5.7	(3)	13.0	(10)	27.8	(10)
FOLSOM, CA						
Poor	52.1	(25)	62.0	(44)	20.5	(8)
Fair	39.6	(19)	35.2	(25)	71.8	(28)
Good	8.3	(4)	2.8	(2)	7.7	(3)
LEWISBURG (U.S.)						
Poor	41.7	(20)	23.1	(12)	6.7	(2)
Fair	54.2	(26)	69.2	(36)	80.0	(24)
Good	4.2	(2)	7.7	(4)	13.3	(4)
AUBURN, NY						
Poor	28.9	(11)	29.6	(34)	27.1	(13)
Fair	52.6	(20)	66.1	(76)	58.3	(28)
Good	18.4	(7)	4.3	(5)	14.6	(7)
OREGON ST. PEN.						
Poor	39.5	(15)	15.1	(16)	8.6	(3)
Fair	47.4	(18)	58.5	(62)	80.0	(28)
Good	13.2	(5)	26.4	(28)	11.4	(4)

8. How do current racial relations compare with racial relationships last year?

	<u>Inmates</u>		<u>Correctional Officers</u>		<u>Work Supervisors</u>	
	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>
STILLWATER, MN						
Worse	19.0	(8)	22.1	(19)	---	(0)
Same	71.4	(30)	67.4	(58)	96.8	(30)
Better	9.5	(4)	10.5	(9)	3.2	(1)
SOMERS, CT						
Worse	25.5	(12)	29.7	(22)	21.1	(4)
Same	68.1	(32)	67.6	(50)	68.4	(13)
Better	6.4	(3)	2.7	(2)	10.5	(2)
ELLIS UNIT, TX						
Worse	26.4	(14)	10.3	(7)	8.3	(3)
Same	68.9	(37)	83.8	(57)	83.3	(30)
Better	3.8	(2)	5.9	(4)	8.3	(3)
FOLSOM, CA						
Worse	41.7	(20)	52.1	(37)	33.3	(13)
Same	54.2	(26)	46.5	(33)	66.7	(26)
Better	4.2	(3)	1.4	(3)	---	(0)
LEWISBURG (U.S.)						
Worse	21.3	(10)	8.2	(4)	16.7	(5)
Same	78.7	(37)	85.7	(42)	76.7	(23)
Better	---	(0)	6.1	(3)	6.7	(2)
AUBURN, NY						
Worse	10.5	(4)	16.2	(18)	11.1	(5)
Same	81.6	(31)	82.9	(92)	86.7	(39)
Better	7.9	(3)	0.9	(1)	2.2	(1)
OREGON ST. PEN.						
Worse	22.2	(8)	16.3	(17)	11.4	(4)
Same	71.8	(28)	66.3	(69)	85.7	(30)
Better	---	(0)	17.3	(18)	2.9	(1)

9. How would you rate the current amount of inmate living space?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Very Crowded	59.1	(26)	14.4	(13)	26.7	(8)
Not Acceptable	18.2	(8)	18.9	(17)	6.7	(2)
Adequate	22.7	(10)	66.7	(60)	66.7	(20)
SOMERS, CT						
Very Crowded	64.6	(31)	63.9	(53)	78.9	(15)
Not Acceptable	18.8	(9)	27.7	(23)	10.5	(2)
Adequate	16.7	(8)	8.4	(7)	10.5	(2)
ELLIS UNIT, TX						
Very Crowded	75.5	(40)	50.6	(39)	66.7	(24)
Not Acceptable	20.8	(11)	14.3	(11)	19.4	(7)
Adequate	3.8	(2)	35.1	(27)	13.9	(5)
FOLSOM, CA						
Very Crowded	30.0	(15)	8.5	(6)	2.6	(1)
Not Acceptable	48.0	(24)	15.5	(11)	23.7	(9)
Adequate	22.0	(11)	76.1	(54)	73.7	(28)
LEWISBURG (U.S.)						
Very Crowded	29.2	(14)	17.3	(9)	3.4	(1)
Not Acceptable	45.8	(22)	9.6	(5)	3.4	(1)
Adequate	25.0	(12)	73.1	(38)	93.1	(27)
AUBURN, NY						
Very Crowded	68.4	(26)	31.3	(36)	27.1	(13)
Not Acceptable	28.9	(11)	25.2	(29)	12.5	(6)
Adequate	2.6	(1)	43.5	(50)	60.4	(29)
OREGON ST. PEN.						
Very Crowded	66.7	(26)	3.8	(4)	11.8	(4)
Not Acceptable	17.9	(7)	8.5	(9)	8.8	(3)
Adequate	15.4	(6)	87.7	(93)	79.4	(27)

10. How does the current amount of inmate living space compare to the amount of living space last year?

	<u>Inmates</u>		<u>Correctional Officers</u>		<u>Work Supervisors</u>	
	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>
STILLWATER, MN						
More Crowded	40.5	(17)	32.6	(28)	20.7	(6)
Same	54.8	(23)	65.1	(56)	75.9	(22)
Less Crowded	4.8	(2)	2.3	(2)	3.4	(1)
SOMERS, CT						
More Crowded	68.1	(32)	89.3	(67)	68.4	(13)
Same	23.4	(11)	8.0	(6)	21.1	(4)
Less Crowded	8.5	(4)	2.7	(2)	10.5	(2)
ELLIS UNIT, TX						
More Crowded	71.7	(38)	57.4	(39)	72.2	(26)
Same	24.5	(13)	41.2	(28)	22.2	(8)
Less Crowded	3.8	(2)	1.5	(1)	5.6	(2)
FOLSOM, CA						
More Crowded	24.5	(12)	9.9	(7)	2.6	(1)
Same	67.3	(33)	59.2	(42)	73.7	(28)
Less Crowded	8.2	(4)	31.0	(22)	23.7	(9)
LEWISBURG (U.S.)						
More Crowded	17.4	(8)	2.0	(1)	---	(0)
Same	67.4	(31)	28.6	(14)	24.1	(7)
Less Crowded	15.2	(7)	69.4	(34)	75.9	(22)
AUBURN, NY						
More Crowded	39.5	(15)	19.6	(22)	11.6	(5)
Same	60.5	(23)	78.6	(88)	88.4	(38)
Less Crowded	---	(0)	1.8	(2)	---	(0)
OREGON ST. PEN.						
More Crowded	31.6	(12)	3.8	(4)	---	(0)
Same	60.5	(23)	27.6	(29)	41.2	(14)
Less Crowded	7.9	(3)	68.6	(72)	58.8	(20)

11. How safe do you feel right now?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Unsafe	18.2	(8)	32.2	(29)	6.3	(2)
Don't Worry	72.7	(32)	53.3	(48)	65.6	(21)
Safe	9.0	(4)	14.4	(13)	28.1	(9)
SOMERS, CT						
Unsafe	37.5	(18)	55.4	(46)	5.3	(1)
Don't Worry	58.3	(28)	33.7	(28)	73.7	(14)
Safe	4.2	(2)	10.8	(9)	21.1	(4)
ELLIS UNIT, TX						
Unsafe	50.9	(27)	27.6	(21)	11.1	(4)
Don't Worry	39.6	(21)	52.6	(40)	50.0	(18)
Safe	9.4	(5)	19.7	(15)	38.9	(14)
FOLSOM, CA						
Unsafe	44.0	(22)	48.6	(34)	15.4	(6)
Don't Worry	44.0	(22)	32.9	(23)	64.1	(25)
Safe	12.0	(6)	18.6	(13)	20.5	(8)
LEWISBURG (U.S.)						
Unsafe	41.7	(20)	19.2	(10)	10.0	(3)
Don't Worry	52.1	(25)	57.7	(30)	80.0	(24)
Safe	6.3	(3)	23.1	(12)	10.0	(3)
AUBURN, NY						
Unsafe	35.1	(13)	46.1	(53)	27.1	(13)
Don't Worry	59.5	(22)	50.4	(58)	58.3	(28)
Safe	5.4	(2)	3.5	(4)	14.6	(7)
OREGON ST. PEN.						
Unsafe	35.9	(14)	16.2	(17)	17.1	(6)
Don't Worry	61.5	(24)	61.0	(64)	60.0	(21)
Safe	2.6	(1)	22.9	(24)	22.9	(8)

12. How safe did you feel last year?

	<u>Inmates</u>		<u>Correctional Officers</u>		<u>Work Supervisors</u>	
	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>
STILLWATER, MN						
Less Safe	4.8	(2)	3.5	(3)	6.5	(2)
Same	88.1	(37)	77.9	(67)	83.9	(26)
Safer	7.1	(3)	18.6	(16)	9.7	(3)
SOMERS, CT						
Less Safe	8.5	(4)	5.4	(4)	0.0	(0)
Same	78.7	(37)	59.5	(44)	84.2	(16)
Safer	12.8	(6)	35.1	(26)	15.8	(3)
ELLIS UNIT, TX						
Less Safe	3.8	(2)	16.4	(11)	13.9	(5)
Same	79.2	(42)	77.6	(52)	86.1	(31)
Safer	17.0	(9)	6.0	(4)	---	(0)
FOLSOM, CA						
Less Safe	14.6	(7)	14.1	(10)	13.2	(5)
Same	79.2	(38)	80.3	(57)	86.8	(33)
Safer	6.3	(3)	5.6	(4)	---	(0)
LEWISBURG (U.S.)						
Less Safe	2.1	(1)	8.0	(4)	---	(0)
Same	87.5	(42)	82.0	(41)	82.8	(24)
Safer	10.4	(5)	10.0	(5)	17.2	(5)
AUBURN, NY						
Less Safe	5.4	(2)	11.7	(13)	4.4	(2)
Same	86.5	(32)	83.8	(93)	93.3	(42)
Safer	8.1	(3)	4.5	(5)	2.2	(1)
OREGON ST. PEN.						
Less Safe	13.2	(5)	17.1	(18)	---	(0)
Same	86.8	(33)	81.0	(85)	91.4	(32)
Safer	---	(0)	1.9	(2)	8.6	(3)

13. How would you rate the current inmate morale in this prison?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Poor	52.3	(23)	21.1	(19)	9.1	(3)
Fair	47.7	(21)	70.0	(63)	63.6	(21)
Good	---	(0)	8.9	(8)	27.3	(9)
SOMERS, CT						
Poor	54.2	(26)	37.3	(31)	5.3	(1)
Fair	43.8	(21)	51.8	(43)	84.2	(16)
Good	2.1	(1)	10.8	(9)	10.5	(2)
ELLIS UNIT, TX						
Poor	65.4	(34)	33.8	(26)	8.3	(3)
Fair	34.6	(18)	58.4	(45)	77.8	(28)
Good	---	(0)	7.8	(6)	13.9	(5)
FOLSOM, CA						
Poor	70.0	(35)	36.6	(26)	10.3	(4)
Fair	28.0	(14)	52.1	(37)	71.8	(28)
Good	2.0	(1)	11.3	(8)	17.9	(7)
LEWISBURG (U.S.)						
Poor	78.7	(37)	17.3	(9)	16.7	(5)
Fair	19.1	(9)	71.2	(37)	76.7	(23)
Good	2.1	(1)	11.5	(6)	6.7	(2)
AUBURN, NY						
Poor	67.6	(25)	26.3	(30)	18.8	(9)
Fair	32.4	(12)	66.7	(76)	68.8	(33)
Good	---	(0)	7.0	(8)	12.5	(6)
OREGON ST. PEN.						
Poor	64.1	(25)	10.4	(11)	8.6	(3)
Fair	33.3	(13)	59.4	(63)	51.4	(18)
Good	2.6	(1)	30.2	(32)	40.0	(14)

14. How does current inmate morale compare with last year's inmate morale?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Worse	26.2	(11)	21.2	(18)	9.4	(3)
Same	73.8	(31)	72.9	(62)	90.6	(29)
Better	---	(0)	5.9	(5)	---	(0)
SOMERS, CT						
Worse	37.0	(17)	43.2	(32)	10.5	(2)
Same	60.9	(28)	55.4	(41)	84.2	(16)
Better	2.2	(1)	1.4	(1)	5.3	(1)
ELLIS UNIT, TX						
Worse	40.4	(21)	12.3	(8)	8.3	(3)
Same	59.6	(31)	87.7	(57)	88.9	(32)
Better	---	(0)	---	(0)	2.8	(1)
FOLSOM, CA						
Worse	40.8	(20)	28.2	(20)	34.2	(13)
Same	53.1	(26)	69.0	(49)	65.8	(25)
Better	6.1	(3)	2.8	(2)	---	(0)
LEWISBURG (U.S.)						
Worse	37.0	(17)	12.0	(6)	23.3	(7)
Same	56.5	(26)	76.0	(38)	66.7	(20)
Better	6.5	(3)	12.0	(6)	10.0	(3)
AUBURN, NY						
Worse	27.0	(10)	21.6	(24)	13.3	(6)
Same	70.3	(26)	75.7	(84)	80.0	(36)
Better	2.7	(1)	2.7	(3)	6.7	(3)
OREGON ST. PEN.						
Worse	57.9	(22)	15.2	(16)	11.8	(4)
Same	42.1	(16)	63.8	(67)	79.4	(27)
Better	---	(0)	21.0	(22)	8.8	(3)

15. How would you rate the current staff morale?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Poor	47.7	(21)	60.0	(54)	12.1	(4)
Fair	45.5	(20)	37.8	(34)	69.7	(23)
Good	6.8	(3)	2.2	(2)	18.2	(6)
SOMERS, CT						
Poor	55.3	(26)	56.6	(47)	26.3	(5)
Fair	42.6	(20)	33.7	(28)	63.2	(12)
Good	2.1	(1)	9.6	(8)	10.5	(2)
ELLIS UNIT, TX						
Poor	53.8	(28)	27.3	(21)	22.2	(8)
Fair	44.2	(23)	57.1	(44)	52.8	(19)
Good	1.9	(1)	15.6	(12)	25.0	(9)
FOLSOM, CA						
Poor	59.2	(29)	52.9	(37)	25.6	(10)
Fair	32.7	(16)	32.9	(23)	48.7	(19)
Good	8.2	(4)	14.3	(10)	25.6	(10)
LEWISBURG (U.S.)						
Poor	79.2	(38)	69.2	(36)	33.3	(10)
Fair	18.8	(9)	25.0	(13)	56.7	(17)
Good	2.1	(1)	5.8	(3)	10.0	(3)
AUBURN, NY						
Poor	43.2	(16)	74.8	(86)	39.6	(19)
Fair	48.6	(18)	22.6	(26)	54.2	(26)
Good	8.1	(3)	2.6	(3)	6.3	(3)
OREGON ST. PEN.						
Poor	46.2	(18)	48.1	(51)	34.3	(12)
Fair	53.8	(21)	28.3	(30)	48.6	(17)
Good	---	(0)	23.6	(25)	17.1	(6)

16. How does the current staff morale compare with staff morale last year?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Worse	11.9	(5)	41.9	(36)	9.4	(3)
Same	81.0	(34)	53.5	(46)	90.6	(29)
Better	7.1	(3)	4.7	(4)	---	(0)
SOMERS, CT						
Worse	47.8	(22)	53.9	(41)	31.6	(6)
Same	45.7	(21)	43.4	(33)	68.4	(13)
Better	6.5	(3)	2.6	(2)	---	(0)
ELLIS UNIT, TX						
Worse	23.1	(12)	21.9	(14)	11.1	(4)
Same	73.1	(38)	65.6	(42)	75.0	(27)
Better	3.8	(2)	12.5	(8)	13.9	(5)
FOLSOM, CA						
Worse	29.2	(14)	25.4	(18)	13.2	(5)
Same	68.8	(33)	67.6	(48)	68.4	(26)
Better	2.1	(1)	7.0	(5)	18.4	(7)
LEWISBURG (U.S.)						
Worse	36.2	(17)	40.0	(20)	10.0	(3)
Same	59.6	(28)	58.0	(29)	83.3	(25)
Better	4.3	(2)	2.0	(1)	6.7	(2)
AUBURN, NY						
Worse	24.3	(9)	47.7	(53)	24.4	(11)
Same	57.9	(22)	49.5	(55)	75.6	(34)
Better	16.2	(6)	2.7	(3)	---	(0)
OREGON ST. PEN.						
Worse	44.7	(17)	26.9	(28)	25.7	(9)
Same	55.3	(21)	57.7	(60)	71.4	(25)
Better	---	(0)	15.4	(16)	2.9	(1)

17. How available are inmate program activities--such as good work, clubs, school and training?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Few	27.3	(12)	8.9	(8)	6.1	(2)
Some	63.6	(28)	34.4	(31)	42.4	(14)
Very	9.1	(4)	56.7	(51)	51.5	(17)
SOMERS, CT						
Few	74.5	(35)	22.9	(19)	26.3	(5)
Some	25.5	(12)	56.6	(47)	52.6	(10)
Very	---	(0)	20.5	(17)	21.1	(4)
ELLIS UNIT, TX						
Few	69.2	(36)	8.0	(6)	8.3	(3)
Some	26.9	(14)	49.3	(37)	52.8	(19)
Very	3.8	(2)	42.7	(32)	38.9	(14)
FOLSOM, CA						
Few	66.0	(33)	21.1	(15)	18.4	(7)
Some	28.0	(14)	57.7	(41)	47.4	(18)
Very	6.0	(3)	21.1	(15)	34.2	(13)
LEWISBURG (U.S.)						
Few	57.4	(27)	1.9	(1)	---	(0)
Some	40.4	(19)	30.8	(16)	44.8	(13)
Very	2.1	(1)	67.3	(35)	55.2	(16)
AUBURN, NY						
Few	50.0	(19)	6.1	(7)	2.2	(1)
Some	39.5	(15)	32.2	(37)	45.7	(21)
Very	10.5	(4)	61.7	(71)	52.2	(24)
OREGON ST. PEN.						
Few	28.9	(11)	1.9	(2)	---	(0)
Some	63.2	(24)	19.8	(21)	31.4	(11)
Very	7.9	(3)	78.3	(83)	68.6	(24)

18. Compared to last year, how available are inmate program activities?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Less	14.3	(6)	2.3	(2)	---	(0)
Same	78.6	(33)	74.4	(64)	84.4	(27)
More	7.1	(3)	23.3	(20)	15.6	(5)
SOMERS, CT						
Less	46.8	(22)	14.5	(11)	---	(0)
Same	53.2	(25)	69.7	(53)	83.3	(15)
More	---	(0)	15.8	(12)	16.7	(3)
ELLIS UNIT, TX						
Less	23.1	(12)	---	(0)	2.8	(1)
Same	69.2	(36)	74.2	(46)	77.8	(28)
More	7.7	(4)	25.8	(16)	19.4	(7)
FOLSOM, CA						
Less	34.0	(17)	5.6	(4)	7.9	(3)
Same	66.0	(33)	90.1	(64)	86.8	(33)
More	---	(0)	4.2	(3)	5.2	(2)
LEWISBURG (U.S.)						
Less	29.8	(14)	4.0	(2)	---	(0)
Same	68.1	(32)	41.0	(41)	96.6	(28)
More	2.1	(1)	14.0	(7)	3.4	(1)
AUBURN, NY						
Less	65.8	(25)	6.3	(7)	14.3	(6)
Same	31.6	(12)	73.9	(82)	69.0	(29)
More	2.6	(1)	19.8	(22)	16.7	(7)
OREGON ST. PEN.						
Less	18.9	(7)	2.0	(2)	8.6	(3)
Same	73.0	(27)	49.0	(51)	68.6	(24)
More	8.1	(3)	49.0	(51)	22.9	(8)

19. How much freedom of movement do inmates currently have in the prison?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Extremely Limited	15.9	(7)	1.1	(1)	3.0	(1)
Some	27.3	(12)	3.3	(3)	6.1	(2)
Avg.	56.9	(25)	95.6	(86)	90.9	(30)
SOMERS, CT						
Extremely Limited	47.9	(23)	1.2	(1)	---	(0)
Some	20.8	(10)	7.3	(6)	10.5	(2)
Avg.	31.3	(15)	91.4	(75)	89.4	(17)
ELLIS UNIT, TX						
Extremely Limited	79.2	(42)	5.3	(4)	11.1	(4)
Some	13.2	(7)	10.5	(8)	19.4	(7)
Avg.	7.6	(4)	84.2	(64)	69.4	(25)
FOLSOM, CA						
Extremely Limited	64.0	(32)	4.2	(3)	5.1	(2)
Some	20.0	(10)	21.1	(15)	41.0	(16)
Avg.	16.0	(8)	74.7	(53)	53.8	(21)
LEWISBURG (U.S.)						
Extremely Limited	81.3	(39)	1.9	(1)	10.3	(3)
Some	16.7	(8)	7.7	(4)	37.9	(11)
Avg.	2.1	(1)	90.4	(47)	51.7	(15)
AUBURN, NY						
Extremely Limited	65.8	(25)	---	(0)	2.1	(1)
Some	18.4	(7)	3.5	(4)	12.5	(6)
Avg.	15.8	(6)	96.6	(111)	85.4	(41)
OREGON ST. PEN.						
Extremely Limited	46.2	(18)	---	(0)	---	(0)
Some	25.6	(10)	3.8	(4)	---	(0)
Avg.	28.2	(11)	96.3	(102)	100.0	(34)

20. Compared to last year how much freedom of movement do inmates have in this prison?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Less	23.8	(10)	1.2	(1)	6.3	(2)
Same	69.0	(29)	72.1	(62)	71.9	(23)
More	7.2	(3)	26.7	(23)	21.9	(7)
SOMERS, CT						
Less	27.7	(13)	5.3	(4)	0.0	(0)
Same	70.2	(33)	48.7	(37)	73.7	(14)
More	2.1	(1)	46.0	(35)	26.6	(5)
ELLIS UNIT, TX						
Less	22.6	(12)	1.6	(1)	5.6	(2)
Same	73.6	(39)	46.8	(29)	61.1	(22)
More	3.8	(2)	51.6	(32)	33.4	(12)
FOLSOM, CA						
Less	29.2	(14)	2.8	(2)	7.7	(3)
Same	64.6	(31)	77.5	(55)	84.6	(33)
More	6.3	(3)	19.8	(14)	7.7	(3)
LEWISBURG (U.S.)						
Less	76.6	(36)	32.0	(16)	62.1	(18)
Same	19.1	(9)	48.0	(24)	34.5	(10)
More	4.3	(2)	20.0	(10)	3.4	(1)
AUBURN, NY						
Less	47.4	(18)	---	(0)	4.4	(2)
Same	52.6	(20)	67.6	(75)	51.1	(23)
More	---	(0)	32.4	(36)	44.4	(20)
OREGON ST. PEN.						
Less	23.7	(9)	---	(0)	8.8	(3)
Same	68.4	(26)	43.8	(46)	61.8	(21)
More	7.9	(3)	56.2	(59)	29.4	(10)

21. How would you rate the overall quality of life for inmates in this prison at this time?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Poor	38.6	(17)	1.1	(1)	---	(0)
Fair	43.2	(19)	11.2	(10)	18.2	(6)
Good	18.1	(8)	87.6	(78)	81.8	(27)
SOMERS, CT						
Poor	56.3	(27)	3.6	(3)	---	(0)
Fair	35.4	(17)	19.3	(16)	21.1	(4)
Good	8.4	(4)	77.1	(64)	78.9	(15)
ELLIS UNIT, TX						
Poor	71.7	(38)	---	(0)	---	(0)
Fair	26.4	(14)	30.7	(23)	41.7	(15)
Good	1.9	(1)	69.4	(52)	58.3	(21)
FOLSOM, CA						
Poor	68.0	(34)	4.2	(3)	10.3	(4)
Fair	28.0	(14)	29.6	(21)	17.9	(7)
Good	4.0	(2)	66.2	(47)	71.8	(28)
LEWISBURG (U.S.)						
Poor	83.0	(39)	---	(0)	---	(0)
Fair	14.9	(7)	7.7	(4)	26.7	(8)
Good	2.1	(1)	92.3	(48)	73.3	(22)
AUBURN, NY						
Poor	59.5	(22)	2.6	(3)	---	(0)
Fair	40.5	(15)	9.6	(11)	10.4	(5)
Good	---	(0)	87.9	(101)	89.6	(43)
OREGON ST. PEN.						
Poor	66.7	(26)	---	(0)	---	(0)
Fair	33.3	(13)	4.7	(5)	8.6	(3)
Good	---	(0)	95.3	(101)	91.4	(32)

22. Compared to last year how would you rate the overall quality of life for inmates?

	Inmates		Correctional Officers		Work Supervisors	
	%	N	%	N	%	N
STILLWATER, MN						
Worse	16.7	(7)	1	(1)	3.1	(1)
Same	76.2	(32)	60.5	(52)	84.4	(27)
Better	7.1	(3)	38.4	(33)	12.5	(4)
SOMERS, CT						
Worse	40.4	(19)	14.7	(11)	---	(0)
Same	55.3	(26)	45.3	(34)	78.9	(15)
Better	4.3	(2)	40.0	(30)	21.1	(4)
ELLIS UNIT, TX						
Worse	35.8	(19)	---	(0)	2.8	(1)
Same	62.3	(33)	52.5	(32)	72.2	(26)
Better	1.9	(1)	47.6	(29)	25.0	(9)
FOLSOM, CA						
Worse	40.8	(20)	4.2	(3)	---	(0)
Same	53.1	(26)	70.4	(50)	89.7	(35)
Better	6.1	(3)	25.3	(18)	10.3	(4)
LEWISBURG (U.S.)						
Worse	45.7	(21)	---	(0)	---	(0)
Same	47.8	(22)	62.0	(31)	76.7	(23)
Better	6.5	(3)	38.0	(19)	23.3	(7)
AUBURN, NY						
Worse	42.1	(16)	0.9	(1)	---	(0)
Same	55.3	(21)	62.2	(69)	66.7	(30)
Better	2.6	(1)	36.9	(41)	33.4	(15)
OREGON ST. PEN.						
Worse	42.1	(16)	---	(0)	---	(0)
Same	57.9	(22)	42.9	(45)	51.4	(18)
Better	---	(0)	57.1	(60)	48.5	(17)

APPENDIX F

QUESTIONNAIRE RESPONSES - ASSESSMENT OF PRISON CLIMATE
SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES

QUESTIONNAIRE RESPONSES - ASSESSMENT OF PRISON CLIMATE

SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES

7. How would you describe the current relationships between members of different inmate racial groups in this prison?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Poor	33.1	19.7	11.6
Fair	58.5	62.7	72.1
Good	8.5	17.6	16.3
<u>Multi-Prison States</u>			
Poor	41.2	34.6	17.0
Fair	50.3	58.7	67.3
Good	8.5	6.7	15.7

9. How would you rate the current amount of inmate living space?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Very Crowded	63.4	25.1	32.5
Not Acceptable	18.3	17.6	8.4
Adequate	18.3	57.3	59.0
<u>Multi-Prison States</u>			
Very Crowded	50.3	28.6	25.9
Not Acceptable	36.0	17.8	15.2
Adequate	13.8	53.7	59.9

11. How safe do you feel right now?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Unsafe	30.5	33.1	10.5
Don't Worry	64.1	50.3	65.1
Safe	5.3	16.5	24.4

SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES (continued)

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Multi-Prison States</u>			
Unsafe	43.6	37.7	17.0
Don't Worry	47.9	48.2	62.1
Safe	8.5	14.1	20.9

13. How would you rate the current inmate morale in this prison?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Poor	56.5	21.9	8.0
Fair	42.0	60.6	63.2
Good	1.5	17.6	28.7
<u>Multi-Prison States</u>			
Poor	70.4	29.0	13.7
Fair	28.5	62.1	73.2
Good	1.1	8.9	13.1

15. How would you rate the current staff morale?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Poor	50.0	54.5	24.1
Fair	46.9	33.0	59.8
Good	3.1	12.5	16.1
<u>Multi-Prison States</u>			
Poor	59.7	57.3	30.7
Fair	35.5	33.8	52.9
Good	4.8	8.9	16.3

SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES (continued)

17. How available are inmate program activities--such as good work, clubs, school and training?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Few	45.0	10.4	8.0
Some	49.6	35.5	40.2
Very	5.4	54.1	51.7
<u>Multi-Prison States</u>			
Few	61.5	9.3	7.4
Some	33.2	41.9	47.7
Very	5.3	48.9	45.0

19. How much freedom of movement do inmates currently have in the prison?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single-Prison States</u>			
Extremely Limited	36.5	.7	1.2
Some	24.4	4.7	4.7
Average	38.9	94.6	94.2
<u>Multi-Prison States</u>			
Extremely Limited	73.0	2.5	6.6
Some	16.9	9.9	26.3
Average	10.1	87.6	67.1

21. How would you rate the overall quality of life for inmates in this prison at this time?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single-Prison States</u>			
Poor	53.4	1.4	---
Fair	37.4	11.2	14.9
Good	9.2	87.4	85.1
<u>Multi-Prison States</u>			
Poor	71.1	1.9	2.6
Fair	26.7	18.8	22.9
Good	2.1	79.2	74.5

QUESTIONNAIRE RESPONSES - ASSESSMENT OF PRISON CLIMATE

SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES

8. How do current racial relations compare with racial relationships last year?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Worse	22.4	22.0	9.4
Same	72.0	67.0	85.9
Better	5.6	11.0	4.7
<u>Multi-Prison States</u>			
Worse	25.7	21.9	17.3
Same	70.1	74.4	78.7
Better	4.3	3.7	4.0

10. How does the current amount of inmate living space compare to the amount of living space last year?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
More Crowded	48.0	37.2	23.2
Same	44.9	34.2	48.8
Less	7.1	28.6	28.0
<u>Multi-Prison States</u>			
More Crowded	39.2	23.0	21.9
Same	53.8	57.3	55.5
Less	7.0	19.7	22.6

12. How safe did you feel last year?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Less Safe	7.2	9.4	2.4
Same	85.6	74.0	87.1
Safer	7.2	16.6	10.6
<u>Multi-Prison States</u>			
Less Safe	6.5	12.7	8.1
Same	82.7	81.2	87.8
Safer	10.8	6.0	4.1

SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES (continued)

14. How does current inmate morale compare with last year's inmate morale?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Worse	39.7	25.0	10.6
Same	59.5	64.4	84.7
Better	.8	10.6	4.7
<u>Multi-Prison States</u>			
Worse	37.0	19.5	19.5
Same	59.2	76.8	75.8
Better	3.8	3.7	4.7

16. How does the current staff morale compare with staff morale last year?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Worse	34.9	39.5	20.9
Same	60.3	52.3	77.9
Better	4.8	8.3	1.2
<u>Multi-Prison States</u>			
Worse	28.3	35.5	15.4
Same	65.8	58.8	75.2
Better	6.0	5.7	9.4

18. Compared to last year, how available are inmate program activities?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Less	27.8	5.6	3.5
Same	67.5	63.2	77.6
More	4.8	31.2	18.8
<u>Multi-Prison States</u>			
Less	36.4	4.4	6.9
Same	60.4	79.3	81.4
More	3.2	16.3	11.7

SINGLE PRISON STATES COMPARED TO MULTI-PRISON STATES (continued)

20. Compared to last year how much freedom of movement do inmates have in this prison?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Less	25.2	1.9	5.9
About the Same	69.3	54.3	68.2
More	5.5	43.8	25.9
<u>Multi-Prison States</u>			
Less	43.0	6.5	16.8
About the Same	53.2	62.2	59.1
More	3.8	31.3	24.2

22. Compared to last year how would you rate the overall quality of life for inmates?

	<u>Inmates</u>	<u>Correctional Officers</u>	<u>Work Supervisors</u>
<u>Single Prison States</u>			
Worse	33.1	4.5	1.2
Same	63.0	49.2	69.8
Better	3.9	46.2	29.1
<u>Multi-Prison States</u>			
Worse	40.9	1.4	.7
Same	54.8	62.1	76.0
Better	4.3	36.5	23.3

APPENDIX G

CORRECTIONAL INDUSTRIES

- Types of Industry
- Industries Organization Features and Performance
- Inmate Assignment Practices and Benefits

TYPES OF INDUSTRIES IN SEVEN PRISONS

<u>Factories and Other Functions</u>	<u>Folsom CA</u>	<u>Somers CT</u>	<u>Stillwater MN</u>	<u>Auburn NY</u>	<u>Oregon</u>	<u>Ellis Unit TX</u>	<u>Lewisburg U.S.</u>
Storm Windows					x		
Metal Shops	x		x	x	x	x	x
Woods Shops		x		x	x	x	
License Plate	x			x	x		
Traffic Signs	x			x			
Bus Repair			x			x	
Tire Recapping			x				
Data Processing							
Mapping Service							x
Clothing		x			x	x	x
Shoes						x	
Farms-Crops			x			x	x
Livestock						x	x
Upholstery		x					
Optical Lenses		x					
Dental Prosthesis		x					

INDUSTRIES ORGANIZATIONAL FEATURES AND PERFORMANCE

FY 1980/81

<u>Fiscal 1981</u>	<u>Folsom</u>	<u>Somers</u>	<u>Stillwater</u>	<u>Auburn</u>	<u>Oregon</u>	<u>Ellis Unit</u>	<u>Lewisburg</u>
State Revolving Fund (or equivalent)	Yes	Yes	Yes	Yes	Yes	No	Yes
State General Fund Subsidy Required	Yes	Yes	Yes	Yes	Yes	No	No
Industries Under Industries Commission	Yes	No	No	Yes	No	No	Yes
No. Personnel Employed in Production	18	23	34	25	37	16	37
Annual Sales (Millions \$)	1.76	2.83	N/A	N/A	2.71	4.05	38.5
No. Inmates Assigned	353	425	340	430	350	633	435
Inmate Pay Rates (Hourly)	.18-.35	.20-.50	.26-1.01	.115-.60	12.5-375	None	6.27 Avg.

INMATE ASSIGNMENT PRACTICES AND BENEFITS

<u>Function</u>	<u>Folsom</u>	<u>Somers</u>	<u>Stillwater</u>	<u>Auburn</u>	<u>Oregon</u>	<u>Ellis Unit</u>	<u>Lewisburg</u>
<u>Typical Work Day</u>							
4 hrs. or less							
4½ hrs. - 5½ hrs.	x ¹			x			
6 hrs. - 6½ hrs.		x			x		
7 hrs. or more			x			x	x
<u>Assignment Basis</u>							
Industry Selection and Retention of Inmates		x	x				x
No. Assigned by Production Needs Only		x				x	x
No. Assigned Includes General Institution Needs	x ¹		x	x	x		
<u>Current Assignments</u>							
Underassigned At Quota	x						
Overassigned		x	x	x	x	x	x
<u>Inmate Benefits</u>							
Bonus System for Inmate Workers	Yes	Yes	Yes	Yes	No	No	Yes
Industrial Good Time Earned in Sentence Reduction	No	No	No	No	2	Yes	Yes
Inmates Earn Vacation or Sick Leave Credits	Yes	No	No	No	No	No	Yes
Inmates Earn Longevity Pay Rate Increases	No	No	No	No	No	No	No

¹Department has ordered 7½ hour workday 1/15/81 to be effective as soon as possible.

²Industrial good time (and meritorious good time) effects only sentences to discharge.

APPENDIX H

EXAMPLES OF INMATE ASSIGNMENT PLANS

- . Stillwater
- . Somers
- . Ellis Unit

INMATE ASSIGNMENTS
STILLWATER
SEPTEMBER 17, 1980

Plant Operation	174
Services	84
Minimum Security Unit	40
Education	115
Idle	149
Correctional Industries	289
Warehouse	18
Private Industries	51
Special Programs	80
Segregation	74
Health Units	24
Out Court	<u>15</u>
TOTAL	1,113

INMATE ASSIGNMENTS

SOMERS

OCTOBER 21, 1980

Barber Shop	10	Lawn	16
Chaplains Office	3	Library	8
Miscellaneous Clerks	5	Maintenance	37
Clothing Room	35	Officers Mess	5
Commissary	4	Optical	11
Construction	15	Print Shop	19
Corridor Attendant	10	Recreation	5
Dental Office	12	School Clerks	6
Drug Program	24	School Pupils	82
Appliance Repair	13	Auto School	4
Special Programs	41	Typewriter Repair	1
Furniture Shop	39	Sewage Plant	6
Garage	4	Small Engine Repair	17
G-Block Clerk	2	Stores	19
Hospital	18	Mental Health	16
I.D. Clerks	3	Upholstery	32
Incinerator	2	Utility	38
Industries Office	12	Window Washers	141
Industries Stores	6	Woodwork	13
Industries Paint	3	Yard	33
Janitors	7	Quarantine	173
Kitchen	86	Segregation	63
Laundry	24	Unassigned	37
		TOTAL	1,160

INMATE ASSIGNMENTS

ELLIS UNIT

November 20, 1980

Agriculture

Hoe Squad	704
Garden	129
Dogs/Dairy	29
Farmshop	15
Tractor Drivers	19
Hog Tenders	32
General Labor	88
Subtotal	<u>1,016</u>

Industries

Dental Lab	25
Garment Factory	79
Shoe Shop	121
Woodshop	170
Bus Barn	238
Subtotal	<u>633</u>

Construction 213

General Services

Building Services	113
Barbers	28
Laundry	78
Bath House	20
Cart Runners	10
Porters	52
Key Handlers	40
Kitchen	197
Education	
Recreation Clerks	20
Trade School	67
Subtotal	<u>625</u>

Unassigned 301

Death Row 127

TOTAL 2,915

MSP-STILLWATER
TOTAL STAFF ASSIGNED
BY WATCH

<u>1st Watch</u>	<u>Watch Totals</u>
5 - Towers	
1 - Turnkey	
27 - Housing	
10:20 p.m. - 6:20 a.m.	
33	
<u>2nd Watch</u>	
30 - Security Control	
10 - Towers	
3 - Traffic	
6 - Academic	
7 - R & O	
9 - Segregation & P.C.	
11 - B - Cell Hall	
8 - D - Cell Hall	
2 - Recreation	
16 - Industries	
3 - Health Services	
4 - Laundry	
10 - Communications	
2 - Front Desk	
6:20 a.m. - 2:20 p.m.	
121	
<u>3rd Watch</u>	
18 - Security Control	
6 - Academic	
6 - R & O	
6 - Segregation & P.C.	
12 - B - Cell Hall	
6 - D - Cell Hall	
1 - Health Services	
9 - Towers	
2:20 a.m. - 10:20 p.m.	
64	
<u>4th Watch</u>	
1 - Canteen	
2 - Front Desk	
21 - Security Control	
4 - Recreation	
12:00 a.m. - 8:00 p.m.	
28	
<u>Minimum Security Units</u>	
8	

TOTAL STAFF ASSIGNMENTS
272

254 plus relief
and O.T.

LEWISBURG
DAILY ASSIGNMENT ROSTER
SECURITY POST BY SHIFT

<u>Days</u>	<u>Number of Posts</u>
1 6:00 a.m. - 2:30 p.m.	4
2 6:30 a.m. - 3:00 o.m.	9
3 7:00 a.m. - 3:30 p.m.	1
4 7:45 a.m. - 4:15 p.m.	28
5 8:00 a.m. - 4:00 p.m.	8
6 8:30 a.m. - 5:00 p.m.	1
7 10:00 a.m. - 5:30 p.m.	<u>3</u>
	53
 <u>Evenings</u>	
1 3:00 p.m. - 11:00 p.m.	7
2 4:00 p.m. - midnight	<u>22</u>
	29
 <u>Mornings</u>	
Midnight - 8:00 a.m.	26

AUBURN
 DAILY ASSIGNMENT ROSTER
 SECURITY POST BY SHIFT

DAYS

Number of Posts

1 6:45 a.m. - 3:00 p.m.	32 regular and 23 relief
2 7:05 a.m. - 3:20 p.m.	10 regular and 9 relief
3 7:15 a.m. - 3:30 p.m.	48 regular and 33 relief
4 7:45 a.m. - 4:00 p.m.	16 regular and 8 relief
5 8:00 a.m. - 4:00 p.m.	14 regular and no relief
6 8:45 a.m. - 5:00 p.m.	18 regular and 9 relief
7 9:45 a.m. - 6:00 p.m.	3 regular and 2 relief
8 12:45 a.m. - 9:00 p.m.	<u>41</u> regular and <u>16</u> relief
	182 99

Evenings

1 1:00 p.m. - 9:00 p.m.	2 regular and 1 relief
2 2:45 p.m. - 11:00 p.m.	24 regular and 11 relief
3 3:15 p.m. - 11:15 p.m.	1 regular
4 4:00 p.m. - 12:00 p.m.	<u>1</u> regular and <u>1</u> relief
	28 13

Nights

1 10:45 p.m. - 7:00 a.m.	23 regular and 11 relief
2 11:15 p.m. - 7:30 a.m.	1 regular and .5 relief
3 12 midnight - 8:00 a.m.	<u>1</u> regular and <u>.5</u> relief
	25 12

APPENDIX I

EXAMPLE STAFF BUDGET: FOLSOM STATE PRISON FY 1981

STAFFING SUMMARY - DETAIL
 FOLSOM STATE PRISON FY 1981
 CALIFORNIA DEPARTMENT OF CORRECTIONS^{1/}

<u>Classification</u>	<u>No. Positions</u>	<u>Salary Range</u>	<u>Salary Totals</u>
<u>Administration</u>			
Warden (exempt)	1	3,065-3,707	\$ 44,848
Assoc. Warden - Custody*	1	2,253-2,992	35,904
Business Manager	1	2,362-2,853	34,326
Assoc. Warden - Classification & Trmt.*	1	2,253-2,992	35,904
Assoc. Warden - Administration*	1	2,253-2,992	35,904
TOTAL ADMINISTRATION	5		\$ 186,886
<u>Security</u>			
Program Administrator	1	2,253-2,723	32,676
Captain	1	2,101-2,537	30,444
Lieutenant	14	1,743-2,101	352,968
Sergeant ^{2/}	45	1,514-1,826	982,852
Corr. Officers ^{2/}	263	1,383-1,588	4,913,529
Office Services Supv. I	1	960-1,195	13,764
Office Assistant II (typing)	2	804-1,048	23,040
Temporary Help	8.5	18,233 (FTE)	154,982
In-service training	(3.1)	(51,448)	
Military leave	(0.1)	(1,906)	
Escapes and Emerg.	(1.6)	(30,490)	
Sick leave relief	(3.2)	(62,122)	
Security	(0.5)	(9,016)	
Overtime premium pay	9.5 @	18,233 FTE	173,451
TOTAL SECURITY	345		\$6,713,608

Notes

*CEA (Career Executive Appointment) positions

^{1/} Source, California State Budget 1980-81 FY.

^{2/} Correctional Sergeants (1) and Correctional Officers (12) include positions budgeted in medical services (7), psychiatric services (1), clothing and housekeeping (3), and educational services (2).

<u>Classification</u>	<u>No. Positions</u>	<u>Salary Range</u>	<u>Salary Totals</u>
<u>Culinary Services</u>			
Food Manager	1	1,743-2,101	\$ 25,212
Supervising Cook II	1		17,388
Supervising Cook I	8		122,433
Baker II	1		14,628
Butcher-Meat Cutter	1		15,864
Temp. Help/Overtime	0.5		4,611
TOTAL CULINARY SERVICES	12.5		\$ 200,136
<u>Clothing & Housekeeping</u>			
Corr. Officers	(3)	1,383-1,588	(57,168)
Stores Supervisor	1	1,290-1,551	18,612
Shoemaker	1	1,205-1,449	17,388
Dry Cleaning Plant Supv.	1	1,588-1,913	21,331
Laundry Supervisor	1	1,008-1,205	13,795
TOTAL CLOTHING & HOUSEKEEPING	4		\$ 71,126
<u>Medical-Dental Services</u>			
Chief Medical Officer	1	3,889-4,573	54,876
Physician and Surgeon	2	3,065-4,403	101,808
Chief Dentist			
Pharmacist II	1	2,149-2,362	28,344
Supervising Nurse II	1	1,663-2,005	24,060
Sr. Lab Technologist	1	1,551-1,868	22,416
Registered Nurse III	1	1,551-1,868	22,416
Sr. Med. Tech. Asst.	5	1,514-1,826	108,813
Registered Nurse II	3	1,514-1,826	57,690
Med. Tech. Asst.	7.6	1,322-1,588	143,350
Sr. X-ray Tech.	1	1,232-1,482	17,784
Overtime/Temp. Help	-		15,536
TOTAL MEDICAL-DENTAL SERVICES	25.6		\$ 846,445
<u>Psychiatric Services</u>			
Chief Psychiatrist	1	3,889-4,573	54,096
Staff Psychologist	1	1,958-2,362	28,344
Med. Tech. Asst.	5	1,322-1,588	95,280
TOTAL PSYCHIATRIC SERVICES	7		\$ 177,719
<u>Plant Operations</u>			
Chief-Plant Operation III	1	1,958-2,362	28,344
Chief Engr. I	1	1,663-2,101	22,956
Supvr Building Trades	1	1,663-2,101	22,956
Chief-Plant Operation I	1	1,701-2,051	24,612
Electrician Supvr.	1	1,663-2,005	21,912
Plumber Supvr.	2	1,663-2,005	41,915
Utility Shops Supvr.	2	1,663-2,005	43,824
Fire Chief	1	1,663-2,005	24,060

<u>Classification</u>	<u>No.</u> <u>Positions</u>	<u>Salary Range</u>	<u>Salary Totals</u>
<u>Plant Operations (cont.)</u>			
Stationary Engr Supvr.	2	1,624-1,958	\$ 42,768
Equipt Maint Supvr.	1	1,624-1,958	20,574
Carpenter Supvr.	1	1,588-1,913	20,916
Painter Supvr.	1	1,588-1,913	20,916
Electrician II	1	1,588-1,913	20,916
Stationary Engr. II	2	1,551-1,868	41,796
Water & Sewage Plant Supvr	1	1,551-1,868	20,412
Painter II	1	1,514-1,826	19,956
Stationary Engr. I	1	1,482-1,782	19,488
Heavy Equipt Mechanic	1	1,482-1,782	19,488
Locksmith	1	1,449-1,743	19,056
Supvng Groundskeeper II	1	1,415-1,701	20,412
Boiler Room Tender	5	1,351-1,624	88,250
Automobile Mechanic	1	1,351-1,624	16,980
Temp. Help-Inst. Fire Fighter	<u>0.8</u>	(18,998)	<u>15,556</u>
TOTAL PLANT OPERATIONS	30.8		\$ 407,484
<u>Counseling Services</u>			
Counselor III	1	2,101-2,537	30,444
Counselor II	3	1,913-2,307	83,052
Counselor I	12	1,743-2,101	302,544
Records Mgr.	1	1,624-1,958	23,496
Records Supvr.	1	1,415-1,701	19,642
Records Specialist	2	1,232-1,482	34,764
Ofc Services Supvr. I	4	960-1,195	55,056
Ofc Asst II (Typing)	11	804-1,048	126,520
Word Processing Techn.	1	804-1,048	11,652
Temporary Help/Overtime	—		<u>39,368</u>
TOTAL COUNSELING SERVICES	36		\$ 699,148
<u>Education:</u>			
Supvr-Educ Program	1	2,253-2,723	30,660
Sr Librarian	1	1,588-1,913	22,956
Supvr-Voc Instruction	1	2,051-2,475	29,700
Instructor-Auto Body & Fender Repair	1	1,482-2,253	27,036
Instructor-Auto Mechanics	1	1,482-2,253	27,036
Instructor-Electronics	1	1,482-2,253	27,036
Instructor-Machine Shop Practices	1	1,482-2,253	27,036
Instructor-Offset Printing	1	1,482-2,253	27,036
Instructor-Printing	1	1,482-2,253	27,036
Teacher-Rec & Phys. Educ.	<u>1</u>	1,482-2,253	<u>27,036</u>
TOTAL EDUCATION	10		\$ 283,644
<u>Religion</u>			
Chaplain-Catholic	1	1,624-1,958	23,496
Chaplain-Protestant	1	1,624-1,958	23,496
Temporary Help-Jewish Chaplain	<u>0.2</u>	(2,659)	<u>3,898</u>
TOTAL RELIGION	2.2		\$ 50,890

<u>Classification</u>	<u>No.</u> <u>Positions</u>	<u>Salary Range</u>	<u>Salary Totals</u>
<u>Administrative Support Services</u>			
Acctg Off. III	1	1,782-2,149	\$ 25,788
Procurement & Services Off. II	1	1,624-1,958	23,496
Warehouse Mgr. II	1	1,551-1,868	22,416
Adm. Asst. I	1	1,482-1,868	20,412
Acctg. Off. II	1	1,482-1,782	21,384
Materials & Stores Supvr. II	2	1,290-1,551	37,224
Pers Asst. II	1	1,195-1,434	17,208
Accountant I	1	1,127-1,351	16,212
Pers Asst. I	2.7	1,048-1,256	40,694
Secty	3	981-1,222	42,228
Ofc Techn (Typing)	1	960-1,195	13,764
Sr Acct Clk.	1	960-1,147	12,180
Acctg Techn.	3	960-1,147	41,292
Account Clk. II	2	804-960	23,040
Temporary Help	1	2,870	11,245
TOTAL ADMINISTRATIVE SUPPORT SVCS.	22.7		\$ 368,129
TOTALS, FOLSOM STATE PRISON	493.2		

APPENDIX J

EXAMPLES OF STAFF POST ASSIGNMENT PLANS

- . Stillwater
- . Lewisburg
- . Auburn

AUBURN, 1980

Salary Range	\$11,746 - \$16,279
Longevity Bonus	After 10 years \$587 After 15 years \$587
Sick Leave	½ day per pay period to 190 days
Hazardous Duty Retirement	No
Retirement Base	Highest pay rate
Insurance	
Health	100%
Dental	100%
Life	After 1 year (not specified - usually means annual salary to next highest whole amount in thousands)
Shift Differentials	Evening - \$400/year Night - \$400/year
Holidays	State - 11 Personal - 5, 16 total
Uniforms	Provided
Shift Overlap	\$600/year flat

APPENDIX K

EXAMPLES OF CORRECTIONAL OFFICER SALARY AND BENEFIT PACKAGES

- . Ellis
- . Folsom
- . Stillwater
- . Auburn

ELLIS, 1980

Salary Range	\$10,872 - 15,636
Longevity Steps	\$5 per month per year of service
Vacation	12 days per year
Sick Leave	12 days per year
Retirement	55 years old with 10 years service 50 years old with 20 years service Employee pays 6% of gross salary towards retirement
Health Insurance	\$40/month allowance
Life Insurance	\$4,000
Shift Differential	None
Number of Holidays	19
Uniforms	State provided
Emoluments	Free meals while on duty Reasonable rental housing Haircuts, Laundry & dry cleaning at nominal cost BOX free Prison produced foods at cost

FOLSOM, 1980

Salary Range	\$18,216 - \$20,916
Longevity Steps	Annually
Vacation	10 days/year up to 3 years 15 days/year 3 - 10 years 17 days/year 10 - 15 years 19 days/year 15 - 24 years 20 days/year 24 +
Sick Leave	12 days per year
Retirement	50-55 highest salary
Insurance Coverage, Health	\$38 per month employee only \$72 per month employee and 1 dependent \$92 per month employee and 2 dependents
Life	\$5,000 and 50% of current annual salary
Shift Differential	12 midnight - 8:00 a.m. .33/hr 4:00 p.m. - 12 midnight .20/hr
Number of Holidays	12
Uniforms	\$250/year allowance

STILLWATER, 1980

Salary Range	6.23 - 8.41 per hour
Longevity Steps	Annually after first year
Vacation	10 days per year - year 0-4 16½ days per year - 5 years +
Sick Leave	13 days per year
Retirement	Age 55 based upon highest actual pay (overtime included)
Insurance Coverage	
Health	100% single coverage
Dental	100% single coverage
Life	100%
Shift Differential	.20/hour evenings and nights
Number of Holidays	10
Uniforms	State provides

APPENDIX L
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BIBLIOGRAPHY

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