

BJA Staffing and Occupancy Initiative

- Bureau of Justice Assistance, U.S. Dept of Justice
- Evaluate CAPACITY-
 - Nominal
 - Functional
- Revisit STAFFING
 - Context (changes)
 - Intermittent Activities
 - Coverage Plan
 - Net Annual Work Hours

Preface.....	i
I. Introduction, Scope, Funding, Methods.....	1
II. Finances.....	5
III. What Has Changed?.....	11
IV. Changes in the Jail Inmate Population.....	15
V. Capacity	17
VI. Staffing Practices.....	20
VII. Deploying Staff.....	28
VIII. The “Math” of Staffing.....	30
IX. Information and Data Needs.....	33
X. Facility Maintenance and Repairs.....	38

Jails have a unique *legal* duty

- Once a person is taken into custody there is a constitutional duty to protect him/her
- Duty to protect is not optional
- Duty to protect is continuous
- No excuses-- including lack of funds
- No other municipal or county agency has this level of responsibility– constitutional not discretionary (or political)

Changing roles.

- The role of the DOC seems to have changed with the creation of the Board.
- Prior to 2009, when counties paid all their jail costs, the Department was a strong and effective advocate for sufficient jail funding.
- *The consultant believes that the Board needs to become the advocate for jails, while the DOC continues to promote standards compliance.*

Assumptions

The recent statements by former Governor Baldacci explain many of the funding problems that have been encountered. His comments reveal some of his initial assumptions:

- County jails are inefficient
- Reducing jail funding (“straining to make a budget”) will produce more efficiencies
- Jail funding decisions are best made at the state level, and do not need to be informed by an understanding of jail needs
- Reducing jail funding, directly and indirectly, will not increase risks and liability

The Governor, and his advisors, made reckless decisions based on these assumptions, moving jails in the wrong direction and putting staff and communities at risk.

Maine jails were not broken when Governor Baldacci decided they needed to be reconfigured--that their “cycle of individualism” needed to be broken. Counties had rebuilt or replaced all of their jails in the past three decades, with county funds. Now the state is poised to borrow \$100 million to replace the Maine Correctional Center.

Started in a Hole

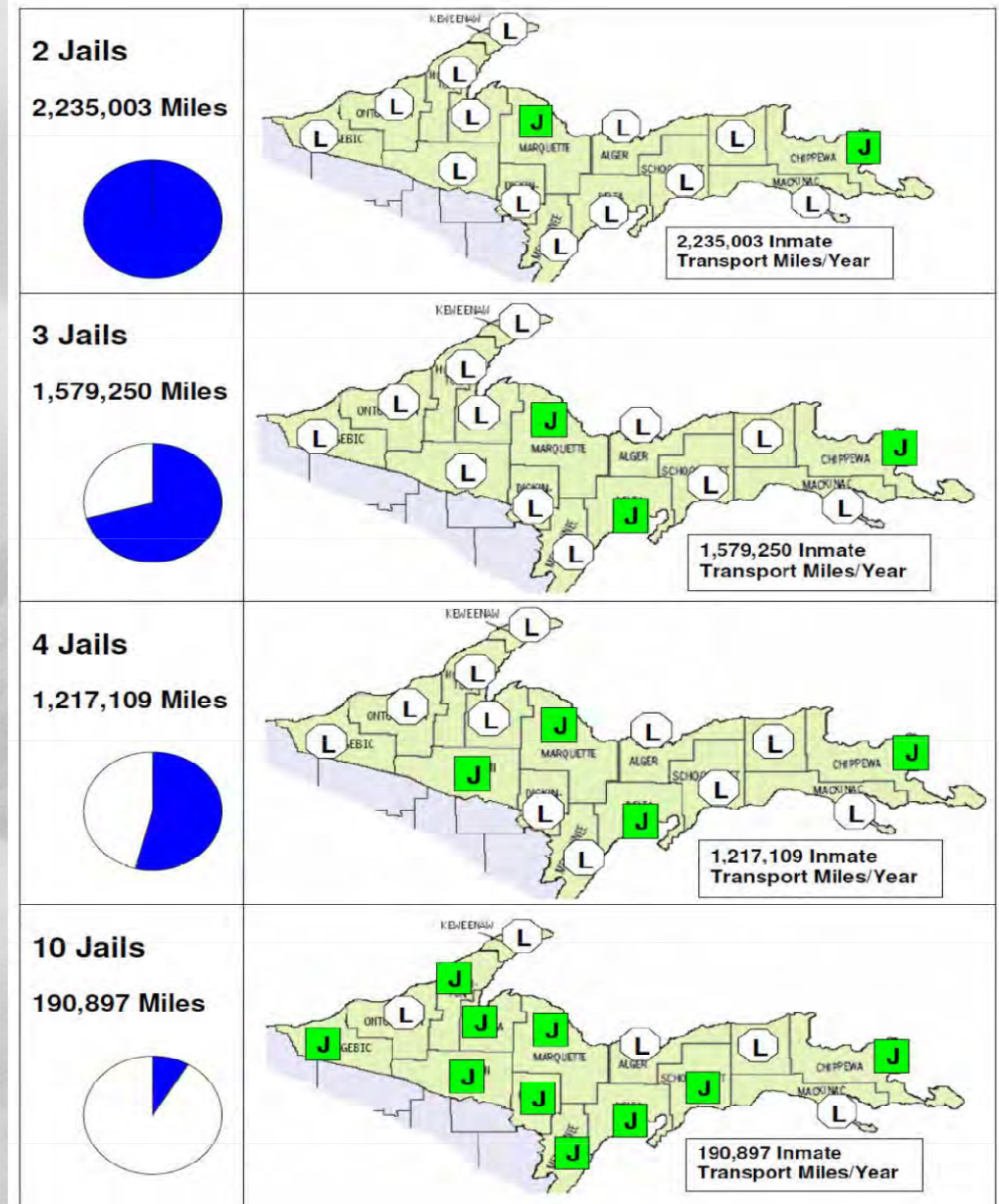
Initial BOC Decisions Raised the Total Baseline Costs for Jails

In its first year the Board acted decisively, and in the consultant's opinion, without a full understanding of the consequences of its decisions by:

1. Closing three full-service jails, moving their inmates to other counties
2. Creating three short-term detention facilities (lockups) at these three sites
3. Taking 32 long-term jail beds and giving them to a new residential program that did not house jail inmates during its first years of operation
4. Funding the 32 residential beds within the statewide jail budget

Lockups Derail Expected Savings


“The costs of local lockups and a regional transportation system make the 3-county partnership more expensive for Clay and Fentress counties than building new jails on their own.”



THE NIC STAFFING ANALYSIS METHODOLOGY

(3rd Edition 2010)

Comprehensive **9-step staffing analysis process** breaks the work into *manageable* tasks:

- 1. Describe the setting**
 - 2. Chart activities**
 - 3. Develop a coverage plan**
 - 4. Evaluate the coverage plan**
 - 5. Develop schedules and calculate efficiency**
 - 6. Calculate Net Annual Work Hours (NAWH)**
 - 7. Prepare a budget**
 - 8. Write the report**
 - 9. Implement and monitor**
- 

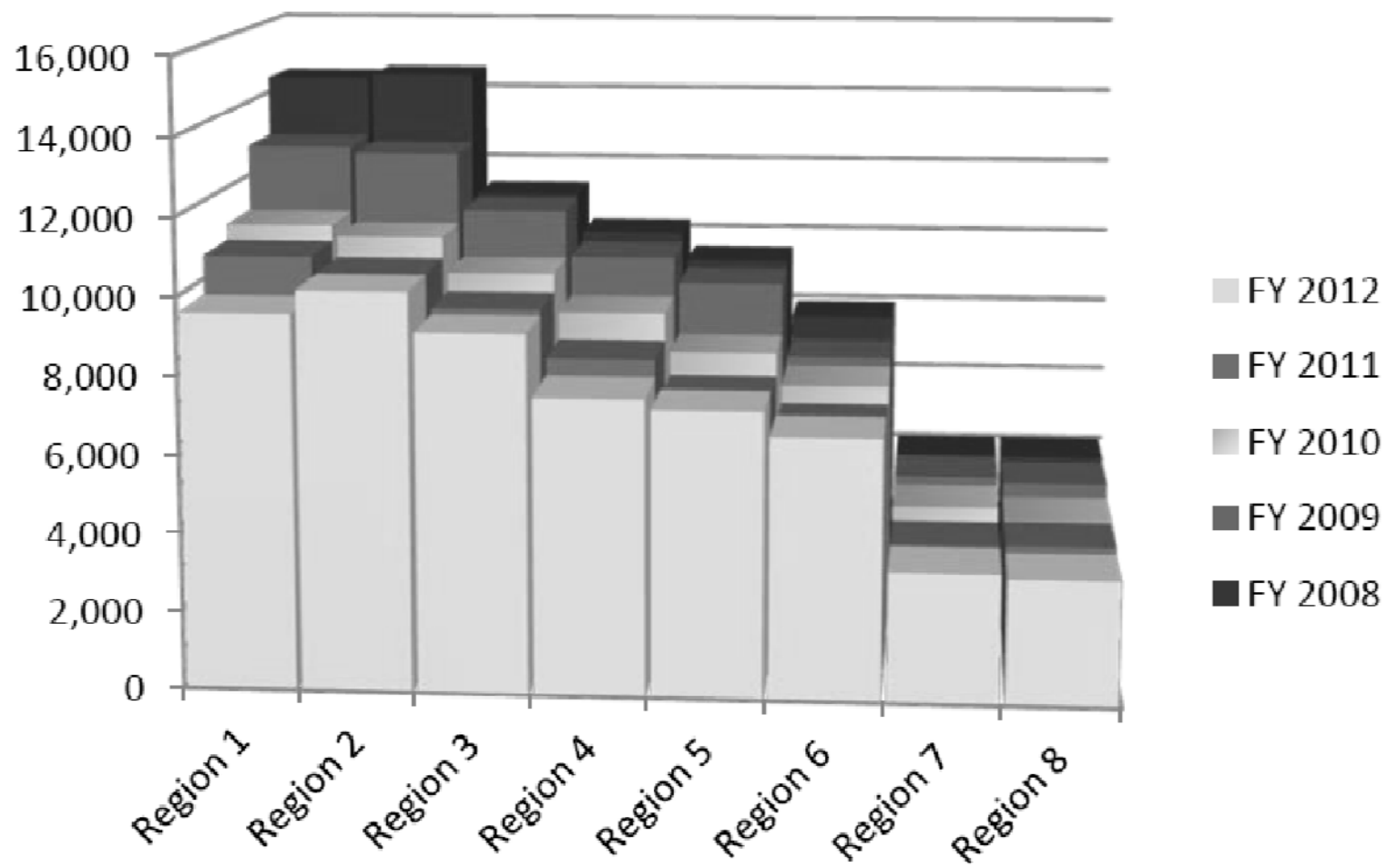


Figure VI.3: Intermittent Activities, Monday through Sunday, Androscoggin County

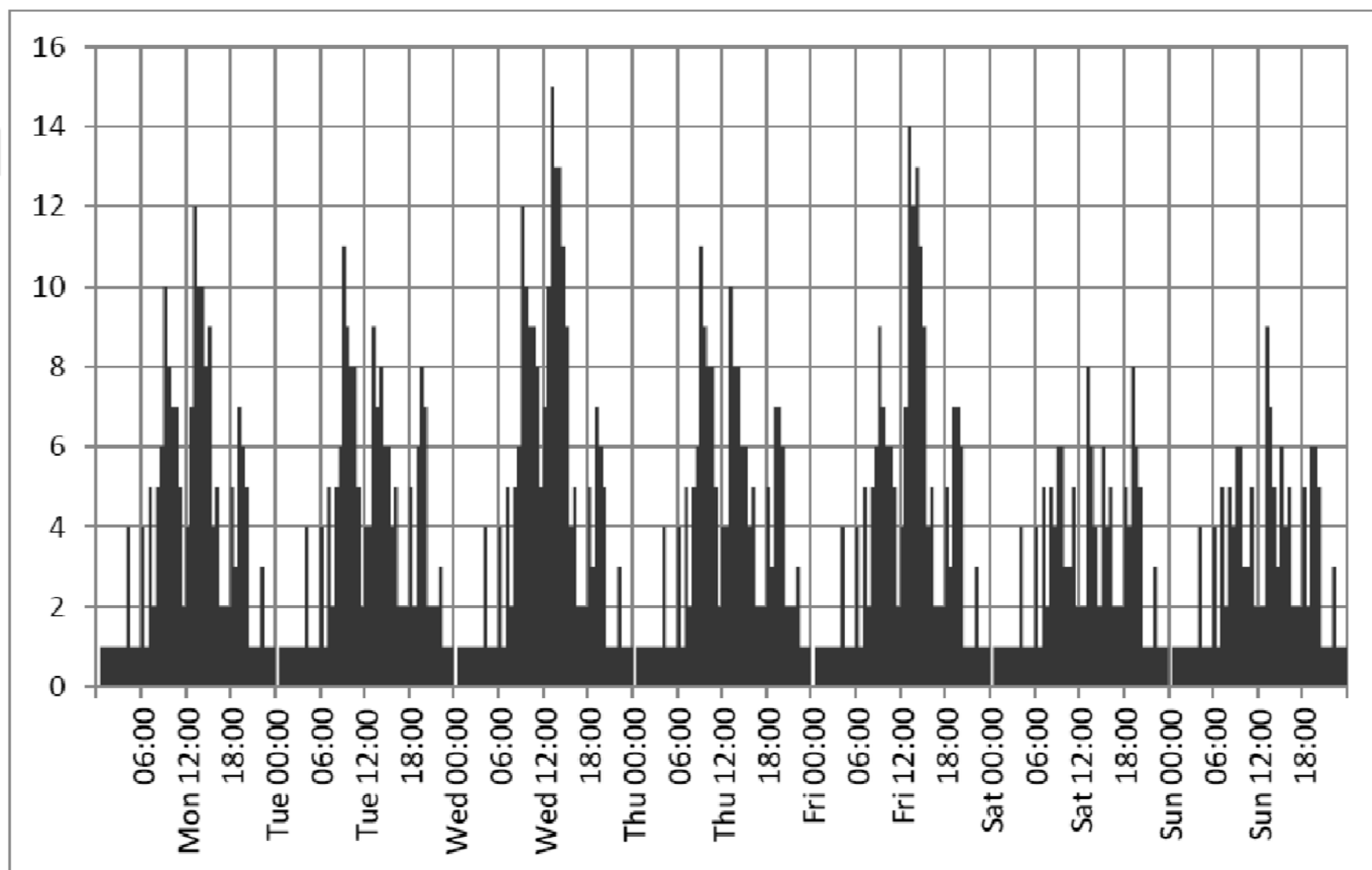


Figure VI.4: Sunday Activities Levels (Red) vs. Wednesday Activity Levels (Blue)
Androscoggin County

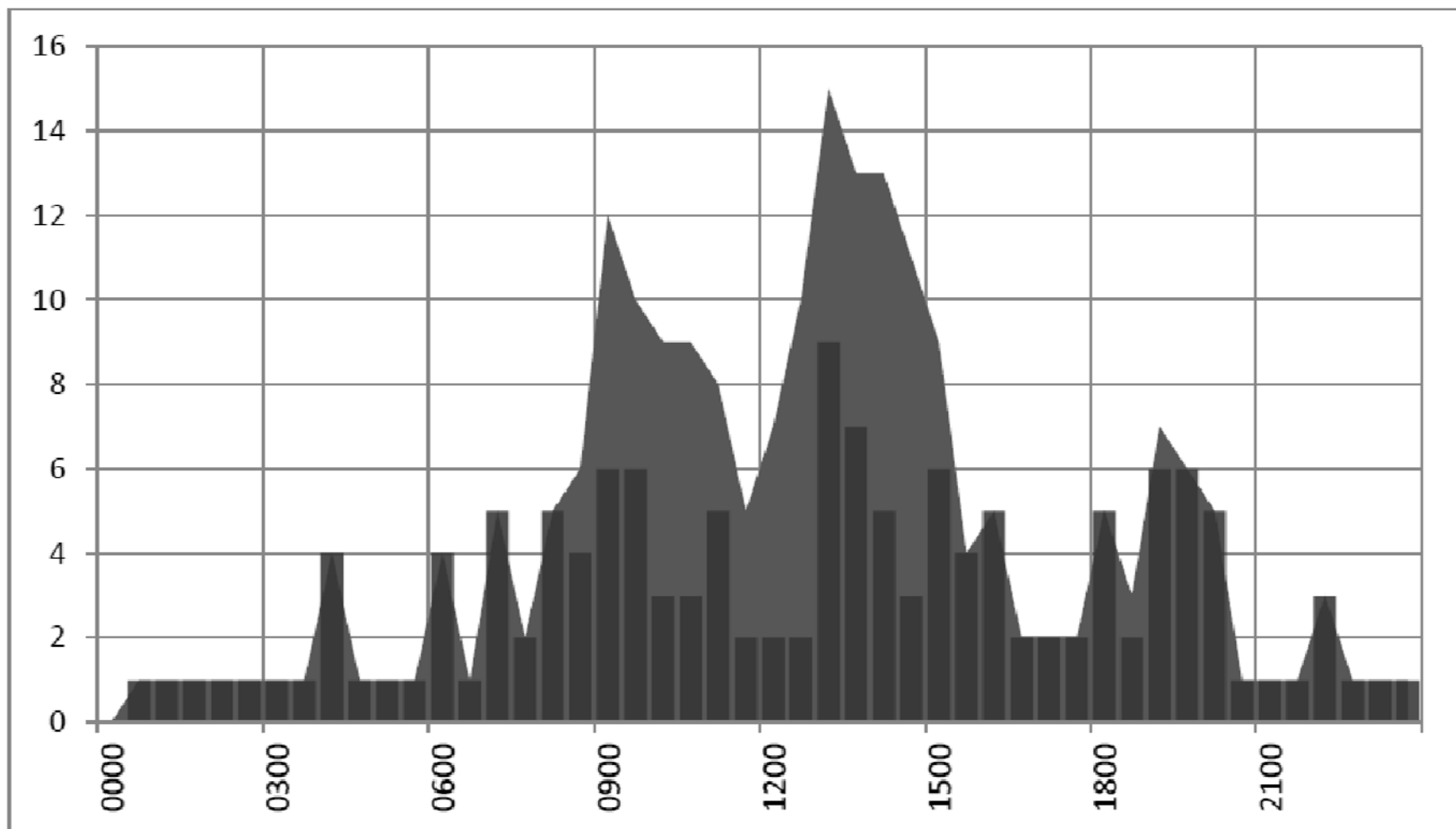
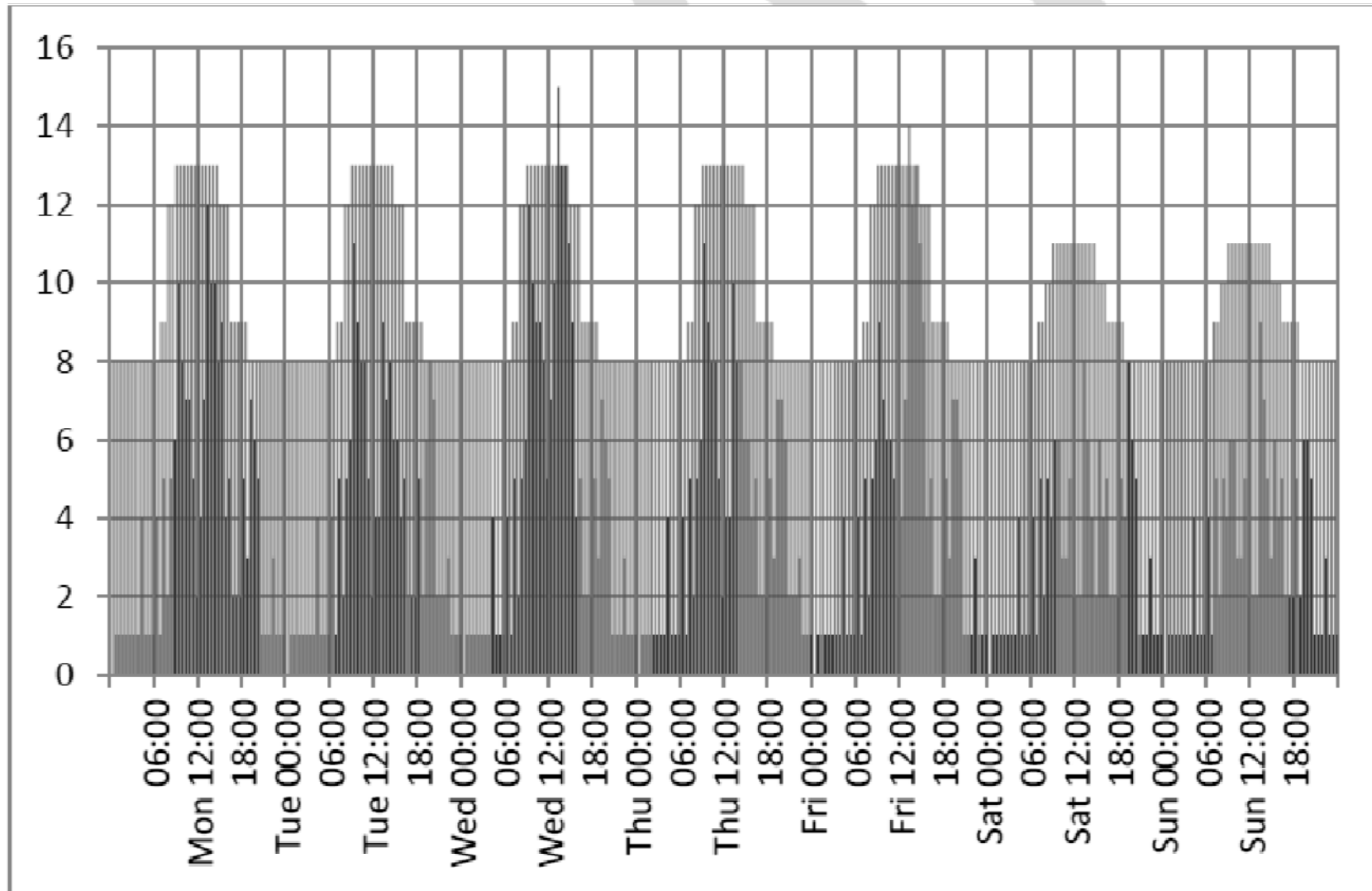


Figure VI.7: Intermittent Activities (red) vs. Relieved Coverage Plan (blue)



Aroostook County

- Aroostook County has been very creative (some call it frugal) with their coverage practices.
- The three relieved part-time employees in Figure B.9 (Recreation, Sick Call, Booking) work 8 scheduled hours total (3, 3, and 2).
- Employees are brought in to respond to a specific activity, but only for as long as the activity requires.

NAWH– the Pi of Staffing

Recommendations:

- VIII. 1. The Board should assist counties to develop NAWH calculations.
- VIII.2. The Board should ensure that NAWH calculations are incorporated into the budget requests for each jail and lockup.
- VIII.3. The Board should establish protocols to monitor employee overtime and comp time to identify excessive hours and to encourage an agency to balance the rosters when necessary.

CONNECTING THE DOTS... FROM THE FLOOR TO THE BUDGET

The NIC methodology, if fully implemented, provides a straight line between hours worked on the floor and dollars in the budget. Some officials call the results “a chain of evidence.”

Figure O-15 illustrates the connections between the coverage plan and the budget:

- Relieved hours must be translated into FTE positions using the NAWH calculations
 - Most of the hours will be provided by full time employees, generating “regular hours”
 - The rest of the relieved hours must be budgeted as hours
- Non-relieved positions go straight into the budget as positions
- Details go straight into the budget as hours

There are two ways to budget for the coverage hours that are needed: (1) *by the person*—hiring employees and generating regular hours; or (2) *by the hour*—buying hours as overtime worked by full time employees, or hours worked by part-time employees).

Figure O.15: Translating Coverage Hours -into the Budget

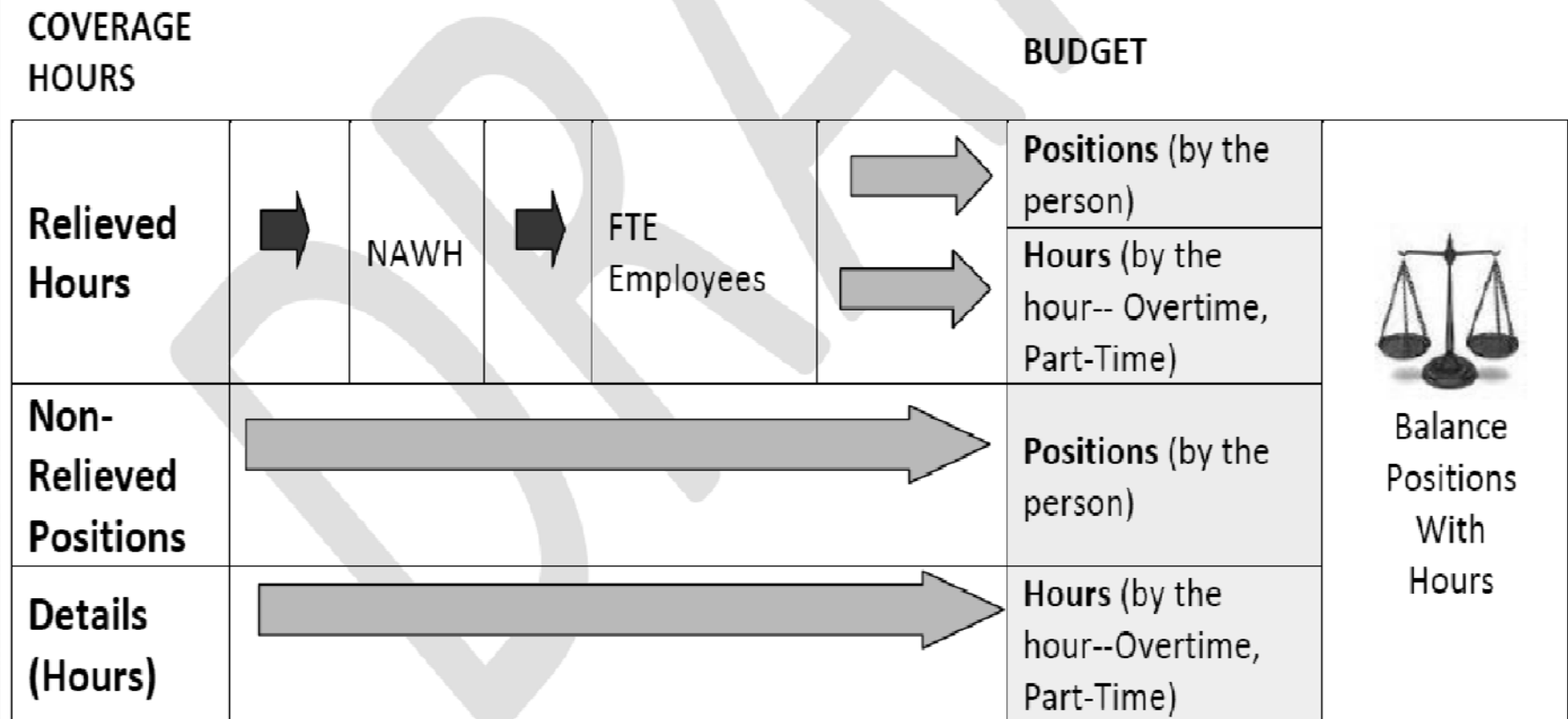


Figure O.16: Predicting Overtime Hours for Relieved CO Posts

1.	Annual relieved coverage hours for CO's (from coverage plan)	158,506 hours
2.	NAWH calculation	1,680 hours
3.	Full Time Equivalent (FTE) Positions (line 1 divided by line 2)	94.3 FTEs
4.	Number of COs on current roster	78 COs
5.	Number of COs on roster on long-term absences (FMLA, military, etc.)	2 COs
6.	Net (operational) COs in the current roster (line 4 minus line 5)	76 Operational COs on the roster
7.	FTEs short (Line 3 minus Line 6)	18.34 FTEs
8.	Total Hours Short (Line 7 times Line 2)	30,811 hours to be delivered "by the hour" (overtime, part-time)
9.	Average hours per current CO if all short hours are worked as overtime (Line 8 divided by 76)	405.4 hours per current CO (24.1% of regular hours)

- Staffing.
- All of the staffing levels and practices described in this report were prescribed by the DOC.
- BOC-approved staffing plans must be implemented.
- Evidence that relieved coverage was not consistently deployed in some jails.
- ***The consultant recommends that the BOC monitor actual deployment of staff to ensure compliance with DOC staffing plans.***

Plans, Funding, Deployment

Recommendation:

VII.1. The Board of Corrections should secure current, accurate staffing plans from every jail and lockup.

VII.2. The Board should compare budget requests and budget awards to the staffing plans to ensure adequate funds are provided to implement the plans consistently.

VII.3. The Board should establish a protocol for monitoring actual deployment of staff to fill relieved posts. Jails and lockups should submit deployment information to the Board on a regular basis, and the Board should evaluate the information to ensure that relieved posts are being filled.

Budgeting. Staffing is not adequately connected to the budget process. In many instances, budget requests submitted by the counties are not accurate.

This project provides the methodology to enable all parties to draw a straight line between:

- (1)DOC staffing requirements;*
- (2) the hours that are needed to implement required staffing practices; and*
- (3) the dollars needed to deliver the hours.*

True Budget Requests

Needs Must be Identified, Explained, and Funded

The 2012 NIC report urged the Board to approach the budgeting process from a different perspective:

Recommendation D-2: The Board's annual budgeting process should start with a submission from each county/authority requesting the resources needed to meet all of the requirements and intent of the statute. The BOC should review each budget and amend as it determines appropriate—but not to meet an arbitrary cap. The sum of these budgets should be considered the benchmark for each year and should be sent through the funding process (Criminal Justice Committee, Appropriations Committee) backed by strong and effective advocacy by the BOC and the counties.

- Capacity. Jail capacity continues to be set by the DOC.
- The consultant found many jails-- under pressure to use all of their beds to meet “budgeted capacity” expectations-- were reclassifying inmates to fit the types of beds that were available.
- *The consultant urges the Board to establish “operating capacities” for each facility, and to respect those limits.* This report provides recommended operating capacities for each jail.

Small Jail

Piscataquis County (Small)	Impact on Operating Capacity
<i>Mix of unit sizes, from 2 beds to seven.</i> The variety of unit sizes provides a great deal of flexibility for operators, increasing the ability to match the number of inmates in a classification to the number of beds in a unit.	Increase
<i>High proportion of minimum dorms.</i> 12 beds on the Ground Level, and 10 beds on the Lower Level, are located in minimum security dormitories. A total of 22 of the 38 beds (58%) are in these dormitories, severely limiting the utility of the beds.	Decrease
<i>Short-term holding area provides four separations, capacity of four inmates.</i> The number of beds in the intake area, coupled with the number of separations, makes it less likely that long-term beds will be required to house overflow on weekends.	No Change
Baseline: 15% Recommended: 15%	Operating Capacity 32 long-term beds

Medium Jail

Androscoggin County (Medium)	Impact on Operating Capacity
<p><i>High proportion of beds in double and multiple occupancy cells.</i> Only 24 beds (15%) are in single cells, 50 beds are in double cells (31%) and the remaining 86 beds (54%) are in multiple occupancy rooms. This increases the likelihood fewer beds will be available when inmate classification and separation needs are considered.</p>	Decrease
<p><i>Large housing units.</i> 79% of the beds are in cells or rooms with 10 or more beds. This further inhibits the ability match inmate classification imperatives with the exact number of beds in a cell.</p>	Decrease
<p><i>Low security rating of beds.</i> 56% of all beds are in housing units that are classified below medium security. 38% of the beds are in minimum security or lower security units. This does not match the composition of the inmate population, forcing officials to put inmates in lower security units than their classification suggests, or to leave beds empty when there are not enough low security inmates to fill them.</p>	No Change
<p><i>Insufficient space in short-term holding area.</i> The high volume of inmates who are processed into the ACJ requires space to house inmates for up to 72 hours, without moving them into long-term housing units. Figure A.6 shows the short-term holding cells (9). An average of 15 inmates are admitted each day and most will not be released for at least 24 hours (about 70% will be released within 3 days).</p>	
<p>Baseline: 10% Recommended: 15%</p>	<p>Operating Capacity 136 long-term beds</p>

Large Jail

Cumberland County (Large)	Impact on Operating Capacity
<p><i>Large housing units.</i> While there are 15 housing units, 76% of the beds are located in 96-bed units. 91% of all beds are in units of 48 beds or higher. This provides less flexibility to match the actual number of inmates of a similar classification to the size of a housing unit, causing more beds to be empty in order to maintain proper separations.</p>	Decrease
<p><i>Proportion of special management beds.</i> While 9% of the beds are special management, 48 of these beds (80%) are located in a single 48-bed unit, limiting the ability to separate inmates into smaller groups that might match demand more closely with supply.</p>	Decrease
<p><i>High proportion of double cells.</i> Only 60 (9%) of the beds are provided in single cells. The high proportion of beds located in double cells results in many double cells being used to house only one inmate, in order to meet classification needs.</p>	Decrease
<p>Baseline: 5% Recommended: 10%</p>	<p>Operating Capacity 572 beds (DOC) 508 (County)</p>

Operational Capacity

Recommendations:

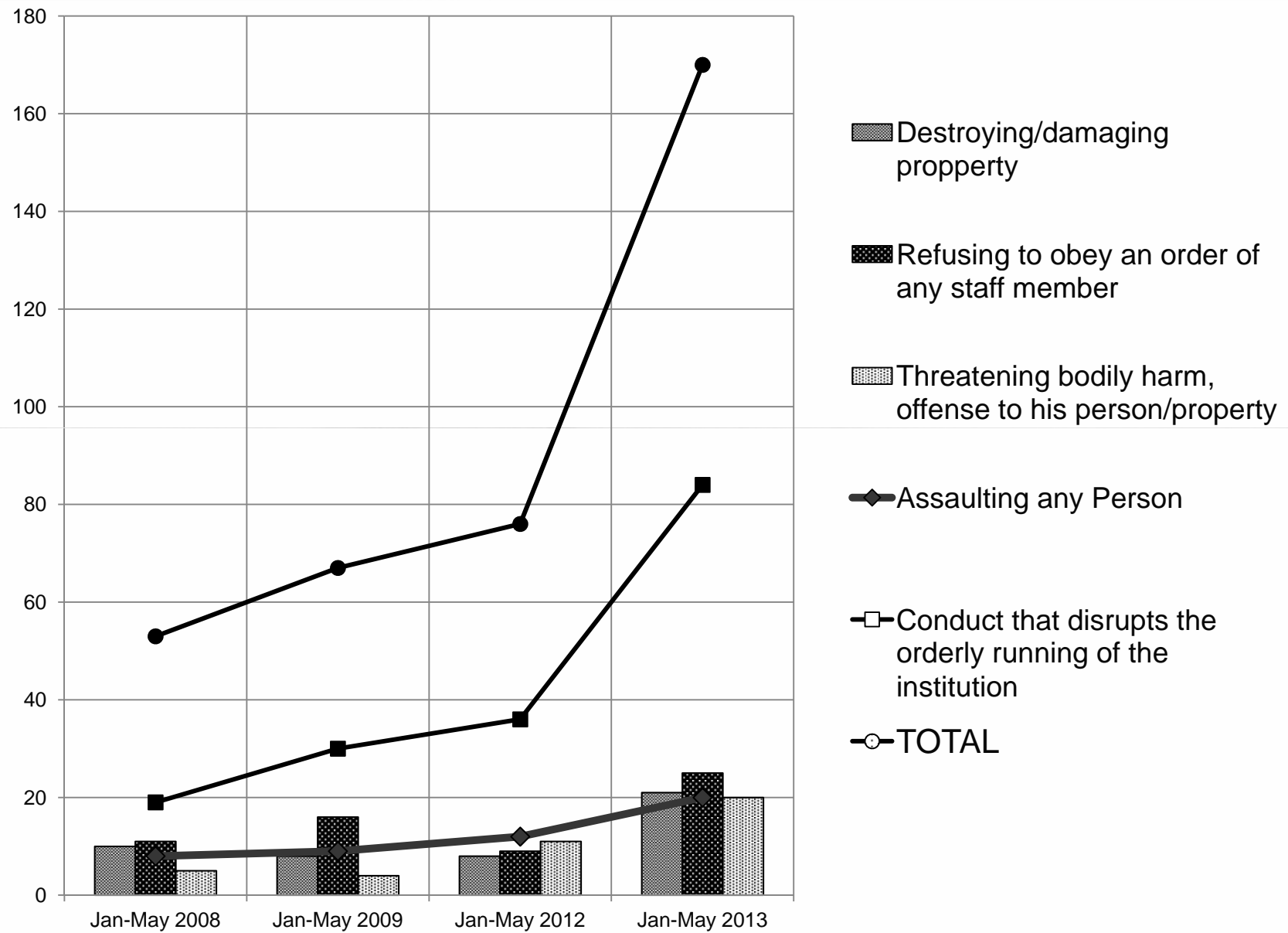
- V.1. Counties and the DOC should agree on nominal and operating capacities for each jail. These should be reviewed annually, or when there are changes in the facility that affect capacity.
- V.2. Operating capacities should be used in the BARS system.
- V.3. Decisions to exceed operating capacities should rest with the respective county, based on local conditions at the time.

Life Cycle of Buildings/Systems

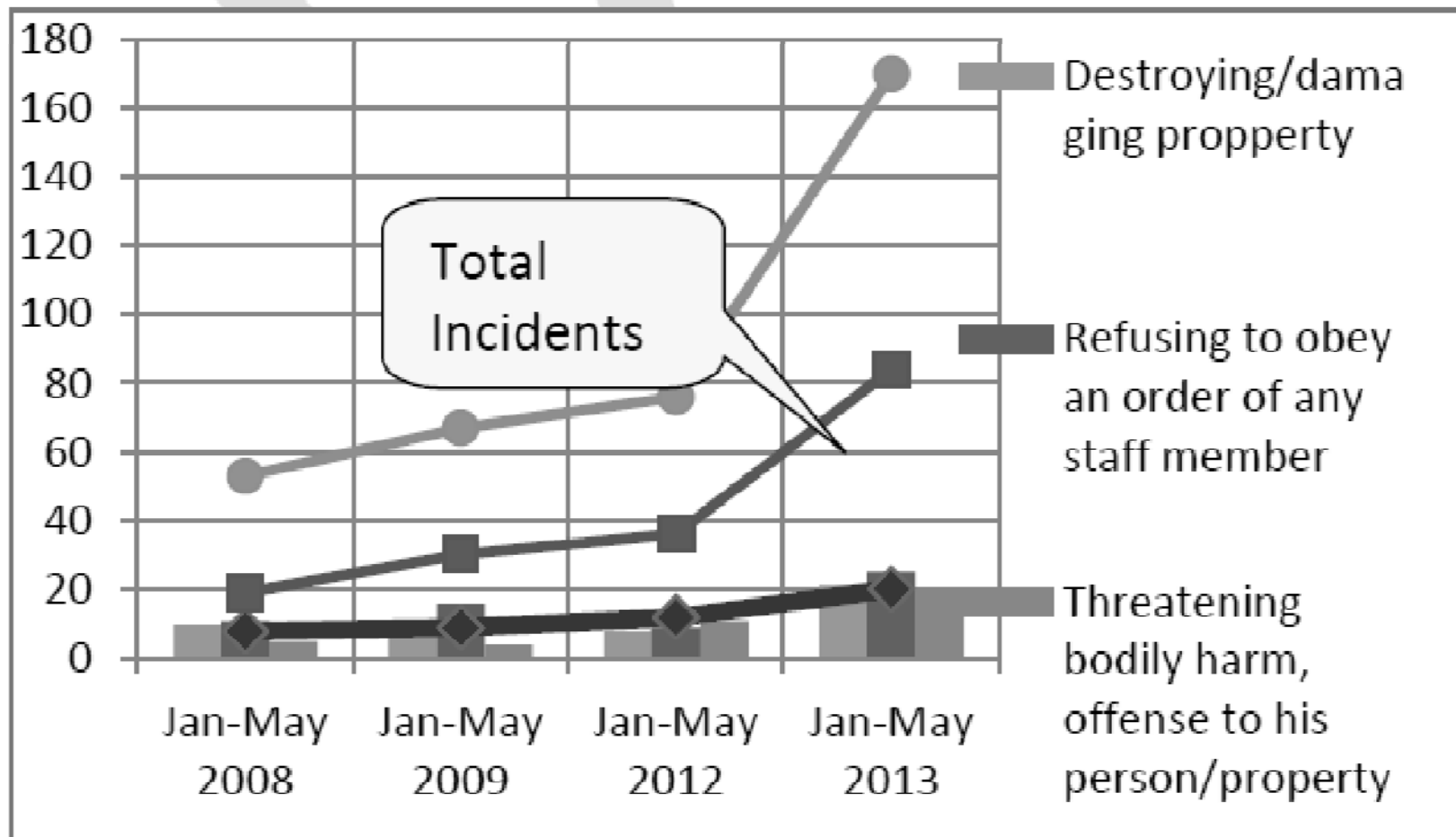
LIFE EXPECTANCIES	1986	1988	1990	1992	1994	1996	1998	2000	2002	2004	2006	2008	2010	2012	2014	2016	2018	2020	2022	2024	2026	2028	2030	2032	2034	Life Expectancy (years)		Years in	Years	
	Min - Max																										Service	Remaining		
Architecture																														
Foundation	X																									100	110	23	87	
Structural System	X																										85	100	23	77
Exterior Brick Walls	X																										86	100	23	77
Exterior Alum Windows	X																										30	44	23	21
Exterior Steel Windows	X																										30	50	23	27
Exterior Doors	X																										25	50	23	27
Roof Insulation	X								X																		20	36	23	13
Roof Covering - North ¹	X								X																		15	20	7	13
Roof Covering - South ¹	X								X																		15	20	6	14
Roof (Metal) - Gym ¹	X									X																	35	40	5	35
Interior Doors	X																										42	50	23	27
Detention Locks	X																										20	30	23	7
Conc Stairs	X																										60	74	23	51
Steel Stairs	X																										46	59	23	36
Walls																														
- Concrete Block	X																										60	60	23	37
Walls																														
- Drywall	X																										40	60	23	37
Walls																														
- Ceramic Tile	X																										30	30	23	7
Flooring																														
- Sealed Concrete	X																										60	60	23	37
Flooring																														
- Vinyl Comp Tile ²	X																										18	20	23	-3
Flooring																														
- Ceramic Tile	X																										30	30	23	7
Flooring																														
- Epoxy Resin	X																											20	23	-3
Flooring																														

Figure X.2: Jail Systems Life Cycles—Architectural Components

- Monitoring Performance. There is no shortage of data describing the logistics of Maine jails.
- But no one is asking for information and data that describes how well jails are *working*—in terms of safety, security, and effectiveness as defined by the Board and the legislation that created it.
- ***The Board should establish a process for gathering critical performance information and data, and periodically analyzing it to inform its decisions.***
- The DOC is also an excellent resource because it uses performance measurement as an effective management tool.



Incidents



Behavioral Contacts

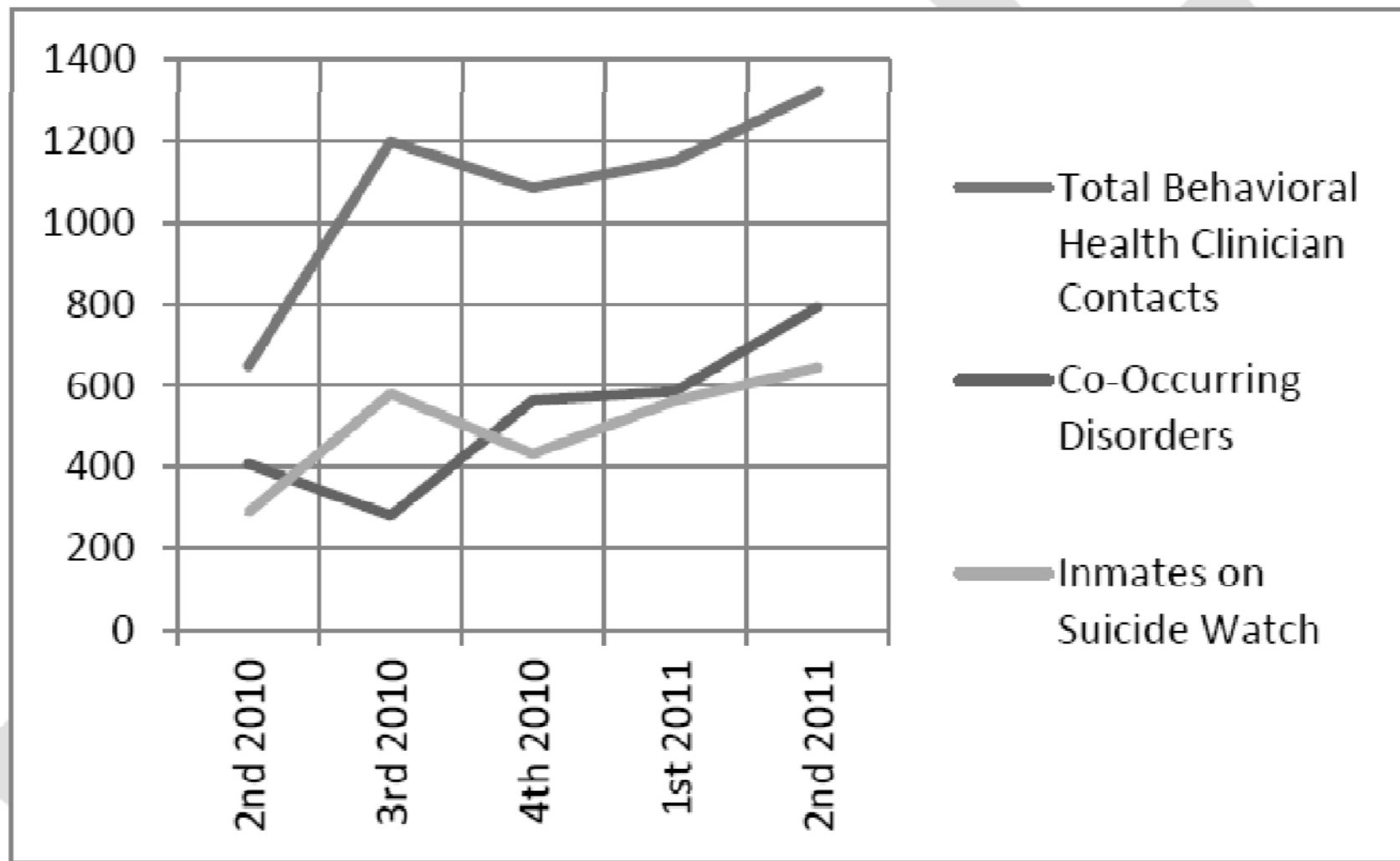


Figure III.2: Community Service Workers, Volunteers, Workers, Volunteer Hours
Cumberland County Jail

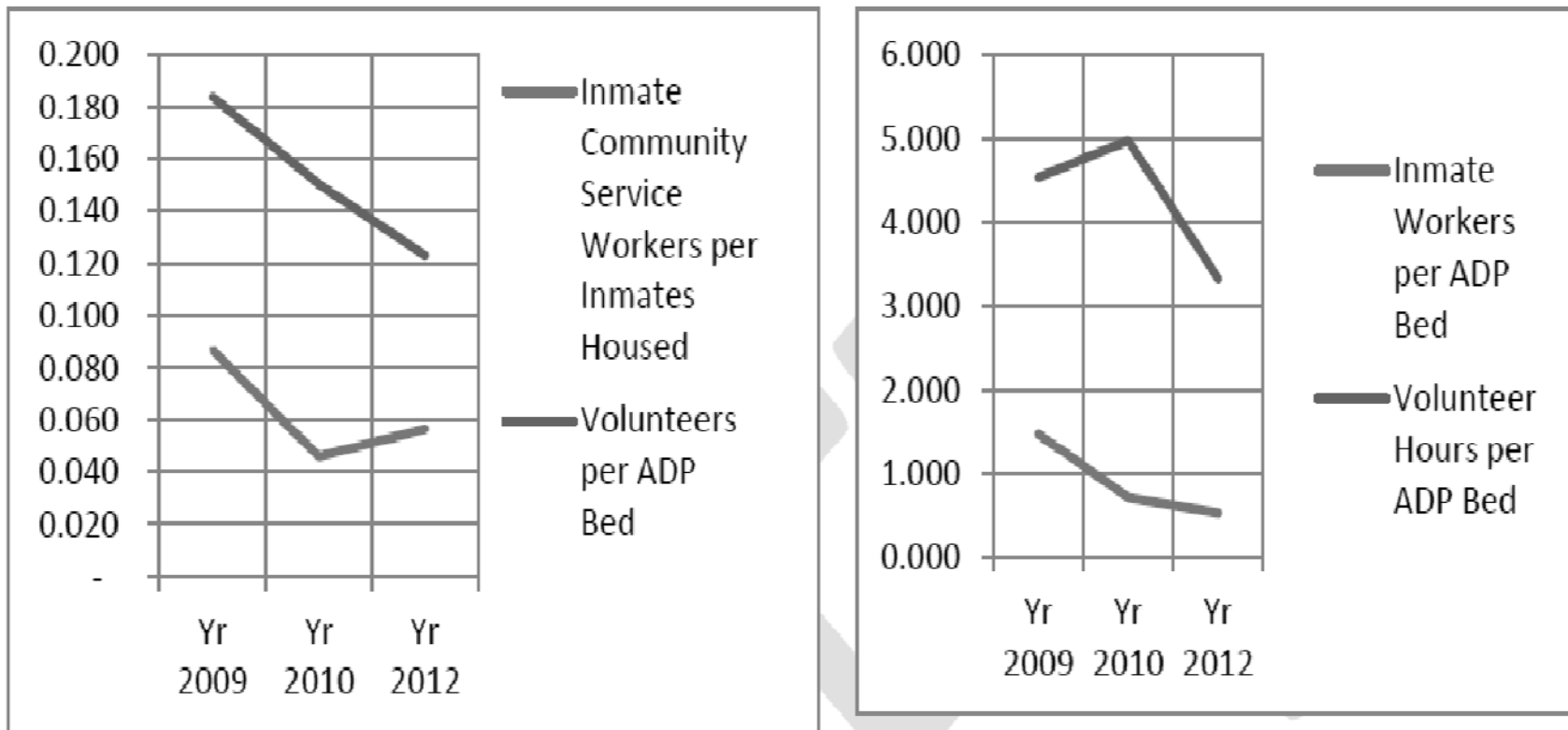


Figure IX.1: Outcome Measures, Core Jail Standards, American Correctional Association

Numerators	Denominators
1. Inmate illnesses requiring medical treatment.	ADP
2. Inmate injuries requiring medical treatment.	ADP
3. Staff injuries requiring medical treatment.	ADP
4. Emergencies.	ADP
5. Fires that resulted in property damage.	ADP
6. Incidents.	ADP
7. Escapes.	ADP
8. Inmates upon whom force was used.	ADP, Admissions
9. Times force was used.	ADP, Admissions
10. Weapons found in the facility.	ADP
11. Controlled substances found in the facility.	ADP, Admissions
12. Incidents involving lost/missing keys.	ADP
13. Incidents involving lost/missing tools, culinary equipment, or medical equipment/sharps.	ADP
14. Inmate rule violations.	ADP
15. Inmate on inmate assaults.	ADP, Admissions
16. Inmate on staff assaults.	ADP, Admissions
17. Inmates with a positive tuberculin skin test	ADP, Admissions

Performance

Recommendation:

- VI.1. Each county should develop protocols to collect and analyze data describing the “details” that occur each year, and the corresponding hours expended.
- VI.2. Counties should adopt the forms and format of the NIC staffing analysis process, using the tools that have been developed to illustrate and analyze operations and staffing practices.

- Changing the systems. During its first year, the Board effectively involved stakeholders, charting a course to improve just about every aspect of jail operations, and more important, to reform the systems that drive the demand for jail beds.
- Budget issues quickly diverted the attention of all parties.
- ***It's time to get back to the proactive efforts that held such promise in the beginning, starting with pretrial case processing.***