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TE FOR ECONOMIC AND POLICY STUDIES, INC.

Correctional Economics Center

901 N. Washington St., Alexandria, Virginia 22314

✓ Cost Analysis of
Correctional Standards:

✓ IOWA

NCJRS

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ACQUISITIONS

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Foreword

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

A key assumption underlying CSAP was that technical and financial resources would provide the necessary incentive for state correctional agencies to enter an otherwise voluntary accreditation process and ultimately to implement standards developed by the profession. This approach is a marked departure from many federal initiatives which either disburse funds with few, if any, constraints attached (revenue sharing) or create elaborate regulations for determining eligibility and "acceptable" programs (categorical grants). CSAP, however, took the body of standards developed by the Commission on Accreditation for Corrections as representing a preferred corrections policy and attempted to facilitate change by providing the wherewithal to evaluate policies, procedures and operations on a comprehensive state-wide basis. An added incentive was the prospect of funds for implementation, if states showed progress toward complying with so-called "co-cost" standards during the first funding cycle.

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

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

Billy Wayson
Alexandria, Virginia
November, 1979

Acknowledgements

This cost estimate effort was dependent upon the cooperation and active participation of the staff of the Division of Adult Corrections. We are grateful to Harry Woods, Director, Iowa Division of Adult Corrections, and his successor, Harold Farrier, for giving us access to staff and records needed for this project. Special mention needs to be made of four individuals at the central office who were especially generous of their time and information: Nolan Ellandson, Accreditation Manager; Fred Scalletta who succeeded Nolan on his retirement; H. M. Kellogg, Bureau of Property Management; and John Ekern, Division of Adult Corrections.

Each facility provided invaluable assistance. It is impossible to list all of the several individuals at each institution who answered phone inquiries, forwarded materials, and submitted to interviewing. But the major contacts at each were as follows: Fort Madison - Dave Scurr, Ron Welder; Anamosa - Cal Auger, John Sissel; Rockwell City - Ted Wolman, Steve Wall; John Bennett - John Emmett; Riverview - John Mathers, Karen Rankin; Mount Pleasant - John Thalacher, Rusty Rogerson.

EXECUTIVE SUMMARY

The purpose of this report is to summarize the cost implications of the Iowa Division of Adult Corrections coming into compliance with all of the Standards of the Commission on Accreditation for Corrections. The cost estimates are based on the Plans of Action prepared by the staff at each facility for each non-compliant standard.

The two community based programs -- parole services and the six half-way houses -- have no non-compliant standards with cost implications. Parole services was in compliance with 202 of a total of 208 relevant standards. The six half-way houses' compliance ratings ranged from ninety-one to ninety-eight percent. The standards which require changes in procedures in those two programs can be met through a reallocation of existing resources and, therefore, were designated no-cost.

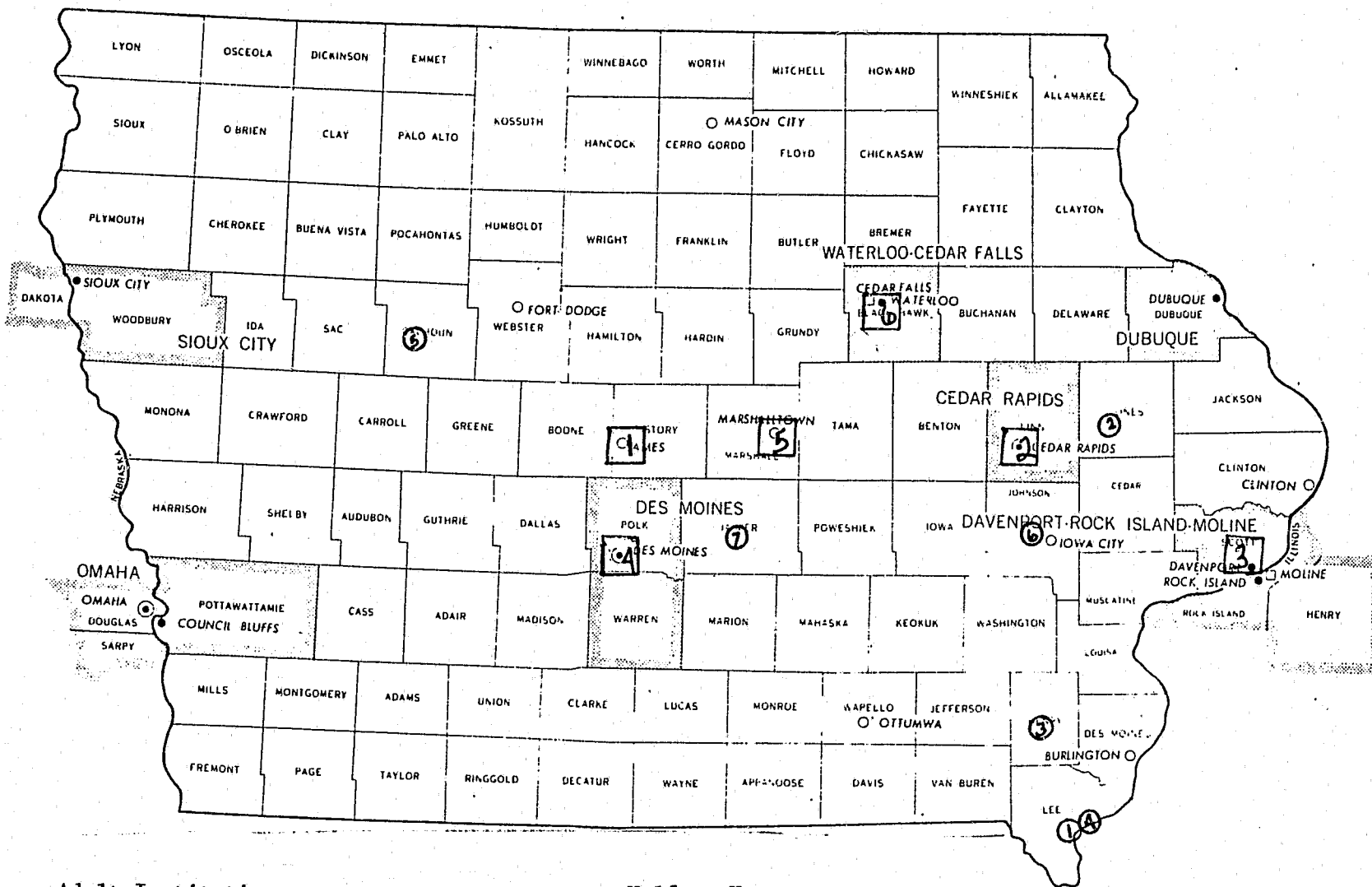
Of the seven institutions, six will require the expenditure of funds over and above existing appropriations to implement the changes required by the standards. Only Iowa Security Medical Facility can meet the sixteen standards with which it is in non-compliance by reallocating existing resources. The overall compliance rating ranges from a low of sixty-one percent for the Iowa Women's Reformatory to a high of ninety-three percent for the Iowa State Reformatory. The other institutions fall in between: the John Bennett Correctional Center sixty-four percent; the Iowa State Penitentiary sixty-nine percent; the Riverview Release Center seventy-two percent; and the Medium Security Unit seventy-six percent. Regardless of the compliance rating, the number of cost related standards is a small percentage of the total for each institution.

Unfortunately, the total cost of achieving compliance is unrelated to the number of standards with cost implications. The estimate for the total additional expenditures to achieve compliance with all standards is \$28.6 million. Most of this amount is accounted for by capital investment required to bring ISP and ISR in compliance with the cell size requirements of the standards; to construct adequate recreation facilities at the other four institutions; and to expand inmate work programs at several facilities to provide adequate employment opportunities. The capital investment for these three sets of activities is \$26.3 million. When the cost of additional personnel implied by these standards is added to the capital estimates, the three categories account for \$27.5 of the total estimated cost of \$28.6 million.

A cost related problem for all of the institutions is complying with the training and staff development standards. The standards are very specific regarding the initial and in-service training staff should receive. Additional personnel costs for compliance with these standards will total an estimated \$587,300 annually.

The other standards which will require significant expenditures in one or more institutions fall into the categories of Security, Special Management Inmates, Medical Services, Education and Vocational Training, and Library Services. Most of these costs are a product of increased staff requirements mandated by the standards.

IOWA



Adult Institutions

- ① Ft. Madison
- ② Anamosa
- ③ Mt. Pleasant
- ④ John Bennett
- ⑤ Rockwell City
- ⑥ Oakdale
- ⑦ Riverview

Halfway Houses

- | | |
|----------------|----------------|
| 1 Ames | 4 Des Moines |
| 2 Cedar Rapids | 5 Marshalltown |
| 3 Davenport | 6 Waterloo |

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CHAPTER 1

INTRODUCTION

This report summarizes the estimated cost of the changes in each facility which will be necessary for the Iowa Division of Adult Corrections to be in compliance with the standards of the Commission on Accreditation for Corrections. The estimates are based on the resource implications of the Plans of Action prepared by the Standards Management Team (SMT) of the Division, and by staff at each facility.

The discussion is primarily concerned with those standards which will require an increase in the resource requirements (e.g., personnel, equipment, supplies) of the Division. Those standards which can be met through administrative action, or the reallocation of existing resources are included here only to place the cost implications in the context of the accreditation process. This is not, therefore, a review of the degree of compliance of all of the facilities and programs operated by the Division; nor a summary of the ease or difficulty the Division will have in achieving accreditation. Rather, it is an analysis of the cost implications of a subset of standards and of Division programs.

Only six institutions have non-compliant areas which will require the expenditure of additional funds -- Iowa State Penitentiary, Iowa State Reformatory, Medium Security Unit, John Bennett Correctional Center, Iowa State Women's Reformatory, and Riverview Release Center.¹ Parole services, the six half-way houses, and the Iowa Security Medical Facility (Oakdale) are not discussed in detail in this report as they can each achieve compliance with the appropriate standards through administrative

action or the reallocation of existing resources rather than an increase in expenditures.

Before turning to the content of the report, a word of caution is in order. The accuracy of these estimates is only as great as the accuracy and level of detail of the information on which they are based. In many instances the estimates are relatively crude indicators of future expenditures because the necessary data was not available. Therefore, the figures should be used as an indicator of the relative magnitude of financial requirements to achieve compliance with all of the standards rather than as a definitive statement of future financial obligations. If any further word of caution is in order, the reader should keep in mind that these estimates are in terms of 1979 dollars. There has been no attempt to anticipate future inflation rates in making these estimates. Since most of the expenditures are likely to occur two to three years hence, or, in the case of construction costs, several years from now, it is extremely unlikely that the final expenditure will conform to the absolute figure presented here.

SYSTEM OVERVIEW

Adult Corrections Services are administered in Iowa by a Division of the Department of Social Services.² Other services offered by the Department include mental health; benefit payments to low income families; a variety of direct service programs such as family counseling, day care, and protective services to troubled families; and juvenile programs, including

the three institutions administered by the state.

The Director of the Division of Adult Corrections reports directly to the Secretary of the Department. The division is responsible for all adult corrections services administered by the state, that is, seven institutions, six halfway houses, parole services, and an industrial program. In addition, it conducts inspections of all local institutions including county and city jails, provides technical assistance to the eight judicial districts which administer probation and pre-trial release programs, and administers state appropriations which support the probation and pre-trial services.

The seven institutions for which the Division is responsible vary widely in size, architecture and condition. The two oldest facilities were built in the nineteenth century and reflect the prison architecture of that period: stone walls, small cells, limited program space. The oldest institution is the Iowa State Penitentiary at Fort Madison, the cornerstone for which was laid in 1839. It is the maximum security facility for adult males and has a capacity of 846. The Iowa State Reformatory at Anamosa was begun some forty years after ISP, but with no significant change in architectural design. It has 692 beds, and offers programs to offenders under age 31 convicted of non-violent crimes. The newest facility is the Iowa Security Medical Facility at Oakdale completed in 1969. It is designed to provide psychological services to convicted offenders. Two medium security facilities were opened within the last two years in renovated facilities -- John Bennett Correctional Center opened in 1978 in a remodeled dormitory outside the walls at Fort Madison; and the Medium Security Unit began operations in 1977 in a

converted wing of the Mental Health Unit at Mount Pleasant. John Bennett Correctional Center has 230 beds and the Medium Security Unit has 144. The Iowa Women's Reformatory is located in Rockwell City. It was completed in 1917 and has a rated capacity of 92. The Riverview Release Center at Newton is a minimum security facility with 103 beds distributed between two dormitories.

The work release program operates out of six community residential centers distributed across the state--Ames, Waterloo, Cedar Rapids, Des Moines, Davenport and Marshalltown--and the Riverview Release Center. There was an average daily population of 170 taking part in the program during FY 79.

The industrial employment program is carried out under a separate bureau titled Iowa State Industries. It produces within the several institutions such products as furniture, license plates, road signs, clothing, detergents, janitorial supplies and mattresses. It also provides furniture restoration, dry cleaning, and tire recapping services. At one time agriculture was a major part of the corrections employment program, but the large farm operations have all been abandoned.

Parole services are administered through three regional districts. Probation and pre-trial services are administered by the eight Judicial Districts. The Division is responsible for providing technical assistance and administering the state aid for the eight probation offices. The Division is currently developing standards to which the Judicial Districts must adhere to receive the state aid.

The distribution of the client population among the various facilities of the Division are summarized in Table 1. The size of the Iowa program places it close to the median in comparison with the other states. In

Table 1

Summary of Iowa Correctional System

<u>Organizational Unit</u>	<u>Security Level</u>	<u>Clients ADP</u>	<u>Age Range</u>	<u>6/23/78 - 4/26/79</u> <u>Admissions Terminations</u>	
<u>Institutions:</u>					
Iowa State Peniten- tiary (Ft. Madison)	Max.	748	* ¹	565	743
Men's Reformatory (Anamosa	Med. ²	694	18-30	790	835
Iowa Security Medi- cal Facility (Oakdale)	Med.	78	18+	346	359
John E. Bennett Cor- rectional Center ³	Med.	129	18+	388	200
Medium Security Unit (Mt. Pleasant)	Med.	133	18+	224	214
Women's Reformatory (Rockwell City)	Min.	70	18+	99	86
Riverview Release Center	Min.	87	18+	141	156
<u>Parole:</u>		1,082 ⁴	18+		
Community Centers:		170	18+		

Sources: Iowa Department of Social Services, Annual Report 1978; Iowa Division of Adult Corrections, Goal Book FY 78-79.

¹ All violent offenders and men over 30.

² Anamosa is officially described as a medium security unit in a maximum security setting.

³ Opened September, 1978.

⁴ Includes clients supervised under interstate compact.

1977 the Division ranked 19th in number incarcerated, and 24th in total expenditures. ³ The annual operating budget for the Division in FY 79 was \$24.0 million. Capital appropriations for FY 79, which are administered by the Bureau of Property Management, totaled \$955,000. (This does not include a special appropriation for major renovation work on Iowa State Penitentiary and Iowa State Reformatory.) See Table 2 for a summary of expenditures by facility.

SUMMARY OF COMPLIANCE

Compliance information contained in this report was obtained from Plans of Action submitted by the Standards Management Team (SMT) on June 1, 1979 as part of the state self-evaluation process. Plans of Action were prepared by designated staff at each facility, with the assistance of members of the SMT, for non-compliant standard. They described the actions required to bring the facility into compliance and provided a preliminary determination of whether the change had cost implications or not.

These initial judgements of compliance/non-compliance and cost/no cost are the basis for this section of the report. Over the course of the project many of these initial judgements were revised, especially the cost implications. As a result, the final number of cost standards is significantly smaller than the initial list. The procedure for arriving at this final list is described in detail in the following section.

The compliance rating of the facilities are contained in Table 3. and the number of non-compliant cost standards for facility, as designated by the SMT as of June 1, 1979, is contained in Table 4. A detailed discussion of these tables by type of facility follows.

TABLE 2

EXPENDITURES AND BUDGETS, FY 78 - FY 81

	1977-78	1978-79	1979-80	1980-81
Parole	813,000	974,554	1,036,830	1,031,903
Ft. Madison	8,270,970	8,250,586	8,919,160	9,105,319
Anamosa	5,570,308	6,121,303	6,520,714	6,673,466
Rockwell City	777,926	906,960	974,403	980,231
Oakdale	2,435,340	2,666,629	2,918,317	2,924,683
Mt. Pleasant	1,636,617	1,831,227	1,981,357	2,006,527
John Bennett	-0-	1,286,116	1,909,339	1,992,765
Riverview	1,435,920	1,145,880	1,347,211	1,376,351
Half Way Houses	523,000 (3 houses)	824,000 (6 houses)	860,000	910,000
Capitol	1,255,100	955,000	482,000	

Prison Industries	Projection for 6-30-79	6,152,000
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Sales Year Ending	6-30-78	6,526,007
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Source: Iowa Division of Adult Corrections, April, 1979.

Table 3

Iowa - Compliance Rating by Facility

Facility	Essential		Important		Desirable		Total	
	#	%	#	%	#	%	#	%
<u>Adult Institutions (Total)*</u>	(404)		(56)		(5)		(465)	
Ft. Madison	281	70	40	71	1	20	322	69
Anamosa	379	94	48	86	5	100	432	93
Mt. Pleasant	315	78	38	68	2	40	355	76
John Bennett	265	66	30	54	2	40	297	64
Rockwell City	246	61	37	66	2	40	285	61
Oakdale	390	97	54	96	5	100	449	97
Riverview	298	74	37	66	1	20	336	72
<u>Halfway Houses (Total)</u>	(162)		(33)		-	-	(195)	
Ames	149	92	29	88	-	-	178	91
Cedar Rapids	151	93	28	85	-	-	179	92
Davenport	154	95	30	91	-	-	184	94
Des Moines	155	96	29	88	-	-	184	94
Marshalltown	152	94	29	88	-	-	181	93
Waterloo	155	95	30	91	-	-	185	95
<u>Parole (Total)</u>	(156)		(52)		-	-	(208)	
State-Wide	153	98	49	94	-	-	202	97

Source: Plans of Action submitted June 1, 1979.

*The total number of standards for each type (Institutions, Halfway Houses, Parole) and each weight (essential, important, desirable) are placed in parenthesis.

Table 4

Iowa - SMT Designated Cost Implications of Non-Compliant
Standards by Facility

Facility	Cost	No Cost	Total
<u>Adult Institutions</u>			
Ft. Madison	40	103	143
Anamosa	10	23	33
Mt. Pleasant	20	90	110
John Bennett	21	147	168
Rockwell City	25	155	180
Oakdale	2	14	16
Riverview	27	102	129
<u>Halfway Houses</u>			
Ames	0	17	17
Cedar Rapids	2	14	16
Davenport	7	4	11
Des Moines	0	11	11
Marshalltown	4	10	14
Waterloo	2	8	10
<u>Parole</u>	1	5	6

Source: Plans of Action submitted June 1, 1979.

Adult Institutions

The seven Iowa adult institutions indicated a wide range of compliance with the 465 CAC institutional standards. Oakdale reported the highest percentage of compliance (97%) by complying with 449 standards. Two of its 16 non-compliant standards were designated as requiring additional funds, making Oakdale the lowest in number of designated cost standards. Rockwell City showed the lowest percentage of compliance (61%) and the greatest number of non-compliant no cost standards (155). Fort Madison had the greatest number of non-compliant cost standards (40) and ranked third from the lowest in overall compliance. Anamosa and Mount Pleasant ranked second and third, respectively, from the highest in compliance. John Bennett was the second lowest in overall compliance (64%) and complied with 297 standards.

A total of 779 cases of non-compliance were reported by the institutions. Of these, 145 were cited as having cost implications. Cost standards were designated in the following CAC categories: Administration, Fiscal, Personnel, Training, Planning, Research, Physical Plant, Security, Special Management Inmates, Sanitation, Medical, Rights, Rules, Mail, Reception, Classification, Work, Education and Vocational Training, Library, Recreation, Religious Services, Release, and Citizen Involvement.⁴ The greatest number of non-compliance cases with cost implications occurred in the Training category.

Halfway Houses

Iowa's six halfway houses each complied with over 90% of the 195 CAC standards for Adult Community Residential Services. The highest rate of compliance (95%) was achieved by Waterloo, which complied with 185

standards. Ames reported the lowest rate of compliance (91%) and the largest number of non-compliant no cost standards (17). Two halfway houses, Ames and Des Moines, did not indicate any non-compliant cost standards. Cost standards occurred in Administration, Facility, Medical and Volunteers categories with the largest number of cases in the Facility category.

Parole

The Iowa Parole Office complied with 202 of the 208 CAC standards for Adult Probation and Parole Field Services and had an overall compliance rate of 97%. Non-compliant standards occurred in the categories of Administration, Supervision-Probation and Parole Agencies, and Personnel. The one non-compliant standard designated as having cost implications was under the Administration category.

THE COST ESTIMATE PROCESS

The foundation for all of the cost estimates was the Plans of Action for the non-compliant standards for each facility prepared by designated staff at each facility with the assistance of members of the SMT. These documents describe the changes required for the facility to come into compliance with a standard, identify the kind of resources necessary (e.g., personnel, equipment, renovation), and present a schedule of steps for implementing the change. The Plans of Action were supplemented by on-site and telephone interviews by Correctional Economics Center staff (CEC) with SMT and institution personnel. The purpose of these interviews was to clarify the descriptions and obtain additional details in order to verify figures supplied by the Division or to obtain the information

necessary for CEC staff to calculate the costs. No effort was made to audit the SMT's determination of compliance or non-compliance with the standard or to question the need for changes in a facility.

The second step in the process was to distinguish between those Plans of Action which could be implemented without a net increase in Division expenditures and those which would require additional funds. The Plans of Action submitted on June 1, 1979 contained an initial judgement of facility staff of the cost implications of each standard. During the course of the on-site and follow up interviews the reasons for these judgements were clarified. In several instances, further information suggested that many of the standards initially designated as having cost implications either had been found to be not applicable, or would require fewer resources than initially supposed. Therefore, the final list of cost standards is much smaller than was first identified in June, 1979. Moreover, the effect of this process was to eliminate parole, the six halfway houses, and the Iowa Security Medical Facility from further consideration. All of the deficient areas identified in those facilities could be rectified through the reallocation of existing resources.

The detailed cost data was gathered by facility staff and by members of the Bureau of Property Management from their records. This ensured that the estimates would reflect the experience of the Division as much as possible. All figures supplied from the two divisions were verified by CEC staff through an examination of supporting documents, or comparison with the experiences of other states. In a few instances, no Division data was available. When this occurred the estimates are based on national averages, adjusted for regional differences.

The technique for estimating cost varied with the type of resources required for achieving compliance: personnel; equipment or supplies; and construction. The assumptions underlying the estimates for each type will clarify the methodology underlying this report.

Personnel Costs: The first step in estimating personnel costs was to identify the additional staff workload which would be generated by the change in operations as mandated by the standards. The approach used to project the workload varied with the content of the standard. In some instances, the workload is clearly defined by the standard and current practices can be compared with the requirements. For example, the number of hours of orientation and inservice training required for different classes of personnel are explicitly defined. In other instances, the increased workload must be inferred. For example, several standards specify the membership of classification boards and the circumstances under which they are to meet but in order to project the workload generated by those standards it was necessary to identify the frequency with which those circumstances occurred in the institution and the average length of time such reviews consumed.

The second step in the process was to identify the type of employee affected, or the skill levels required. Again standards varied in their level of specification ranging from highly detailed requirements (licensed instructors; correctional officers) to general statements of "qualified staff." In addition, many standards had personnel implications in their Plans of Action even though no mention is made of staff in the standard. For example, renovating a building to meet the cell size requirement may result in a need for additional staff.

The third step was to calculate the number of personnel required. Wherever possible, workload was translated into number of hours annually and a full time equivalent calculated using 2080 hours as the annual total.⁵ The cost of the additional personnel was estimated only if the full time equivalent required at least a half-time position, or if a unique skill was required which was not currently available (e.g., psychiatric services). In other circumstances it was assumed the workload could be met within current resource constraints.

Once the number and type of personnel were identified, the cost was derived from current pay schedules, adjusted for indirect expenditures. The basic salary for each new position was taken from the Pay Plan 1978, State of Iowa Merit System. The division budget office supplied an inflation factor of 5.2% to update these figures to 1979 rates and an indirect rate of 14.5%. To ensure comparability across institutions, all new personnel salaries were calculated on the basis of entry level positions rather than the average level of current personnel. Overtime pay was calculated at \$9.00 per hour, a figure provided by institution finance officers.

Equipment/Supplies: The estimates for equipment and supplies followed a very similar process to that followed for personnel. Wherever possible Division staff were asked to specify the type of supplies or equipment and the quantity required based on projected usage. Where changes were limited this was a fairly simple process, for example, providing desks in all cells if they are currently unavailable. More complex changes could not always be broken down so precisely.

In those instances where supplies and equipment were required because

of a general program change it was more difficult to specify type and amount. For example, "the institution provides comprehensive library services" (Standard 4409) does not provide an obvious definition of what supplies and equipment are necessary. To translate the Plan of Action into details which would permit estimating cost, the experiences of other agencies in Iowa were used if possible. If the Division could not specify the requirements, an effort was made first to solicit other agencies in the state for information which might be used as a surrogate indicator; and, second, if that was not possible, draw on the experiences of other states or national associations for indicators. For example, recreation agencies have an extended experience with the equipment needed for a gymnasium. If no surrogates were available, estimates based on the experience of individuals in the Division (so called "guestimates") were used.

Once the equipment or supplies were defined, the cost was estimated using, if at all possible, the expenditure records of the Division. The most common source of such estimates were vouchers of previous purchases. Where those were not available, the next source used were price quotes from vendors. In the absence of either of these sources national averages were employed. In any case, the estimates of cost by Division staff were verified by IEPS staff.

Construction Costs: Renovation and new construction estimates required an especially elaborate methodology. In some instances the Division had already developed detailed plans, even to the point of preparing bidding designs. In other instances no such plans existed. In either case, it was necessary for the Correctional Economics Center staff

to have a means of independently verifying cost estimates provided by the agency when they were available and to develop the estimates when the Division was unable to provide them.

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

SUMMARY OF STANDARDS COST ESTIMATES

The following tables summarize the cost estimates for the changes required to meet the standards of the Commission on Accreditation for Corrections. An effort has been made to limit the cost estimates to expenditures required over and above current appropriation levels. In some cases this means the figure contained in the table represents only

part of the total cost of compliance as it does not include money already allocated for that purpose. Where that occurred, the total cost is contained in a footnote.

Table 5 contains the estimated costs for each institution by major categories of standards. As one would expect, Fort Madison and Anamosa require the largest expenditure of funds. Their size and age alone make this a probable outcome. In two instances it is highly likely that a significant expenditure of funds is required to reach compliance but insufficient information precluded preparing an estimate of the cost. Those circumstances are indicated by an asterisk in the appropriate category.

Table 6 breaks the cost estimates down into cost categories for each institution. On the operating side of the ledger, a significant increase in personnel costs will be required for standards compliance. There were no significant supply purchases implied by the Plans of Action. Capital expenditures are largely accounted for by the new construction and renovation mandated by the standards, especially at Fort Madison and Anamosa.

The third summary table compares cost factor with standard category for the Division (Table 7). The largest categories are those with capital implications, especially Physical Plant. This category contains the standards which mandate cell size, obviously the most expensive form of change. The largest category of standards accounting for an increase in operating costs is Training and Staff Development, although Inmate Work Programs also require major operational expenditures.

The policy implications of these summary statistics are clarified

TABLE 5

IOWA
COST SUMMARY

By Standard & Institution

STANDARDS CATEGORY	<u>Ft. Madison</u>	<u>Anamosa</u>	<u>Mt. Pleasant</u>	<u>John Bennett</u>	<u>Rockwell City</u>	<u>Riverview Release Center</u>	<u>TOTAL</u>
Administration		500					500
Training	230,400	130,019	79,272	91,512	28,764	27,396	587,363
Physical Plant	12,747,886	9,188,371			32,652	20,000	21,988,909
Security	13,391	1,000		6,820		71,444	92,655
Spec.Mgmt.Inmates	101,562	38,086	280		19,042	9,000	167,970
Sanitation						890	890
Medical	53,303		9,672			25,693	88,668
Rights				9,400			9,400
Mail & Visiting					*		*
Classification				16,671			16,671
Work Programs	4,687,000	*	23,412	206,416			4,916,828
Ed. & Voc. Training			158,042				158,042
Library	20,680	5,810	7,000	7,000		15,693	56,183
Recreation			46,550	223,566	50,287	228,131	548,534
Citizen Involvement	<u>15,141</u>						<u>15,141</u>
TOTAL	\$17,869,363	\$9,363,786	\$324,228	\$561,385	\$130,745	\$398,247	\$28,647,754

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

*Cost estimates could not be calculated because of insufficient information.

TABLE 6
IOWA COST SUMMARY
BY COST FACTORS AND INSTITUTIONS

Institutions	OPERATING			CAPITAL				Total
	Personnel	Purchase of Services	Additional Funds	Total Operating	Equipment	Facility New	Renovate	Total Capital
Ft. Madison	1,392,244		104,000	1,496,244	1,648,391	12,075,128	2,649,600	16,373,119
Anamosa	168,105			168,105	2,920	1,755,000	7,437,761	9,195,681
Mt. Pleasant	101,170	158,042	936	260,148	22,530	31,550	10,000	64,080
John Bennett	110,199			110,199	82,636	368,550		451,186
Rockwell City	60,968			60,968	15,000	22,125	32,652	69,777
Riverview Release Center	111,240	9,600		120,840	33,857	206,550	37,000	277,407
TOTAL	\$1,943,926	\$167,642	\$ 104,936	\$2,216,504	\$1,805,334	\$14,458,903	\$10,167,013	\$26,431,250
								\$28,647,754

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

TABLE 7
IOWA COST SUMMARY
BY COST FACTORS AND STANDARD CATEGORY

Standard Category	OPERATING				CAPITAL				Total
	Personnel	Purchase of Services	Additional Funds	Total Operating	Equipment	Facility New	Renovate	Total Capital	
Administration				-0-	500			500	500
Training	587,363			587,363				-0-	587,363
Physical Plant	723,158			723,158		11,130,128	10,135,623	21,265,751	21,988,909
Security	63,477			63,477	29,178			29,178	92,655
Spec. Mgmt. Inmates	158,690			158,690	280		9,000	9,280	167,970
Sanitation				-0-	890			890	890
Medical	68,932	9,600	936	79,468	1,200		8,000	9,200	88,668
Rights				-0-	9,400			9,400	9,400
Mail & Visiting				-0-				-0-	-0-
Class	16,671			16,671				-0-	16,671
Work Prgms.	261,162		104,000	365,162	1,679,666	2,862,000	10,000	4,551,666	4,916,828
Ed. & Voc. Training		158,042		158,042				-0-	158,042
Library	27,573			27,573	25,640		4,390	30,030	56,183
Recreation	21,759			21,759	60,000	466,775		526,775	548,534
Citizen Involvement	15,141			15,141				-0-	15,141
TOTAL	\$1,943,926	\$167,642	\$104,936	\$2,216,504	\$1,805,334	\$14,458,903	\$10,167,013	\$26,431,250	\$28,647,754

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

if we consider the changes in the facility which will result in an increase in costs. In most instances each institution has its own unique set of standards within these categories which will require the expenditure of additional funds. Calculating the cost of those standards must take into account the peculiar problems and solutions each facility has to offer. The details of those changes are contained in the chapter on each institution which follows.

Before turning to these details, however, a brief review of the categories with major cost implications will outline the policy issues implied by these figures. These categories are Training and Staff Development; Physical Plant; Security; Special Management Inmates; Medical; Inmate Work Programs; Education and Vocational Training; Library Services; and Recreation.

Training and Staff Development

Every institution except the medical facility at Oakdale does not comply with the minimum number of hours of staff training required by the standards. The Standards require all staff who deal directly with inmates -- e.g., security, counseling, education, recreation -- receive 160 hours of training within the first year and 80 hours of inservice training annually thereafter (Standards 4090, 4091, 4092). Administrative and management personnel must be given 80 hours of training within the first year and 40 hours in each subsequent year. Currently, all training is provided at the institutional level rather than by a central program and the Plans of Action are predicated on a continuation of that policy. The major cost required to meet these standards is personnel time. Most of the institutions reported sufficient space and equipment to accommodate

the increased training load. In some facilities, additional training staff will need to be added. But this represents a small proportion of the total cost of the additional training.

The largest personnel requirement is generated by the need to cover any absences due to training for those positions which cannot go unattended. In calculating the personnel requirements it was assumed that such positions are limited to direct services personnel, especially security positions. Two approaches were used to calculate the cost of substituting for training induced absences: additional full time personnel; and overtime pay. The institution managers suggested overtime was the most feasible solution. They expressed reservations about their ability to recruit sufficient additional personnel to cover the absences given the current problems in filling existing authorized positions. The summary tables for the Division and for each facility presented later in this report assume overtime will be used to cover absences for inservice personnel training. However, since no policy position was made at the department level in the detailed breakdown of the training costs presented in Table 8 two cost figures are included.-- one based on recruiting new, permanent personnel, and the second one on an overtime rate of \$9.00 per hour. The formula for calculating training requirements is also contained in the Table. The two approaches for calculating training costs yield very different totals ranging from a low of \$470,363 to a high of \$587,362 assuming all training absences are covered by overtime.

TABLE 8
1
TRAINING STANDARDS COST ESTIMATES

	<u>Trainers</u> ²		<u>FTE</u> ³		<u>OT</u> ⁴	
	Cost	#	Cost	#	Cost	Hours
1. Ft. Madison	\$ 33,264	2.0	\$126,953	10.0	\$197,136	21,904
2. Anamosa	25,511	2.0	76,171	6.0	104,508	11,612
3. Mt. Pleasant	16,632	1.0	38,086	3.0	62,640	6,960
4. John Bennett	16,632	1.0	50,781	4.0	74,880	8,320
5. Rockwell City	8,316	0.5	12,695	1.5	20,448	2,272
6. Riverview	<u>8,316</u>	<u>0.5</u>	<u>12,695</u>	<u>1.0</u>	<u>19,080</u>	<u>2,120</u>
TOTAL	\$108,671	7.0	\$361,678	25.5	\$478,692	53,188

Source: Goal Book FY 78-79, Iowa Division of Adult Corrections; Plans of Action

Footnotes:

¹The formula for calculating staff requirements for training of direct service personnel is as follows:

$$(160 \times R) + (80 \times I) = \text{Total hours}$$

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

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

² Cost calculated at entry level pay schedule for trainers.

³ Cost calculated at entry level pay schedule for corrections officers.

⁴ Overtime pay calculated at \$9.00 per hour.

Physical Plant:

Both Fort Madison and Anamosa will require extensive renovation of cell areas to meet some of the standards, especially cell size requirements. No detailed plans were available on which to base the cost estimates. To establish the necessary foundation CEC staff identified an alternative which was feasible within the physical limitation of the existing structure. The Bureau of Property Management (DPM) provided blue prints of each of the cell blocks in question. The condition of the buildings was established through discussions with facility personnel, DPM staff, and the report prepared for the Advisory Commission on Corrections Relief of the State of Iowa by FolseHDR in 1977. There is no assumption that the alternatives which emerged from this process are the best solution to the problem, nor even the least expensive. A more intimate knowledge of the buildings in question may suggest alternatives which will significantly reduce the financial requirements; or, an assumption about the condition of some of the utilities may be unwarranted necessitating a much more costly construction effort than that described here. The purpose of this exercise is not to suggest to the Division of Corrections how they should meet the standards in question. Rather, it is to provide the officers with an estimate of the magnitude of financial requirements. This method is sufficient for that purpose.

The renovation of Cell Houses N and H at Anamosa and 20 at Fort Madison will bring those units into full compliance with the standards. The other cell houses in the two institutions, however, do not comply with the minimum cell size requirement of 60 square feet for cells which house individuals for less than ten hours a day, and 80 square feet for

those housing individuals for longer periods. To meet these cell size requirements, the cost estimates are based on the following assumptions for Fort Madison:

- Cell Houses 18, and 19: combining three cells into two;
- Cell House 17: replace with a building of comparable capacity;
- Cell House 97: Extend cell fronts to meet 60 square feet requirement;
- Add an additional building with 178 beds to replace those lost in renovation.

Anamosa estimates are based on the following changes:

- Cell House 2: remove all interior walls and renovate; new capacity = 218;
- Cell House 1: combine two cells into one; new capacity = 156
- Construct one new building with 108 beds to replace those lost through renovation.

One building at the Women's facility will also require renovation to meet several of the standards in addition to those contained in physical plant. However, a detailed plan and cost estimate was provided by the Division and the figures validated by CEC staff.

Security

The security related cost items are generated primarily by the decision to treat Riverview Release Center as a minimum security facility for purposes of accreditation rather than as a half-way house. The standards for the former require the addition of such items as a 24 hour perimeter patrol and three holding cells.

Special Management Inmates

The standards require that inmates held in administrative segregation and disciplinary detention receive as many of the services available to the general population as possible. Specific requirements regarding recreation time and access to other services will necessitate the addition of personnel in many of the institutions, especially Fort Madison and Anamosa. Rockwell City's facilities for handling disciplinary detention and administrative segregation must be renovated to meet the standards. Most of the cost identified for that facility, therefore, involves capital construction (see the discussion in Physical Plant).

Medical

There is no common pattern of deficiencies among the three facilities which account for the cost implications of this category. Fort Madison must increase the frequency of physical examinations to come into compliance; Riverview Release Center must purchase adequate storage equipment; and Mount Pleasant provides inadequate psychological services at present.

Work Programs

Work programs are a major cost factor for most of the institutions. The standards require that all eligible inmates have access to such activities. Fort Madison, Anamosa, and John Bennett staff estimated a need to double their present industrial employment programs to serve the residents. Detailed plans were available from Fort Madison and John Bennett and, therefore, the cost for those institutions is included in the tables. Anamosa will also need to expand its capacity but planning had not progressed sufficiently to permit an estimate of cost. Therefore,

an asterisk is used to indicate a cost estimate is necessary, but none have been made.

Educational and Vocational Training

All of the expenditures in this category are accounted for by one institution--Mount Pleasant. Therefore, it is discussed in detail in the chapter on that institution.

Library

The two newer facilities -- Mount Pleasant and John Bennett -- have very inadequate libraries. Both have space which could be used but the offering of books, magazines and other materials is very weak. The estimate provided by Mount Pleasant to purchase an adequate supply of library materials was \$7,000, a figure received from a librarian in the Division of Mental Health Resources. That cost estimate was used to construct the summary tables. However, CEC staff question whether a library which meets the standards can be assembled for that amount of money. The Colorado Department of Corrections, in consultation with the American Library Association, estimates that approximately \$35,039 is required to assemble a minimum library for an institution with a population of 100-499. This includes purchasing approximately 3,000 volumes, 20 magazines, 3 newspapers, filmstrips, cassettes/discs, and films. It also assumes that other equipment--shelves, tables, chairs, typewriters--are already available. If these standards are used the library costs of Mt. Pleasant and John Bennett would be increased significantly over the original estimate.

Recreation and Inmate Activities

Four out of the six facilities with cost deficiencies have insufficient recreation space. There are game rooms and day rooms in most instances, but little indoor area for anything that would permit vigorous physical activity. To remedy this situation all four institutions propose to construct a combination building which would include a gymnasium and other recreation facilities. The basic design for each of these institutions is the same: steel span construction with insulated walls, shower rooms, locker rooms, toilet facilities and basic equipment for a gymnasium/racquetball court, and weight room/game room. The estimated cost for the building alone including the locker room, shower room and toilet is \$27 per square foot. The additional equipment to finish off the building is estimated at \$15,000.⁶

FOOTNOTES: Chapter One

1. Throughout this report Riverview Release Center is treated as an institution rather than a half-way house. This is consistent with the decision of the Division director to accredit the facility under the requirements of the Manual of Standards for Adult/Institutions rather than the Manual of Standards for Adult Community Residential Services.
2. The information for this section is taken from the Iowa Department of Social Services Annual Report 1978; Division of Adult Corrections, Goal Book FY78-79; Division of Adult Corrections, Unpublished Planning Document dated January 11, 1979.
3. Sourcebook of Criminal Justice Statistics, 1978, Nicolette Parisi, et al, eds., National Criminal Justice Information and Statistics Service, Government Printing Office, 1979, p. 162-168, and 619.
4. In the interest of brevity, short titles of the standard categories are used throughout the report. For an elaboration on these titles see Appendix 1.
5. The work year in hours was supplied by the finance officers at each institution and confirmed by central office budget staff.
6. The cost per square foot is based on data provided by the Bureau of Property Management. They derived the figures from previous expenditures for installation of utilities and other projects carried out by the Department. The estimate is \$7.00 a square foot. The estimate for a steel span building with insulated walls and minimum utilities was estimated by potential vendors to cost \$18-\$20. The equipment estimates are also based on previous Division experience for equipping a gymnasium.

CHAPTER 2

IOWA STATE PENITENTIARY, FORT MADISON

The Iowa State Penitentiary was established in 1839 as a territorial prison.¹ It has been in continuous use since serving in the twentieth century as the maximum security institution for male felons. It is located on the edge of Fort Madison, a rivertown with 13,000 residents. The Fort is an ageing, forbidding institution, with some of its stone walls dating to its territorial origin, and most of the buildings constructed during the 19th century. The rated capacity of the prison currently is 846 beds. The average daily population for fiscal year 78/79 was 748.²

It was intended to house inmates over 31 years old; but that restriction has been relaxed with overcrowding at the Reformatory and now 31 has become the average age rather than the minimum. Approximately 54% of the inmates have been convicted of crimes against persons; 60% have served 2 or more prison sentences; the average sentence is 15.4 years, excluding those serving life; and 80 men are serving life sentences.

Inmates are assigned to vocational and academic schooling, the industrial operation, or support jobs in food service, housekeeping, clerical and maintenance. In addition, there are the usual complement of counseling services, recreation programs, and medical care within the institution. Psychiatric care and evaluation services are provided by the Iowa Security Medical Facility at Oakdale, Iowa.

All housing units are individual cells, distributed among five buildings. The oldest building, number 17, which was completed shortly after the prison opened, holds 310 men; the others -- numbers 18, 19N and 19S -- hold 195, 166, and 175 respectively. A fifth building -- number 20 -- is currently being

remodeled and when complete, will have 44 cells. Finally, a small building constructed as the disciplinary detention and death row unit has 18 cells.³

A major remodeling program is underway which will completely renovate one building (#20), and subdivide three others (18, 19N and 19S) into smaller residential units. The major purpose of this effort is to create smaller management units. The renovation of Building 20 is nearing completion; plans have been drawn for the other buildings and bids solicited for remodeling #19S.

Cost Implications of Standards Noncompliance

It should come as no surprise that the Iowa State Penitentiary has the largest number of deficiencies with cost implications, and will require the expenditure of the greatest amount to reach compliance. It is the oldest facility, with the most complex population to be served. The physical plant is deteriorating and will require extensive renovation to meet the standards. In addition, the size of the institution and the range of behavior represented in the population complicate any changes in procedures required by the standards. Because of the magnitude of the changes required by the standards, the cost estimates are much less precise for Fort Madison than they are for the other facilities. In addition, it has been necessary to make some policy assumptions because the plans of action were inadequate foundations on which to base the estimates. The most glaring problem was that of cell size. As will become apparent in the following discussion, none of the cells currently being used meets the minimum requirements of the standards. Although renovation is contemplated, no detailed plans exist which could serve as the basis for estimating the cost. Therefore, an alternative was developed by CEC staff to use as the foundation for the estimate.

Table 9 presents the standards with cost implications for Fort Madison and the estimates prepared by CEC staff. Each of the standards categories will be discussed in detail.

Training and Staff Development: Iowa State Penitentiary staff now receive the least amount of training of any of the facilities, averaging approximately 48 hours of orientation and 24 hours of inservice annually.⁴ There are 306 direct service positions which must be covered during training absences: 240 will require 56 hours of additional inservice training; and 66 new recruits must have 112 hours of additional orientation and first year training.⁵ The total number of hours which must be covered, therefore, is 20,832. This will require 10 additional staff at a total cost of \$126,953 if full time officers are added, or \$187,488 if all absences are replaced through overtime.⁶ At present the facility has one trainer to provide all of the orientation and inservice instruction. The additional hours will nearly triple the workload of the training facility. Therefore, two new training officers will need to be hired at a total cost of \$33,264.

Physical Plant: The number of standards in this category which require the expenditure of funds to reach compliance at Fort Madison is very small--three. However, the cost implications of the changes required by the three is very large. The three standards are as follows: 4140 requires all institutions with a population in excess of 500 to create residential and managerial units of no more than 500; 4142 requires a minimum cell size of 60 sq. ft., 80 sq. ft. if residents are locked in more than 10 hours a day; and 4143 specifies the equipment which must be included in each cell.

TABLE 9

IOWA STATE PENITENTIARY, FT. MADISON

Standard Weight	Description	COST FACTORS					Additional Funds	Total
		Personnel	Equipment	New	Renovate			
<u>Training</u>		230,400 ¹						230,400
4090E	New Employee Training							
4091E	Annual Training							
4092E	Direct Contact Training							
<u>Physical Plant</u>								
4140E	Decentralized Units	723,158			^{2/}			723,158
4142I	Cell Size			9,375,128	2,649,600			12,024,728
4143E	Cell Furnishings							
<u>Security</u>			13,391					13,391
4153E	Watch Towers							
<u>Special Management Inmates</u>		101,562						101,562
4213E	Shave and Shower Frequency							
4218E	Programs and Services							
<u>Sanitation</u>							See Standard 4140	
4250D	Personal Laundry Usage							
<u>Medical</u>		53,303						53,303
4261E	Comprehensive Health Evaluation							
4263E	Periodic Examinations							
4274E	Disabled and Infirm							
4275E	Treating Emotional Disturbances							
4276E	Team for Emotionally Disturbed							
4278E	Services for Retarded							
4279E	Psychiatric Consultation							
<u>Work Programs</u>		248,000	1,635,000	2,700,000			104,000	4,687,000
4386E	Employment Opportunities							
4388I	Work Day Structure							
<u>Library</u>		20,680						20,680
4410E	Policy for Selection							
4417I	Minimum Provisions							
<u>Citizen Involvement</u>		15,141						15,141
4459E	Volunteer Orientation							
4460E	Inmate Orientation							
	TOTAL	\$1,392,244	\$1,648,391	\$12,075,128	\$2,649,600		\$104,000	\$17,869,363

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management/

Footnotes:

- ¹ Based on the addition of two training officers and overtime pay for covering training absences for direct service personnel.
- ² Funds appropriated for FY 80 = \$2,134,000.
- ³ Additional expenditures will be required but no cost estimate was possible.

With a rated capacity of 846, Fort Madison exceeds the limits for standard 4140. However, the renovation program will satisfy the unitization requirements. One building, Number 20, is being completely rebuilt for administrative segregation and disciplinary detention. It will conform, when completed, to all of the requirements for the physical plant. Plans have been drawn up for renovating three of the other buildings (18, 19N and 19S) to conform to the unitization limit. Walls will be built which subdivide the buildings vertically, and a floor inserted to break up the four tiers of cells into two tiers. There are also plans to add sufficient staff to meet the managerial requirements of unitization, that is, a full complement of correctional officers, security staff, and appropriate program personnel. Funds have already been appropriated for the unitization program. Building 20 is approaching completion, and bids have been solicited for the work on the other three buildings.

Completion of the unitization program, however, will not bring Fort Madison into compliance with all of the physical plant standards. None of the cells meet the minimum size requirement of Standard 4142 with the exception of the 44 disciplinary detention/administrative segregation cells nearing completion in Building 20. It is still necessary, therefore, to estimate the cost of cell sizing all of the other buildings. This is not to suggest that the unitization program will not affect the problem of cell size. The estimates which follow assume that the current renovation program has been complete and, therefore, it will not be necessary to upgrade the utilities, install stairways, and renovate the security systems in Buildings 18, 19N and 19S. The completion of the unitization program will significantly reduce the total cost of renovating the cells.

The three cell blocks in Buildings 18 and 19 have similar forms of construction.⁴ The buildings are made of stone; the cells are steel construction; and the cells measure six by eight feet. Cellblocks 19N and 19S are two wings of the same building with a common central entrance. All three buildings are part of the outer wall, and form a continuous line with Building 20. It may be possible to achieve the minimum cell size by extending the fronts of the current cells. However, it was impossible to identify the number of beds for which this was possible because of changes which will occur as a result of the unitization program. Therefore, the cost estimates assume that the minimum cell size will be achieved through combining three cells into two.

When considering Building 97, on the other hand, it was assumed that the fronts of the cells could be extended to meet the 60 square foot requirement. This judgement was concurred in by Property Management Personnel. If this is possible, there would be no loss in beds in that building as a result of renovation.

All evaluations of Building 17 concur: it is too old and too badly deteriorated to salvage through renovation without extraordinary costs. This was the conclusion of the 1977 Advisory Commission on Corrections Relief; staff at the Fort; and personnel in the Bureau of Property Management. Some of the items cited in support of this conclusion were the absence of hot water in the cells; severely leaking windows; and structurally unsound walls. The cost estimate, therefore, assumes that 17 will be demolished and replaced with a building of equal capacity (i.e., 318), comparable security level, and medium to minimum program space.⁸

These changes are summarized in Table 10.

TABLE 10

SUMMARY OF RENOVATION, FT. MADISON

<u>Building Number</u>	<u>Renovation Technique</u>	<u>Previous Capacity</u>	<u>New Capacity</u>	<u>Estimated Cost</u>
18	3 into 2	193	129	\$ 926,400
19	3 into 2	341	227	1,636,800
17	Replace	318	318	6,056,410
97	Extend front	18	18	86,400
-	New	-	178	<u>3,337,500</u>
				\$12,043,510

The table also includes the effects of the renovations on the capacities of each of the buildings. In order to compensate for the loss in bed space as a result of combining three cells into two in 18, 19N and 19S, the cost of a new building with 178 individual cells of sixty square feet has been included. It also assumes that medium to minimum program space will be required and that space can be found within the walls for such a building.

Standard 4140, Decentralized Units, has personnel implications as well as physical layout. The unitization program includes the assignment of personnel to each of the residential units as part of a management team. The team is to include treatment personnel, correctional officers and the necessary clerical assistance to maintain a management unit. The total cost of these personnel is \$939,319.

Security and Control: The perimeter wall is, according to the self evaluation team, inadequately lighted and, therefore, in violation of Standard 4153. Based on previous purchase orders, 50 additional lights are estimated to cost \$13,391.

Special Management Inmates: The standards require that any inmates held in disciplinary detention and administrative segregation cells be able to shave and shower three times a week, and have access to programs and

services (4123, 4218). In order to meet these standards, the plan of action calls for the addition of eight correctional officers. At present there are four officers and a supervisory officer assigned to an average population of 80 inmates in disciplinary detention and administrative segregation. The total cost of the new officers at starting salary will be \$101,562. A third standard in this category (4222) requires a psychological assessment of anyone who remains in this status beyond 30 days. The plan of action proposes to draw on the services of a psychologist who will be added to the staff to fulfill the requirements of this standard and of several medical and health care services standards. Since it is impossible to allocate the cost between the two standards, the estimate is contained in the discussion of the medical standards.

Sanitation, Safety and Hygiene: Laundry facilities at ISP are limited to the central processing plant for the institution. There is no access by individuals for personal use contrary to the requirements of the standards (4250). It is anticipated that this deficiency will be remedied as part of the renovation of the cells. Therefore, there is no independent cost estimate calculated.

Medical and Health Care Services: A thorough physical examination on admission into a facility, and provision for regular examinations thereafter are called for in Standards 4261 and 4263. ISP currently conducts a physical examination as soon as possible upon admission, but there is no regular schedule for examinations thereafter. To meet the requirements of the standard it will be necessary to add one physician and one physician's assistant, total cost for which is estimated at \$53,303.⁹

Standards 4274, 4275, 4276, 4278, and 4279 describe the kind and extent

of services which must be offered physically disabled or emotionally disturbed residents. Institution staff identified these standards as requiring changes in ISP operations. However, the planning for this population had not progressed sufficiently to permit an estimate of the cost.

Work Programs: Approximately 200 additional employment positions are required to provide employment for all those qualified as stated in Standard 4386. This will require a large investment in a building and in equipment. The estimates provided are based on an expansion of the current operation to accomodate these additional positions. The breakdown of the costs are as follows:

Table 11

COST OUTLINE FOR INDUSTRY AT ISP

200 Resident Employees at \$520.00 annually	\$ 104,000
16 Staff at \$15,500 annually	248,000
New Equipment	1,500,000
New Building 100,000 sq. ft. at \$27/ft.	2,700,000
3 Vans at \$45,000	<u>135,000</u>
Total -----	\$4,687,000

Source: Prison Industries Manager, Iowa State Penitentiary,
Fort Madison

Library: With an average daily population of 750, ISP has a major demand for library services. At present, no staff is fully qualified in library sciences, nor is there sufficient staff to provide services on an extended bases. The plan of action for Standards 4410 and 4417 call for the addition of one full time and one half-time librarian. At a beginning salary of \$12,062, the total cost of this additional personnel, including fringe, is

estimated to be \$20,680.

Citizen Involvement: The plan of action for Standards 4459 and 4460 calls for the addition of a full time counselor to recruit and orient volunteers and inform inmates of the availability of the volunteer programs. The cost of such a position at entry level, including fringe, is \$15,141.

FOOTNOTES: Chapter Two

1. The information for this section is based on a description of Fort Madison prepared by facility staff.
2. Goal Book FY78-79.
3. Building 97 has been closed but overcrowding is forcing its reconsideration as an operating cell block.
4. Goal Book FY78-79.
5. The 66 new recruits represent positions rather than number of new staff each year. The turnover rate at ISP is 43% but the drop out rate during the first year is very high according to staff estimates.
6. See Chapter One for a general discussion of the basis for the training cost estimates.
7. The descriptions of the buildings are taken from blue prints supplied by the Bureau of Property Management and verbal reports by Jim Kellogg of DPM, and Ron Welder of ISP.
8. It is an open question whether the Division will want to build a new building of this size on the current site. To facilitate the cost estimate, however, it was assumed the current situation would be continued.
9. The number of staff conform to population guidelines issued by the Iowa public health service.

CHAPTER 3

IOWA STATE REFORMATORY, ANAMOSA

The Iowa State Reformatory was begun in 1872 at Anamosa as a branch of the Iowa State Penitentiary.¹ It was built with inmate labor, using stone from three nearby quarries, over the next sixty years. The last building was completed in 1936. The institution is an imposing structure with high stone walls enclosing approximately 12 acres. The buildings and walls are decorated with turrets and carvings reminiscent of a Gothic novel. The facility is located within the corporate limits of Anamosa, a farming community of 4,300, but residential areas are confined to two sides of the complex. The other two walls look out over farmland.

The current function of the facility is the care and treatment of nonviolent offenders under age 31. However, the history of the institution has included several additional populations. From 1886-1918 the Women's Reformatory was located within the walls. The women were relocated at Rockwell City when construction was completed there on a separate facility. The so called criminally insane were also housed at the Reformatory from 1886 until the opening of the new hospital at Oakdale in 1969. Part of the renovation currently under way is the conversion of the old hospital building to program and residential space.

A major orientation of the Reformatory is a behavior modification program, with a reward system of increased privileges for good performance in the institution. The residential areas are divided into levels based on the degree of restrictions placed on the activities of the residents. This behavior modification program was made an integral part of all of the activities of the institution in 1970.

There is also a sizable industrial work program within the walls. It includes metal stamping, metal furniture, sign, tire recapping, mattress fabrication, graphic arts, soap and dry cleaning. Approximately 160 residents are employed in these programs.

There are four buildings which house inmates. Two are traditional, tiered cell blocks. One building -- North Cell House -- was condemned in 1968. It is undergoing renovation and will include, when complete, administrative offices on one floor and residential areas on the other two. The old hospital building is also undergoing renovation into a program and residential facility.

The current rated capacity of the institution is 692, including 82 segregation cells. When renovation is complete on Cell Houses N and H 142 additional beds will be available.

Cost Implications of Standards Non-Compliance

There are only nine non-compliant standards with significant cost implications at Anamosa. These are summarized in Table 12. The largest category is physical plant because of the extensive renovation which will be required to meet the cell size requirement. Training and Staff Development will also require a significant increase in personnel expenditures. No cost estimate was possible for Work Programs. But it is likely that major costs will be incurred to provide adequate employment opportunities. The details of each of these cost estimates follow.

Administration: Standard 4019 requires written policy and procedures which inform the courts and parole authorities of the services and programs available to inmates. At present there is no such program. The staff at the Reformatory estimated that \$500 annually would be

TABLE 12

IOWA STATE REFORMATORY -- ANAMOSA

Standard Weight	Description	COST FACTORS				Total
		Personnel	Equipment	New	Facility Renovate	
<u>Administration</u>			500			500
4019E	Courts and Parole					
<u>Training</u>		130,019 ¹				130,019
4090E	New Employee Training					
4091E	Annual Training					
4092E	Direct Contact Training					
<u>Physical Plant</u> ²		*		1,755,000	7,433,371	9,188,371
4142I	Cell Size					
<u>Security</u>			1,000			1,000
4173E	Unloading Firearms					
<u>Special Management Inmates</u>		38,086				38,086
4215E	Exercise					
<u>Work Programs</u> ³		*	*	*		*
4386E	Employment Opportunities					
<u>Library</u>			1,420		4,390	5,810
4416E	Design and Appearance					
	TOTAL	\$168,105	\$2,920	\$1,755,000	\$7,437,761	\$9,363,786

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

Footnotes:

¹ Based on the addition of one training officer, one clerk/typist, and overtime pay for covering training absences for direct service personnel.

² No estimate of additional personnel to staff renovated facilities was available although reasonable to expect some addition in requirements.

³ Interviews with facility staff suggest an additional 124 employment positions but no cost estimate possible.

required for postage and reproduction of materials.

Training and Staff Development: Anamosa provides the most initial and inservice training for its staff of any of the institutions. However, it too falls short of the requirements contained in Standards 4090, 4091, and 4092. There are 276 total positions at Anamosa of which 193 are involved in direct services. There are an estimated 61 new recruits and 132 continuing staff who require substitute personnel to cover their absences.² An additional 80 hours are required for new personnel and 51 hours for inservice training for a total of 11,612 hours. Approximately six additional correctional officers will be required to cover absences due to training if overtime is not utilized. In addition, it is estimated that one additional training officer will be required to meet the increased demand, and a clerk typist to handle the paper flow which will be involved. The total cost of meeting this set of standards, therefore, ranges from \$101,682 if additional correctional officers are hired, to \$130,019 if overtime pay is used to cover training absences. (See Chapter 1 for a description of the training estimate procedure.)

Physical Plant: None of the cells in CH-1 or CH-2 meet the minimum square footage requirement of Standard 4142. Residents are in their cells less than ten hours a day, and, therefore, only require 60 square feet instead of eighty. But the cells in each of these buildings are significantly less than this minimum. Plans for meeting this standard had not progressed to the point where blueprints were available for renovation or new construction. Therefore, the cost estimates which follow are based on a square footage estimate for reaching compliance. (See Chapter 1 for a fuller discussion of the technique used in estimating construction

costs.)

CH-2 is the oldest residential building at the Reformatory. It has 312 interior cells, arranged in four galleries with stone, load bearing walls between the cells. The cell dimensions are approximately four and one half by nine feet. Because of the load bearing walls and the condition of the utilities, it will be necessary to completely renovate the building by removing all existing cells and rebuilding the interior.³ Assuming a moderate to minimum program space and continued use of individual cells, the total capacity of the renovated building will be 218. This is a significant loss from the 312 currently housed in this building. The estimated cost of completing this work, including contingency fees, is \$4,542,571.

The second cell house, CH-1, also has 312 interior cells, 37.5 square feet in size. These are arranged in five galleries, but, unlike CH-2, are constructed of steel rather than stone. This will permit combining existing units to achieve compliance instead of demolishing the interior walls as is necessary in CH-1. The current size of the cells is so small that it will be necessary to combine two cells into one to meet the minimum requirement of 60 square feet. Doing so will produce 156 cells with 75 square feet per cell. The estimated cost of carrying out this plan is \$2,890,800.

If the renovations are carried out as described above, there will be a net loss in capacity for these two buildings of 250 beds. However, the renovations of CH-N and CH-H currently underway will add 142 beds. To maintain the current capacity it will be necessary to replace 108 beds. Since no plans were available on which to base an estimate, it

was assumed that the additional space will be achieved by constructing a new building within the existing walls. The cost estimate is based on a residential building with 108 individual cells of 60 square feet, and moderate program space to be built within existing walls.⁴ The cost of this new construction is estimated at \$1,755,000.

It should be noted that these cost figures underestimate the total cost to the Reformatory of coming into compliance with these standards. There has been no attempt to calculate the personnel which will be required to operate the renovated facilities and the new building. There is no way of knowing, at this point, whether the renovation will reduce staff requirements or increase them, let alone the numbers affected. The new building will obviously require special staffing arrangements but it is not possible to anticipate whether this can be achieved through reallocation of existing resources or if new positions will be required. Those estimates must await more detailed specification of the program components which can only be supplied by institution personnel.

Security: The only standard in this category with cost implications is 4173 governing the safe loading and unloading of firearms. The Plan of Action calls for the purchase of two bullet traps at \$500 each.⁵

Special Management Inmates: Standard 4215 specifies that inmates in disciplinary detention or administrative segregation receive a minimum of one hour of exercise a day, five days a week. Approximately three

additional staff will be required to supervise the additional hours of exercise as, at present, it is the policy not to allow exercise for those in disciplinary detention for short periods.⁶ The total cost of the additional staff is estimated at \$38,086.

Work Programs: No estimate was made of the cost of achieving compliance with Standard 4386 which requires sufficient employment opportunities for inmates because planning had not progressed far enough to permit an accurate estimate. However, a crude indicator of the magnitude of the investment is possible based on the need defined by Reformatory staff and the cost of providing similar services at Fort Madison. Currently, there are 512 employment positions at the Reformatory. This includes general work duties in addition to the 160 employed in industry. An additional 124 positions are needed to ensure all inmates are adequately employed. If all of these opportunities are to be provided by an increase in the industrial program a sizable capital investment will be required (assuming, of course, that an appropriate product line can be identified which will employ enough residents to be useful and that space can be found within the institution to accomodate the buildings required). The estimated cost of providing employment for 200 inmates at Fort Madison -- including construction, equipment purchases, and personnel -- is \$4,687,000. (See p. 38 for a description of this cost.) Although it is impossible to produce an accurate cost estimate until the type of industry is established and the space requirements determined, the experience at Fort Madison and at other institutions in other states indicates three million

is an appropriate figure for a program with this employment capacity.

Library: Standard 4416 requires that the library be functional in design and pleasing in appearance. The Plan of Action prepared by Reformatory staff calls for renovation of the current facility including carpeting, accoustical tile, drapes, and air conditioning. The total estimated cost of carrying out this renovation is \$5,810.⁷

FOOTNOTES: Chapter Three

1. The information in this section is taken from Annual Report 1978; Goal Book FY 78-79; and a description prepared by ISR staff, August, 1979.
2. The number of new staff, taking into account the drop out rate during the first year, is derived from Goal Book FY 78-79, and interviews with institution staff.
3. The condition of this building and of CH-1 is taken from verbal reports from Jim Kellog of the Bureau of Property Management and John Sissel of ISR. The dimensions are taken from blue prints of the buildings supplied by DPM.
4. It is, of course, an open question whether this is the best solution to the problem of bed space. This plan represents a feasible approach to permit calculating a cost estimate rather than to determine a recommended course of action.
5. The figures are supplied by ISR personnel from vouchers.
6. At any given time ISR has from 9-10 individuals in disciplinary isolation for an average of four days; total of 34 in disciplinary detention; and six in administrative segregation.
7. The cost estimate was prepared by the Vocational Carpentry Class conducted at ISR by the Kirkwood Community College dated September 18, 1979.

CHAPTER 4

MEDIUM SECURITY UNIT, MT. PLEASANT

The Medium Security Unit occupies a converted building of the Mental Health Institute in Mt. Pleasant, Iowa. The facility is a recent addition to the system, receiving its first transfers in 1977.¹ The Unit has 144 beds. In fiscal year 79 it had an average daily population of 133. The primary program objectives are treatment and social education. Residents must be within 6 - 12 months of release before they can be transferred to Mount Pleasant.

Although part of the Mental Health Institute's building complex, the Medium Security Unit is a free standing structure. The residential areas are dormitory style. Perimeter security consists of a double chain link fence embedded in concrete and guard towers. Within the fence is a large open space for a ball field, a pleasant grassed area with numerous trees.

Programs at the Unit include two therapeutic communities - one for substance abuse and one for moral development; group and individual counseling; several social skills classes; and G.E.D. and some vocational classes. In addition, each resident is given a work assignment on the grounds to which he is required to devote four hours a day. Daily compensation for residents is up to \$1.65.

The town of Mount Pleasant is primarily a farming community of 6,600 people located in the southeastern part of the state. The closest urban center is Iowa City, some 50 miles away. The proposal to convert part of the Mental Health Institute to a prison produced a strong negative

reaction in the town and the prison administration has taken care to work closely with local leaders. Mt. Pleasant is only twenty miles from the Iowa State Prison in Fort Madison.

Cost Implications of Standards Non-Compliance

There are seven areas in which the Medium Security Unit does not meet standards with cost implications: Training and Staff Development; Special Management Inmates; Medical and Health Care Services; Inmate Work Programs; Education and Vocational Training; Library Services; and Recreation and Inmate Activities. Unlike the older facilities, most of the cost standards involve program requirements rather than security or housing. The estimated costs are presented in Table 13. A description of the calculations for each standard follows.

Training and Staff Development: Of the seventeen standards listed under this category, the self-evaluation team identified eight as requiring changes in facility operations. These include the standards mandating a systematic program for planning and implementing staff training (4088, 4094, 4095); the minimum hours to be provided new employees and for inservice training (4090, 4091, 4092, 4093); and educating security and custodial personnel in the use of approved methods of using physical force (4098). In addition, they identified as non-compliant two standards in the security and control category which require that units formed to handle disturbances be trained in appropriate methods (4182, 4183). The Plan of Action for these nine standards calls for one additional instructor to handle the increased workload; and sufficient relief staff to replace direct service personnel absent because of training. Currently, direct service personnel receive approximately 80 hours of training during the

TABLE 13

MEDIUM SECURITY UNIT, MT. PLEASANT

		COST FACTORS					
Standard Weight	Description	Personnel	Equipment	Facility New	Renovate	Additional Funds	Total
<u>Training</u>		79,272 ¹					79,272
4090E	New Employee Training						
4091E	Annual Training						
4092E	Direct Contact Training						
<u>Special Management Inmates</u>			280				280
4203I	Segregation Unit Conditions						
<u>Medical</u>		8,736				936 ²	9,672
4278E	Services for Retarded						
<u>Work Programs</u>		13,162	250		10,000		23,412
4386E	Employment Opportunities						
4387I	Job Market Revevance						
4388I	Work Day Structure						
<u>Education and Voc. Training</u>						158,042 ³	158,042
4406E	Relevant Vocational Programs						
<u>Library</u>			7,000				7,000
4409E	Library Services Provided						
<u>Recreation</u>			15,000	31,550 ⁴			46,550
4424E	Facilities and Equipment						
TOTAL		\$101,170	\$22,530	\$31,550	\$10,000	\$158,978	\$324,228

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

Footnotes:

¹ Based on the addition of part time training officer and overtime pay for covering training absences for direct service personnel.

² Mileage for psychologist between Iowa City and Mt. Pleasant.

³ Estimate of vocational and educational training provided by Southeastern Iowa Community College using John E. Bennett contract as a prototype.

⁴ The total estimated cost of the building to meet this standard is \$206,550; however, \$175,000 have already been appropriated for this purpose. The figure presented here is the estimated additional expenditures required.

first year instead of the required 160, and 20 hours annually thereafter.² Taking into account the number of direct service positions which must be covered (87) and the turnover rate for those positions (24%), it is estimated that a total of 6,960 hours of relief must be provided annually in order to meet the standard, either in the form of overtime, or the addition of three full-time correctional officers. The cost of meeting these standards, therefore, is estimated to range from \$54,718 to \$79,272. The lower figure assumes relief will be provided by entry level, full time personnel; the higher figure assumes all relief will be provided through overtime payments which average \$9.00.

Special Management Inmates: Standard 4203 requires that disciplinary detention and administrative segregation units approximate, as much as possible, the living conditions of the general population. To meet this requirement a desk must be added to the two units at \$140 each for a total cost of \$280.³

Mental and Health Care Services: The non-compliant cost standard in this category is 4278 which requires that severely disturbed inmates be provided professional psychological and psychiatric care. Except on an emergency basis, at present no such services are provided at this facility. To remedy the situation the Plan of Action calls for a psychologist one day a week for eight hours. The cost, including travel from Iowa City and an hourly rate of \$21.00, would total \$9,672 annually.⁴

Inmate Work Programs: The programs at the Medium Security Unit do not meet three of the work program standards: that there be sufficient opportunities for inmates (4386); that the work experience be relevant to the market (4387); and that an effort be made to approximate a normal

work day (4388). The work experience of inmates is presently limited to custodial work in the facility. To meet these standards, the Plan of Action calls for relocating office space to accomodate equipment needed for the work program. This will require removing office partitions in one room and wiring it for light industrial work; and installing office partitions in a second large room to accomodate the relocated personnel. The estimated cost for this work is \$10,000. Five work benches will be required at \$50; and a supervisor/technician added to the staff. The total cost of reaching compliance, including the renovation, is estimated to be \$23,412.⁵

Educational and Vocational Training: At present the Medium Security Unit does not have a certified vocational training program, and, therefore, is not in compliance with Standard 4406. To rectify the situation, it is proposed to enter into a contract for services with the Southeast Iowa Community College. To estimate the cost of such a program, the current contract between the John Bennett Correctional Center and SICC was used as a model. That program is for approximately the same number of inmates and includes the range of subject matter appropriate for the Medium Security Unit.⁶ The 1979/80 cost of that contract for the programs appropriate for the Medium Security Unit totals \$158,042.

Library Services: Standard 4409 requires a comprehensive library be available at each facility. The Medium Security Unit's current library contains an inadequate number of volumes and periodicals. To bring the library up to standards it has been estimated by library personnel at the adjacent Mental Health Institute that \$7,000 will be required.⁷

Recreation and Inmate Activities: At present, indoor recreation and activity space for inmates is woefully inadequate. The outside recreation grounds are spacious, but the primary inside area is a tunnel which once connected the building with the rest of the Mental Health Institute. To meet Standard 4424 which requires adequate facilities and equipment, the Plan of Action calls for the construction of a steel span activities building, 85 by 90 feet, which contains a basketball court, racquetball court, game room and showers. The legislature has already appropriated \$175,000 for this facility for FY 80. An additional \$31,550 will be required, however, to complete the building and \$15,000 for equipment.⁸

FOOTNOTES: Chapter Four

1. The description of the Medium Security Unit is based on a report prepared for the Council on Social Services, June 30, 1978 by the Division of Adult Services; Goal Book FY 78-79; and interviews with institutional staff.
2. These figures were supplied by the Personnel Officer, Deputy Supervisor, and Training Officer at the Medium Security Unit.
3. Estimated cost of the desks is taken from the Iowa Prison Industries current catalogue.
4. The figures are taken from the experience of ISR, which has such a program already in existence.
5. The renovation costs were supplied by the Bureau of Property Management. They assume all labor costs will be absorbed by current staff.
6. The John Bennett contract includes training in food services. This would not be part of the Medium Security Program. The figures are taken from the detailed program proposal prepared by SICC and attached to the current contract.
7. See Chapter One for a review of this estimate.
8. See Chapter One for a discussion of the basis for the cost estimate.

CHAPTER 5

JOHN BENNETT CORRECTIONAL CENTER, FORT MADISON

The John Bennett Correctional Center has three sites: the main unit located at Fort Madison which is a medium security facility; and two minimum security facilities located at Montrose and Augusta.¹ All are within 35 miles of each other. The main unit houses 100 adult offenders; the two minimum security units house 65 each.

All residents are transferred to the main unit first and then, after appropriate evaluation, moved to the minimum security units if qualified. Transfer to the main unit is based on an individual's suitability for academic and vocational training or Iowa State Industry assignment and on potential ability to adjust to medium security in a dormitory housing situation. Individuals with long periods of time to serve are eligible for the medium security setting but movement from the main to the outlying units is limited to those within 12-18 months of some form of release, that is, parole, discharge, or work release.

Programs at three facilities include vocational and educational instruction; work in an upholstery shop run by the Iowa State Industries program; other work assignments such as building maintenance, conservation crew, and recreational aids; and group counseling and social skills programming on a limited basis. Each of the units has its own programs. From the standpoint of inmate classification and program participation the units operate as independent entities.

Cost Implications of Standards Noncompliance

The cost implications of the self-evaluation follow a pattern similar to the other medium security and minimum security institutions. The cost deficiencies fall into seven categories of standards: Training and Staff Development; Security and Control; Inmate Rights; Classification; Inmate Work Programs; Library Services; and Recreation and Inmate Activities. The cost estimates are presented in Table 14 and explained below.

Training and Staff Development: The John Bennett facility offers no training for its staff at present. Since most of the initial staff were transfers from other facilities, this was not a problem. But now new personnel must be recruited from outside the Division and training becomes an imperative. Direct service staff total 74 and approximately 30 recruits must be trained for these positions each year.² The additional hours required to meet the standards total 8,320 annually or the equivalent of four personnel. The total cost of filling posts to allow for training, therefore, ranges from \$50,781 if additional staff are used, to \$74,880 for overtime coverage. It will also be necessary to add sufficient staff to provide the needed training. One full time trainer will be required to develop and implement the program at a total annual cost of \$16,663. (See Chapter 1 for a description of the formulas used to calculate the training costs.)

Security and Control: Standard 4185 requires that a facility have equipment for maintaining emergency lights, power, and communications in an emergency. To meet this standard the Plan of Action calls for the addition of 5 hand held radios, and 26 emergency lights distributed

TABLE 14

JOHN E. BENNETT CORRECTIONAL CENTER, FT. MADISON

Standard Weight	Description	COST FACTORS				Total
		Personnel	Equipment	New	Facility Renovate	
<u>Training</u>		91,512 ¹				91,512
4090E	New Employee Training					
4091E	Annual Training					
4092E	Direct Contact Training					
<u>Security</u>			6,820			6,820
4185E	Emergency Power					
<u>Rights</u>			9,400			9,400
4283E	Inmate Legal Assistance					
4284E	Supplies for Legal Matters					
<u>Classification</u>		16,671				16,671
4375E	Special Needs Inmates					
<u>Work Programs</u>			44,416	162,000		206,416
4386E	Employment Opportunities					
4388I	Work Day Structure					
<u>Library</u>			7,000			7,000
4409E	Library Services Provided					
<u>Recreation</u>		2,016	15,000	206,550		223,566
4420E	Athletic and Cultural					
4424E	Facilities and Equipment					
	TOTAL	\$110,199	\$82,636	\$368,550		\$561,385

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

Footnotes:

¹ Assumes overtime pay to cover training absences.

among the three sites. The total cost of these items based on recent purchase orders is \$6,820.

Inmate Rights: Two standards in this category require that offenders have access to legal assistance (4283) and to supplies and materials related to legal matters such as typewriters or typing service, paper, and legal documents (4284). The John Bennett Center does not provide such services on site. The proposed remedial action is to purchase the necessary equipment: law books (\$5,000), shelves (\$2,000), three typewriters (\$1800), and supplies such as paper and carbon paper (\$600 annually).³ The total cost for meeting these standards is estimated to be \$9,400.

Classification: Most of the standards contained in this category are directed to the procedures for processing offenders on entry into a facility and on changes in their status while in residence. However, included among these standards is one which specifies that provision is made for providing service to special needs inmates such as those addicted to drugs or alcohol (4375). The Center does not, at present, provide adequate counseling for chemical dependency. The Plan of Action, therefore, calls for adding a full time drug counselor to the staff at a starting rate of \$16,661.⁴

Inmate Work Programs: A major thrust of the programs at the John Bennett Correctional Center is to provide work experience for all residents. There are, however, insufficient opportunities for the present population. By adding to the work capacity at the main unit the Center will be brought into compliance with the two relevant standards (4386, "there are sufficient employment opportunities"; and 4388,

"the work day ... approximates the work day in the community.") The plan is to double the capacity of the present upholstery shop. The equipment costs for doing so will total \$44,416.⁵ It will also be necessary to construct a new building with 6,000 square feet of space. The building will be a steel frame structure which, at \$20 a square foot, will total \$120,000. The utilities are estimated to cost an additional \$42,000.⁶ The total cost of meeting these standards, therefore, is estimated to be \$206,416.

Library Services: The self evaluation report identified five standards in this category which would require changes in procedures. Most of the deficiencies affect administrative procedures such as requiring systematic planning for personnel and services needs (4414, 4415) and ensuring the services are readily accessible (4417). But the changes required to meet one of the standards has direct cost implications -- services must be comprehensive (4409). The Plan of Action does not provide a detailed discussion of the number of volumes required. The estimate provided by the Medium Security Unit was used as a surrogate indicator of cost for a total of \$7,000.⁷

Recreation and Inmate Activities: The recreation facilities at John Bennett are severely limited. There are game rooms at each of the sites, but little or no space is available for indoor athletic activity. This is in violation of the standards which require that a comprehensive recreation program be available (4419) and that both athletic and cultural activities be provided (4420). A multi-purpose building is proposed similar to the one planned for Mount Pleasant and Riverview. As with the other two male institutions, the building will

be of steel frame construction, 85 by 90 feet, at an average cost per square foot of \$27.00. Equipment is estimated to be an additional \$15,000 for a total cost of \$221,550. Finally, a part-time instructor will be hired at \$7.00 per hour, 3 days a week for a total annual cost of \$2,016.00. The estimated cost for meeting these standards including facilities and personnel, is \$223,566.⁸

FOOTNOTES: Chapter Five

1. Information for this section is taken from material supplied by John Emmett, August, 1979.
2. Figures on direct service positions and number of recruits were supplied by facility personnel.
3. The equipment figures are taken from recent vouchers; the estimate for shelves was provided by facility maintenance staff.
4. The Center currently receives this service without cost through the Southeast Iowa Commission on Drug and Alcohol Abuse. But this service will end at the close of this fiscal year when a grant to the SICDAA expires. The full time counselor will absorb the discontinued service.
5. The equipment estimate is based on the purchase price of the current equipment.
6. The formula for estimating the cost of the building is the same as the multipurpose facility being constructed. See the discussion of Recreation, Chapter One.
7. See the discussion of Library Services in Chapter One for an alternative estimate of cost.
8. See Recreation, Chapter One, for the basis of this estimate.

CHAPTER 6

IOWA REFORMATORY FOR WOMEN, ROCKWELL CITY

The Women's Reformatory is a minimum security facility located in the western part of the state, roughly equidistant between Des Moines and the Council Bluffs/Omaha metropolitan area. There are no walls or fences and very few trees to obstruct the view of the farmland which surrounds the buildings. Rockwell City, one mile away, has a population of 2,400.

The facility was opened in 1917 and most of the buildings date from that time.¹ Five buildings are distributed along a gently curving arc. At one end of the curve is a residential cottage, followed by an administration building, and a second residential building with dining room, and a third cottage. Some distance away is an education building and powerplant. The architectural style is Spanish which is a little startling in this rural setting. The roofs are red tile, the walls are stucco, and there are arches over the windows and doors.

Programs at the facility include alcohol, drug, and psychological counseling. Vocational and educational programs are also available. Recreation facilities are limited, especially indoor, but activities are available. All residents are expected to have a work assignment unless specifically excused for medical, security or programatic reasons. A furlough program operates out of the facility. Work release is only available upon transfer to a half-way house in the community.

The current rated capacity of the facility is 98. However, the average daily population was 81 in FY 78 and 71 in FY 79. The 98 beds include 2 dorms of 4 beds; 2 dorms with 3 beds; 19 double rooms; and

46 single rooms. In addition, there are three disciplinary detention rooms in one cottage and three lock ups in the education building.

Cost Implications of Standards Non-Compliance

The cost implications of achieving compliance are generated by six categories of standards. Three of those groupings account for most of the estimated costs: Training and Staff Development, Special Management Inmates, and Recreation and Inmate Activities. The cost estimates are presented in Table 15.

Training and Staff Development: The Women's Reformatory provides approximately 40 hours of orientation, and 24 hours of inservice training for its direct service staff of 36. The annual turnover rate is 20%. To provide for the necessary coverage for absences due to training the facility will need to add either one more officer at \$12,695 or compensate 2,272 hours of overtime at \$20,448 per annum. In addition, it will be necessary to increase the training capacity of the facility. Currently, all training is provided on an ad hoc basis or by sending staff to outside facilities. A half time trainer will be required at \$8,316.²

Physical Plant: The Plan of Action calls for renovation of Cottage III in order to meet standards directed to physical requirements and handling of special management inmates.³ It is impossible to allocate the cost of this work to each category. Therefore, changes required by the standards will be discussed separately, but the cost estimate will be summarized in this section.

Standard 4142 and 4144 prescribe the square footage requirement of single cells and dormitories respectively. The three cottages contain a combination of single occupancy and multiple occupancy rooms. The

TABLE 15

WOMEN'S REFORMATORY, ROCKWELL CITY

Standard Weight	Description	COST FACTORS				Total
		Personnel	Equipment	New	Facility Renovate	
<u>Training</u>		28,764 ¹				28,764
4090E	New Employee Training					
4041E	Annual Training					
4092E	Direct Contact Training					
<u>Physical Plant</u>					32,652 ²	32,652
4142I	Cell Size					
4143E	Cell Furnishings					
<u>Special Management Inmates</u>		19,042 ³				19,042
4200E	Disciplinary Detention					
4201E	Administrative Segregation					
4203I	Segregation Unit Conditions					
4204E	Non-Isolated Segregation					
4213E	Shave and Shower Frequency					
4215E	Exercise					
<u>Mail</u>						
4355D ⁴	Visitor Transportation					
<u>Recreation</u>		13,162	15,000	22,125 ⁵		50,287
4419E	Comprehensive Program					
4420E	Athletic and Cultural					
4421E	Full-Time Director					
4424E	Facilities and Equipment					
	TOTAL	\$60,968	\$15,000	\$22,125	\$32,652	\$130,745

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

Footnotes:

¹Based on the addition of a part time instructor and overtime pay to cover training absences for inservice personnel. See footnote b.

²The renovation will also serve to meet the requirements for Special Management Inmate standards as well. It is impossible to assign the relative cost to each category.

³One and one-half full-time-equivalent corrections officers are required to meet these standards.

⁴No Plan of Action was prepared for meeting this standard.

⁵The total cost of construction is estimated to be \$172,175. However, \$150,000 was included for this purpose in capital appropriations for FY 80. \$22,125 represents the additional cost to finish the building as a recreational facility.

single occupancy rooms meet the 60 square feet requirement of Standard 4142. However, the six detention cells are 71 square feet instead of the 80 required for cells occupied more than 10 hours per day. And the multiple occupancy rooms do not contain 60 square feet per person as required by Standard 4144.

The Plan of Action proposes a reduction in the number of beds in the multiple occupancy rooms. The distribution of the reduction among the three cottages is contained in Table 16. The rated capacity of the

TABLE 16
DISTRIBUTION OF BEDS

	Cottage I	Cottage II	Cottage III	Total
<u>Current</u>				
Single Room	19	16	11	46
Double Room	6	6	7	19
Triple Room		1	1	1
4 Bed Dorm	1	1		2
	—	—	—	—
Total Beds	35	25	28	98
<u>Proposed</u>				
Single Room	25	22	18	65
Triple Room	1	2		3
	—	—	—	—
Total Beds	28	28	18	74

institution would drop from 98 to 74 beds. This part of the plan will require no increase in expenditures.

Renovation will be required to bring the detention cells into compliance with the 80 square foot requirement. Six cells are distributed between two buildings. Past usage, however, suggests only three cells are required and can be accommodated in Cottage III.⁴

The renovation of Cottage III to accomodate the detention cells and the changes required by the Special Management Inmates standards described below will result in six additional beds for a total institutional capacity of 80. This capacity is considered adequate as the average daily population during FY 79 was 81.

The total cost of renovating Cottage III is estimated to be \$32,652.⁵ This includes remodeling the three security cells, relocating the medical area, converting the matron's bedroom to a minimum security dorm, and replacing the doors in the current rooms.

Special Management Inmates: Four standards in this catefory will require the expenditure of funds to achieve compliance: the living conditions of those held in detention and administrative segregation should approximate those of the rest of the population (4203); such units should permit communication with other residents and be observed by staff (4204); persons held in such units have the opportunity to shower three times a day (4215); and residents be given at least one hour per day of exercise (4215). The renovation implied by these standards has been described in the discussion of physical plant standards. There remains, however, a personnel implication which has not been discussed.

An increase in staff will be required to adequately supervise the detention and administrative segregation cells. Current practice limits staff during the night shift to one in each cottage. However, this does not permit continuous supervision of those in the detention cells. The Plan of Action calls for the addition of a second correctional officer to the night shift. To fill a position seven days a week is the equivalent of 1.4 full time staff. This has been used to calculate the cost of adding personnel.

Mail: Standard 4355 specifies the institution should provide for assisting visitors with transportation to the facility when public transit is not available. The Women's facility is located approximately 20 miles from the nearest bus station. At present, no program exists for helping visitors with transportation. Since no Plan of Action was available it was impossible to prepare a cost estimate. It may be possible for the institution to provide this service at little or no cost through the use of volunteers. The standard is included here only to call attention to the potential for cost implications of non-compliance.

Recreation and Inmate Activities: The recreational activities at the Women's Reformatory are, at present, minimal. The self-evaluation team identified ten standards which would require changes at the facility. Most of these will not have a direct impact on expenditures involving, as they do, such things as encouraging community involvement (4423), or establishing a systematic approach to determining the recreational needs of the residents (4426). In four instances, however, additional resources will be required: the mandate for a comprehensive recreational program (4419); the recreational program must include both athletic and cultural

CONTINUED

1 OF 2

activities (4420); the institution employs a full-time, qualified recreation director (4421); and adequate recreation facilities and equipment are available (4424). To meet these standards the Plan of Action includes the construction of a gym/multipurpose building 85 by 75 feet, the equipment for such a facility, and the addition of one full time recreation director. The estimated cost for the building and equipment is \$187,125. (See Chapter 1 for a description of the basis for estimating the cost of the building.)⁶ The entry level salary for the recreation director is \$13,162. The total cost of meeting the Recreation and Inmate Activities standards, therefore, including currently appropriated funds, is \$200,287.

FOOTNOTES: Chapter Six

1. Information on the history and programs are taken from material supplied by Steve Wall, Correctional Counselor, IRW.
2. See Chapter 1, Training, for a discussion of the basis for estimating the costs.
3. The rennovation plan was prepared by SMT staff in September, 1979. The following description of past utilization rates and proposed changes are taken from that proposal and the accompanying schematic.
4. Figures contained in the proposed rennovation plan of September, 1979.
5. Cost figures were supplied by the Bureau of Property Management based on the schematic prepared by Fred Scaletta, Staff Director, SMT.
6. It should be pointed out that not all of these funds are new as \$150,000 has already been appropriated for this building for FY 80. Only the additional expenditures required are reported in the summary table, i.e., \$37,125.

CHAPTER 7

RIVERVIEW RELEASE CENTER, NEWTON

The Riverview Release Center is a minimum security facility, whose primary objective is to prepare inmates for release on parole, discharge, or work release.¹ It offers a variety of programs to that end including family and community reintegration through furloughs; job training on site and in the community; counseling; vocational rehabilitation services; adult educational training and GED; alcohol and drug counseling; religious counseling services; and recreation. The six halfway houses operated by the Division were begun under the auspices of Riverview and continue to be part of its budget. The rated capacity of Riverview is 103 beds; but the average daily population for fiscal year 78-79 was 87 adult males. Inmates must be within 12 - 14 months of release on parole, work release, or discharge before transfer to this facility.

Newton, with a population of 15,500, is five miles from the Center. Des Moines is only thirty miles distant. Both are close enough to permit the facility using the services each has to offer. Riverview began as a prison honor farm. The farm program has been discontinued and the 1500 acres leased to private operators. Since 1971 the agricultural program has been replaced with other work experiences such as printing, construction and automotive.

Although the farm program has been discontinued; the setting continues to be pastoral; the cluster of buildings is surrounded by farm land. There are two main buildings -- an administrative programs building; and a residential building. In keeping with its minimum security designation, the

residences are dormitory style, there are no armed correctional personnel and no security fences.

Cost Implications of Standards Non-Compliance

Because of its programmatic emphasis, Riverview met the CAC's criteria for both community residential services, and adult correctional institutions. The Division opted to be evaluated according to the Standards for Adult Correctional Institutions rather than the Standards for Community Residential Services. This decision has necessitated the addition of some security procedures. This is not, however, the only source of additional costs to achieve compliance. Cost related deficiencies are scattered across eight categories of standards: Training and Staff Development; Physical Plant; Security and Control; Special Management Inmates; Sanitation, Safety and Hygiene; Medical and Health Care Services; Library Services; and Recreation and Inmate Activities. The costs are summarized by standard in Table 17 .

Training and Staff Development: Riverview currently provides approximately 70 hours of orientation and first year training for new personnel, and 50 hours annually of inservice training. This falls short of the 160 and 80 hours respectively called for in the standards for direct service personnel (Standards 4090, 4091, and 4092). There are an average of eight recruits and twenty-eight on-going personnel a year who require this additional training and whose absences must be covered by more staff or the use of overtime. In combination, a total of 2,120 hours of relief must be financed in order for the facility to meet the minimum training requirement. In addition, there are insufficient training officers to accomodate the increased workload as at present no designated training personnel are on

TABLE 17

RIVERVIEW RELEASE CENTER, NEWTON

Standard Weight	Description	COST FACTORS					Total
		Personnel	Equipment	Facility New	Facility Renovate	Purchase of Services	
<u>Training</u>		27,396 ¹					27,396
4090E	New Employee Training						
4091E	Annual Training						
4092E	Direct Contact Training						
<u>Physical Plant</u>					20,000		20,000
4144E	Dormitory Requirements						
<u>Security</u>		63,477	7,967				71,444
4151E	Secure Perimeter						
4152E	Surveillance						
<u>Special Management Inmates</u>					9,000 ²		9,000
4203I	Segregation Unit Conditions						
<u>Sanitation</u>			890				890
4250D	Personal Laundry Usage						
<u>Medical</u>		6,893	1,200				8,093
4265E	Record Confidentiality						
4267I	Dispensing of Drugs						
4274E	Disabled and Infirm				8,000		8,000
4275E	Treating Emotional Disturbances					9,600	9,600
<u>Library</u>		6,893 ³	8,800		*		15,693 ⁴
4409E	Library Services Provided						
4412E	Supervising Staff Member						
4416E	Design and Appearance						
<u>Recreation</u>		6,581 ³	15,000	206,550			228,131
4420E	Athletic and Cultural						
TOTAL		\$111,240	\$33,857	\$206,550	\$37,000	\$9,600	\$398,247

Source: Iowa Accreditation Management Team (SMT) Plans of Action as of June 1, 1979; and from the staff of the Bureau of Property Management.

Footnotes:

¹Based on the addition of a part time instructor and overtime pay to cover training absences for inservice personnel.

²CEC estimate for adding three security cells is as follows: 60 sq.ft.= \$14,000; 80 sq.ft.= \$19,200.

³One half full-time equivalent.

⁴The plan of action calls for minor renovation of the library but no cost estimates were provided.

staff. Administrators of Riverview estimate that the services of a half-time instructor must be added to the training resources. The estimated cost for meeting the training standards ranges from \$21,011 if one full time corrections officer is added to the staff to cover absent posts; to a high of \$27,396 if all training absences are covered by overtime.²

Physical Plant: All residents of Riverview are housed in dormitories. Standard 4144 specifies the physical requirements for dormitory housing. The only requirement which the Riverview facility does not meet in either of its two dormitories is "at least 10 cubic feet of fresh or purified and recirculated air per minute for each person occupying the dormitory." At present there are no means for adequately venting and recirculating the air in either of the dormitories during the winter. The heating system is hot water and, therefore, there are no existing ducts which can be used to circulate the air. The estimated cost of installing adequate air circulation equipment is \$10,000 for each unit or a total of \$20,000.³

Security and Control: Historically, Riverview has had no perimeter security. Any "walk aways" were automatically transferred to one of the other facilities. The standards for adult correctional institutions, however, require that all facilities, regardless of security level, have provision for perimeter surveillance and restraint of residents (4151, 4152). The plan of action calls for the creation of a mobile patrol unit which will maintain perimeter surveillance twenty-four hours a day. Establishing such a unit will require the addition of five corrections officers to man the post twenty-four hours a day at \$12,695 each; a four wheel drive vehicle with winch at \$7,175; and twelve quartz lights with timer at \$66.⁴ The total cost estimate for complying with these two standards is \$71,444.

Special Management Inmates: There are no detention or administrative segregation cells at Riverview in keeping with its minimum security status. If a behavior problem arises, the individual is automatically transferred to one of the other facilities. If physical restraint is required, the individual is housed in the county jail until transportation can be arranged. This arrangement does not satisfy the standards as the jail does not meet the requirements for detention and administrative segregation units (4203). The plan of action prepared by the Riverview staff calls for the construction of three lockup units in the residential building. Since inmates may be held for more than ten hours before transportation can be arranged, they must meet the minimum space requirement of 80 sq. ft. (4142). The estimated cost of constructing these units is \$3,000 each for a total of \$9,000.⁵

Sanitation, Safety and Hygiene: Standard 4250 requires that residents have access to laundry facilities for their personal use. To comply it will be necessary to purchase and install a washer and dryer. The estimated cost of these items is \$890.⁶

Medical and Health Care Services: The self-evaluation team at Riverview identified four standards in this category which would require changes in personnel, equipment, and the physical plant in order to come into compliance: confidentiality of medical records (4265); dispensing of drugs (4267); providing for the disabled (4274); and treatment of the emotionally disturbed (4275). The plan of action calls for the purchase of adequate storage equipment (including a refrigerator for drugs) at \$1200 and the addition of a one-half time nurse at \$6,893 to meet the first two standards.⁷ Providing for the disabled will require some renovation. All of the dormitories are inaccessible to wheel chairs as they are on the second floor of the main

residential building. However, the old farm house has been used to house residents in the past and requires only the installation of a ramp and the addition of a bathroom on the first floor to make it accessible to the disabled. The total estimated cost of this renovation is \$8,000.⁸ Finally, no psychiatric treatment is provided at present. The estimated volume of such assistance is twenty people a year, at twelve sessions per person. At \$40 per session for a psychiatrist, the total annual cost of being in compliance is \$9,600.⁹ The total estimated cost for insuring compliance with the Medical and Health Services is \$25,693.

Library Services: The standards for library services include three which have cost implications for Riverview: the services must be comprehensive (4409); there will be a qualified coordinator of services (4412); and the facilities should be attractive and functional in design (4416). The present library falls short of these requirements according to the self evaluation team. The plan of action provides for the addition of a half-time librarian (\$6,893); the purchase of three typewriters (\$1,200) and books (\$7,000).¹⁰ The renovation of the room by upgrading its general condition was also identified as a need but insufficient detail was provided to calculate the cost. The total estimated cost of meeting the library services standards is \$15,693.

Recreation and Inmate Activities: Riverview is one of the four facilities which will need a new gym/multi-purpose building in order to provide a "recreational program (which) includes both athletic and cultural activities." (4420) Indoor facilities for athletic activities are inadequate. The estimated cost of constructing and equipping this building is \$215,000.¹¹ It will also be necessary to add a half-time activities specialist to the staff at \$6,581. The total estimated cost of meeting this standard, therefore, is \$221,581.

FOOTNOTES: Chapter Seven

1. Taken from "Riverview Release Center, Description of Programs," April 23, 1979.
2. See Chapter One, Training, for a description of the approach used to estimate cost of compliance.
3. Cost of air circulation equipment supplied by the Iowa Bureau of Property Management.
4. Quartz lights figures are taken from past purchase orders; vehicle price estimate provided by Milford Juhl, Vehicle Dispatch Officer, Car Dispatcher's Office, state of Iowa and is based in 1979 purchases with 5.8% discount rate.
5. This estimate was prepared by the Bureau of Property Management. It is below the national average for such work. Using 240 square feet as the basis of the estimated cost, \$19,200 would seem a more appropriate figure.
6. These are estimated purchase prices, based on vouchers at other facilities.
7. The cost of equipment was supplied by the Bureau of Property Management.
8. Renovation cost estimates were prepared by the Bureau of Property Management.
9. The demand figures were supplied by facility staff. The fee structure for a psychiatrist is based on the experience at other facilities.
10. The purchase price of the typewriters is based on vouchers. The estimate for books relies on the figures prepared for the Medium Security Unit. See Chapter One, Library Services, however, for a discussion of this estimate.
11. See Chapter One, Recreation, for a detailed discussion of the derivation of this estimate.

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Source List (cont.)

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"Itemized Estimated Additional Costs for A.C.A. Accreditation" memo John Mathes, Superintendent, for Riverview Release Center, June 1979.

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Manual of Standards for Adult Probation and Parole Field Services, Rockville, Maryland: Commission on Accreditation for Corrections, 1977.

Preliminary List of Equipment for Prison Industries, memo from Duane R. Sherwood, Iowa State Industries, to John Emmett, John Bennett Correctional Center, July 20, 1979.

Schematic and Plan for Renovation of Cottage III, prepared by Fred Scaletta, Accreditation Manager, October, 1979.

Sourcebook of Criminal Justice Statistics, 1978, Nicolette Parisi, et al, eds., National Criminal Justice Information and Statistics Service, Government Printing Office, 1979.

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"Table of Authorized Positions," computer printout for the Division of Adult Corrections, January 1, 1978.

Appendix 1: Adult Correctional
Institution Standards Categories

Adult Correctional Institution Standards Categories

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

Adult Correctional Institution Standards Categories (cont'd)

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

Appendix 2: Standards

Descriptions

Standards Descriptions -- Adult Institutions

Administration, Organization and Management

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

Fiscal Management

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

Fiscal Management (cont'd)

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

Personnel

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

Training and Staff Development

4088 Training Supervision
4089 Training of Trainers
4090 New Employee Training

Training and Staff Development cont'd

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

Planning and Coordination

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

Management Information Systems

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

Research and Evaluation

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

Records

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

Physical Plant

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

Security and Control

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

Security and Control

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

Supervision of Inmates

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

Special Management Inmates

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

Special Management Inmates (cont'd)

4220 Supervision of Staff
4221 Staff Selection Criteria
4222 Psychological Assessment

Food Services

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

Sanitation, Safety and Hygiene

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

Medical and Health Care Services

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

Medical and Health Care Services (cont'd)

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

Inmate Rights

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

Inmate Rights (cont'd)

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

Inmate Rules and Disciplines

4310	Prohibited Acts
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Appendix 3: Glossary of Terms

Glossary of Terms

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

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

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

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

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

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

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

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

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

CEC Cost Factors, including:

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

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

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

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

CEC Cost Factors, including: (cont'd)

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

Purchase of Services - Contracting for services rendered.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Field Services - See Parole Agency.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

END