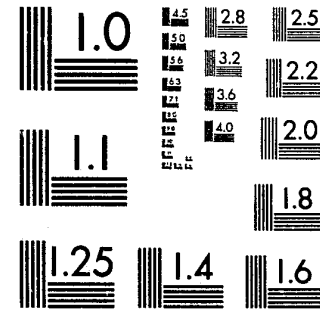


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National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

3/7/84

91722

# Correction Plan for the 80's



91722



STATE OF TENNESSEE  
DEPARTMENT OF CORRECTION  
4TH FLOOR STATE OFFICE BUILDING  
NASHVILLE, TENNESSEE 37219

January 3, 1983

The Honorable Lamar Alexander  
Governor of Tennessee  
State Capitol  
Nashville, Tennessee 37219

Dear Governor Alexander:

In January 1982, you instructed me to undertake development of a policy statement which would guide the course of Tennessee Corrections in the 80's. Your stated intent was that such a statement become the policy guide for restructuring the Tennessee Department of Correction in the face of burgeoning population and the inescapable reality of diminishing resources.

You reviewed early drafts and refinements of the Department's work on several occasions. As we approached consensus on essential issues, you instructed me to develop specific plans for implementation of the emerging policy. You set a target of January 1983 for completion of the planning task.

While we were in the process of moving from policy development to action plan, the General Assembly also enjoined the Department to undertake a searching self evaluation. Our planning efforts were ongoing during May, June, and July. In early August, the U. S. District Court issued an order in the case of Grubbs v. Bradley which required changes which in significant measure had been anticipated in our previous and ongoing planning. It was at this point that we resolved to bring all our planning efforts into focus within a single project staff in order that the task be completed on target.

In early September, Deputy Commissioner Robert Morford was freed from his regular duties and assigned full-time responsibility to develop a detailed plan for responding to the problem issues faced by the Department. In doing so, he had license to use any resource of the Department and to call upon any element of the Administration in order to complete the task. He made full use of that license and the accompanying "Correction Plan for the 80's" is, therefore, the product of the efforts of many people.

Project Staff were instructed to concentrate on the feasible within the policy guidelines we had developed; to devise a plan for Tennessee rather than merely for the Department of Correction. I believe they have succeeded.

The Honorable Lamar Alexander  
 Governor of Tennessee  
 January 3, 1983  
 Page Two

The plan is not the epitome of contemporary correctional philosophy but neither does it violate the essential elements of that philosophy. Most importantly, the plan is achievable. I recommend it to you as a suitable guide for development of Tennessee Corrections throughout the 1980's.

Sincerely,

*H. B. Bradley*  
 H. B. Bradley  
 Commissioner

HBB:pc

U.S. Department of Justice  
 National Institute of Justice

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**NCJRS**  
 OCT 28 1983  
**ACQUISITIONS**

Tennessee Correction Policy

As the essential first step in developing and, much more importantly, implementing this correction plan for the 80's, a correctional policy for the State of Tennessee must be publicly expressed. A traditional TDOC management dilemma has been the absence of a public policy for Correction that was supported by a majority of the Tennessee taxpayers. The policy guiding this plan and which is recommended for adoption as public policy is as follows:

Tennessee Corrections: Declaration of Public Policy

1. The correction system is one instrument of social control.

It is the most forceful expression of the police power of the state.

2. Except in the case of execution, the correction system exercises social control by the restriction of individual liberty or the threat of it.

Such restriction of liberty ranges from strict isolation in a cell to quarterly visits to a probation officer.

3. The restriction of liberty must meet certain standards of humaneness. State and Federal Courts have set or are setting

a reasonably high and specific set of minimum standards.

There is not much need for policy-makers to spend time arguing what that standard of humaneness ought to be.

Tennessee taxpayers have made it clear that they will not tolerate a standard much higher than the minimum standard.



4. Because it costs so much, complete restriction of liberty -- incarceration -- should be used only where other forms of punishment are not appropriate.

A. For example, it is more appropriate to require an embezzler to work to pay back his victim than to charge the victim and his fellow citizens \$9,000 a year to pay for the embezzler's room and board in prison.

B. In a state where family incomes are sixth from the bottom in the country, there are other urgently compelling ways to spend taxpayers' money. It costs \$2,200 a year to educate an elementary or secondary school student, \$100 a year for adult education for each of the 600,000 Tennessee adults who cannot pass an eighth grade competency test, \$500 for prenatal health care for each of 11,000 mothers and unborn babies who need it, and \$4,200 to teach a high school graduate the skills he needs to get a job as a computer programmer.

5. Restriction of liberty is punishment.

Having established a system to restrict liberty, society does not need to think of additional ways to punish people while they are incarcerated. At the same time, having decided to punish someone by restricting his liberty, society does not need to lessen the punishment by thinking of ways to spend extra money to make that restriction more pleasant than minimum standards of humaneness require.

6. Offenders should work.

Today, the state government correction system restricts the liberty of 11,200 adults who are at work under supervision outside prison walls providing for themselves and their families and are paying their victims back (restitution) and/or paying the public back by public service work. For those other 8,000 adults who are now incarcerated, the correction system's only other duty is to provide them with productive work. The reasons are that work: (1) provides better control of inmates; (2) makes it more likely that the inmate will be an independent, self-sufficient person when he or she emerges from prison; and (3) may produce revenues that reduce the costs of operating the prison system. Inmates will receive essential medical services and other services which meet the minimum standards of humaneness, but there will be no "rehabilitation" or job training programs offered in the adult correction system except those that are directly related to making it possible for prisoners to work at the specific skilled occupations necessary to maintain the prison system. Taxpayers' money for general education or job training programs will be spent first on those persons who by their observance of the state's laws remain outside the correction system and are deserving of the taxpayers' support.

I. OVERVIEW OF TENNESSEE CORRECTION PLAN FOR THE 80's

This document contains proposals from the Tennessee Department of Correction (TDOC) which point the direction for the State's correction system in the 1980's, based upon a clear statement of public policy which sets the parameters for the system's future development.

Since the Department is but one part of the overall criminal justice system operating in this state, some of the proposals will necessarily touch on other areas within that system, including but not limited to state courts and local governments.

It is the Department's position that TDOC must change the policy which currently guides the overall direction of how prisoners live and work.

For the past twenty years, the TDOC has attempted to be primarily a treatment-and-rehabilitation-oriented social service agency for persons incarcerated by the courts.

Fundamental to this plan is the belief that the Tennessee prison system should become a work-oriented, economically efficient system which provides humane custody for convicted felons. TDOC believes that purposeful work is rehabilitating and that the assignment to each institution of a specific mission - a special program purpose - is the keystone to developing such a work-oriented system. We further believe that this approach reflects the views held by the majority of Tennessee citizens.

In the area of institutions, TDOC proposes to establish three regional classification centers at existing facilities located in the three Grand Divisions of the State: Brushy Mountain Prison in East

Tennessee, Tennessee Prison for Women in Nashville and the Memphis Correctional Center. These three prisons, upon conversion to their new purpose, will replace the one statewide classification center now located at the Nashville Regional Correctional Facility.

Inmates at the women's prison (TPW) will be relocated at the present Nashville Regional Correctional Facility. This will permit the establishment of a Geriatric Unit for male inmates in what is now the annex for the Tennessee Prison for Women.

Through the upgrading and redirecting of the correction system's classification program, inmates will be classified to specific institutions and jobs likely to be most suitable to their abilities and personal safety as well as to prison system needs.

One other major change calls for a redefinition of the types of inmates placed at the State Prison in Nashville. TSP will house inmates requiring medical care at the prison hospital, all inmates classified maximum or close security (approximately half of which are already assigned to TSP), all inmates on administrative segregation, all inmates who refuse to work at another facility (as determined by a disciplinary board), and all inmates who have been on voluntary check-in status for more than 15 days (meaning they have asked to be segregated from the rest of their prison population). Even though the inmate population at TSP will be reduced from 1900 to 1000, there will be no reduction in the number of correction officers assigned to the institution for security purposes. The elimination of industrial and other internal activities at TSP, which currently necessitate considerable traffic in and out of the prison, will enhance security by cutting down on possible avenues for escape.

Major revisions will be made in the operation of TDOC's farm and industry programs. Each institution will have one specific program purpose. Inmates needed to support that purpose will be assigned through the more thorough and effective classification process.

Prison farms will continue to be located at Morgan County and Bledsoe County regional correctional facilities, Turney Center Annex in Only, and Fort Pillow Prison in Lauderdale County. (If it is determined that a 450-bed prison should be constructed to provide additional bed capacity needed in the system, it is recommended that it, also, be a prison farm.)

While it is highly possible that a large portion of the Cockrill Bend area (adjacent to TSP and NCSC) will be sold to the Metropolitan Government of Nashville-Davidson County for conversion to an industrial development complex, that portion of the Cockrill Bend prison farm lying below the flood plain may continue to be used for farming for an indefinite period.

The prison-industries male inmate work program will be consolidated and relocated at Turney Center. Currently, all such operations are located at the Tennessee State Prison, Turney Center and Fort Pillow Prison.

Assisting very directly in overseeing this new farm-industries program will be the Agri-Industries Board, which currently works with TDOC to make these programs more productive.

In the area of inmate education, we propose the establishment of a prison facility which concentrates on education. Basic skills-vocational programs will be located at the Lake County Regional Correctional Facility and will produce a cadre of inmates who can provide the skills

required to maintain the prison system. Inmates experienced in using these skills will also be more employable upon their release from prison. Only inmates classified as able to accept full-time, intensive training will be sent to this facility. No inmates will be permitted to become "professional" students.

Major revamping of TDOC training programs for staff is essential. It is proposed that Highland Rim School for Girls in Tullahoma be converted to the Tennessee Correction Academy. Students at Highland Rim will be relocated to the Tennessee Youth Center in Joelton. Students currently at TYC will be moved to a new 84-bed dormitory at Spencer Youth Center.

It is vital to this plan that the Department's training program be further improved and that both new and present TDOC personnel receive higher caliber instruction related to their specific functions. Establishment of the full-time training center in Tullahoma will accomplish this as well as provide space for training programs needed by other state departments.

In response to the need to reduce overcrowding at Tennessee State Prison (TSP) and to provide housing for increased numbers of prisoners entering the state correction system, it is proposed that 930 beds be added to the State's prison capacity by June 1984.

It is specifically recommended that four 120-bed work camps, to be operated in conjunction with Department of Transportation and Department of Conservation projects, be constructed throughout the state. The suggested site selection process, for the work camps as well as for the facility or facilities constructed to provide an additional 450 beds, is

similar to that recently used successfully by other states - that is, seeking requests from communities which would be interested in obtaining the economic benefits from the construction and future operation of a new state facility in their area.

One proposal, an Emergency Powers Act, is designed to accomplish dual purposes: to assure that overcrowding of the State's prison system will not reoccur and to avert the excessive cost of the taxpayers of continuing to build an ever-increasing prison capacity. It is recommended that the Legislature pass enabling legislation granting emergency powers to the Governor which, when activated upon certification by the Commissioner of TDOC, would trigger an early parole mechanism when the State's prison population exceeds 95 percent of capacity: that prison capacity, as reflected in the Department's annual budget requests, will be reviewed and determined each year by the Legislature. The Parole Board will be authorized by the Governor to advance the probationary parole date of all prisoners by a set period of time and then to identify and approve for release enough inmates to reduce the prison population to a given percent of capacity, at which point the early parole program would automatically cease.

To address the Department's concern regarding adequate medical services and health care, the plan calls for the following: a significant increase in health care personnel; the provision of 24-hour medical coverage at all facilities; standardization of emergency equipment and emergency care training requirements at all institutions; continued contracting for specialized medical services; elimination of inmate health care workers in the area of direct patient care; a greater role for the division of health services in the development of a health care budget; and the assignment of one health care staff member in each institution to assure adherence to sanitation standards.

To meet the critical need throughout the state for additional probation officers, this plan calls for the addition of 53 such officers in the TDOC system.

The new judge-sentencing law has made it more important than ever that judges have access to in-depth pre-sentence reports as they decide whether an offender should be incarcerated or placed into an alternative status. Judges who have the benefit of more complete pre-sentence information may feel more secure in choosing sentencing alternatives which will favorably impact the population growth in the state prison system and the cost of operating that system.

Development of specific recommendations in the area of assistance to local corrections has been a particularly thorny problem; therefore, proposals and options for action in this area will be completed and presented to the Legislature by March 1 in conjunction with the 1983-84 budget recommendations. It is anticipated that superimposing these proposals on this plan will have some additional fiscal impact on both State and local correction systems beginning in fiscal year 1984-85.

The premise upon which local assistance proposals will be based is that circuit court jurisdictions, and the counties therein, should share in the benefits which accrue to the State from their underuse of the system's prison and probation capacity as well as in the burden of their overuse of that capacity. The State's correctional resources should be more equitably allocated to the users of its system, and circuits and counties should share in the savings generated by their not overcrowding the State's prison system.

Such a cooperative program will result in the upgrading of local jail facilities and in the development of new regional or circuit jails and workhouses which would be operated at the local level.

The current condition of the State's economy requires that any TDOC correctional plan be implemented in a way best calculated to make the most effective use of the State's financial resources. Incarceration of those offenders who by their actions demonstrate a clear threat to the lives or physical wellbeing of all Tennesseans is economically acceptable regardless of financial cost. Incarceration of other offenders who pose a lesser threat to society, however, may be neither economically sound nor in the best financial interest of the State and its taxpayers.

The plan includes an analysis of the long-range cost/benefit of traditional prison construction compared to possible housing and sentencing alternatives.

Although this plan stresses economy wherever possible, some additional funding is unavoidable. Implementation of the plan will involve realignment of 204 existing TDOC positions and the addition of 276 new positions.

New annual funding of approximately \$3,100,000 will be required for operations after \$4.0 million in operational savings have been realized in the TDOC restructuring. Non-recurring capital funds of approximately \$26,000,000 will be needed for new facilities, including the estimated cost of site purchases.

-----

The Department is confident that this plan will create a correction system which adheres to a public policy which reflects the views of the citizens of Tennessee and that it will do so through means which require the least possible public expenditure. We are also confident that it will remedy conditions in the system cited in the U.S. District Court Order of August 11, 1982.

II. The Current System



State and Local Criminal and Civil Justice Agencies and Facilities

by

Type of Agency or Facility

Type of Agency:

Law Enforcement	344
Prosecution and Civil Attorney	172
Public Defense	2
Courts	512
Probation	30
Parole	1
Other criminal justice	18

Type of Facility:

Juvenile correctional	18
Adult correctional	<u>127</u>
Total	1,224

Sourcebook of Criminal Justice Statistics - 1981

II. The Current System

Prior to examining the several components of this plan, the reader should be aware of some additional underlying considerations which guided the Project Staff. Basic policy guidelines have already been outlined. The subjects to be addressed in this section are the nature of Tennessee's current criminal justice system and the problems involved in forecasting inmate population.

A. Tennessee Criminal Justice System

In Tennessee there are 1,224 state and local criminal and civil justice agencies and facilities within the criminal justice system. (See opposite page) The fold-out chart in back of this notebook also clearly illustrates the diversity and complexity of the average state criminal justice system.

This diverse system with obvious special interest requirements competing for diminishing resources, and hindered by a lack of centralized data collection, leads to much misunderstanding among the principal agencies. For example, the belief that diversion of offenders from prison does not occur to a large degree in Tennessee is not supported by the evidence. From 1978 to 1980 inclusive, only 16.9 percent of those persons found guilty by trial or who pleaded guilty entered the state correction system. (See next page)

Number of Persons Convicted After Trial Or Who Plead Guilty

Year	Convicted	Guilty Plea	Total	Received State Correction	Received State Probation
1978	2,093	17,075	19,178	2,916	5,611
1979	2,799	16,646	19,445	3,385	7,507
1980	1,970	18,247	20,217	3,658	7,343
Total	6,862	51,968	58,830	9,959	20,461

Percentage of Persons Convicted After Trial Or Who Plead Guilty

Year	Convicted	Guilty Plea	Total	Received State Correction	Received State Probation
1978	10.9	89.1	100.0	15.2	29.3
1979	14.4	85.6	100.0	17.4	38.6
1980	9.7	90.3	100.0	18.1	36.3
Total	11.7	88.3	100.0	16.9	34.7

Source: State Planning Office, Supreme Court Annual Report, DOC/MLS

While it is true that 30 percent of the inmates in the state correction system are first term inmates, it is not true that these inmates are serving a prison term as a result of their first non-violent property crime. It is in fact extremely rare for a person to be sentenced to prison (or a youth facility) who never before the incarcerating offense was found guilty of criminal behavior.

On September 27, 1982, there were 8,059 adult inmates assigned to the State's prisons. Of the total number assigned, 2,377 were first term inmates as defined by T.C.A. 41-1802: "a state prisoner without a prior record of thirty (30) days or more detention upon conviction for a felonious crime at a federal, state or local facility..."

Upon random manual review of 15% (357) of the first term files no first term inmates were found to be serving a single sentence for a nonviolent property crime. The 357 first offenders are serving a total of 622 sentences.

Remembering that correction is but one component of the criminal justice system, it is true that state correctional costs have increased dramatically in the past ten years (Table 1\*). It is also true that local government correctional costs have increased at an even greater rate (Table 2). It must also be noted that the State's average annual expenditure per inmate in constant 1971-72 dollars has decreased over a similar period at each TDOC prison (Table 3). Governmental fiscal allocation of criminal justice resources, as shown in Tables 4, 5, and 6, clearly reflects public policy.

\*All referenced tables appear in chronological order on pages 17-23.

One factor bears emphasis. The lack of a consistent method to collect uniform criminal justice data hampers coordinated planning for the future. Lack of such data has been a problem in developing this plan. (Solutions will be offered in sections X and XI: "Management Information Services" and "Research and Planning.")

In summary, this plan assumes that local government criminal justice resources are not capable of accepting a greater correction or probation burden without additional state government assistance. As indicated seen in the "Assistance to Local Corrections" section, local government can be given the opportunity and resources to assist in making Tennessee's correctional system more effective.

Table No. 1

Department of Correction - Annual Budget  
1972-73 through 1982-83

	<u>TOTAL</u>	<u>DEPARTMENT</u>	<u>ADULT DIVISION</u> <sup>1</sup>
1972-73	Total	\$26,366,303.64	\$14,394,906.98
	Appropriation	19,704,045.46	11,882,126.78
	Other	6,662,258.18	2,512,730.20 <sup>2</sup>
1973-74	Total	\$32,734,894.42	17,871,954.41
	Appropriation	24,791,370.48	15,048,247.76
	Other	7,943,523.94	2,823,706.65
1974-75	Total	40,255,355.27 <sup>3</sup>	20,091,689.93
	Appropriation	31,566,473.99	16,853,437.96
	Other	8,688,881.28	3,238,251.97
1975-76	Total	48,321,631.29	25,635,221.82 <sup>4</sup>
	Appropriation	38,247,330.50	21,380,644.20
	Other	10,074,300.79	4,254,577.62
1976-77	Total	60,095,403.83	33,105,079.13 <sup>5</sup>
	Appropriation	47,677,604.89	28,870,161.32
	Other	12,417,798.94	4,234,917.86
1977-78	Total	68,368,949.32	39,245,589.16
	Appropriation	56,070,695.69	34,602,116.70
	Other	12,298,253.63	4,643,472.46
1978-79	Total	77,091,978.85	44,152,044.89 <sup>6</sup>
	Appropriation	65,608,259.92	40,667,768.83
	Other	11,483,718.93	3,484,276.06

(Continued)

Department of Correction - Annual Budget

1979-80	Total	\$90,275,520.55	\$54,405,290.93 <sup>7</sup>
	Appropriation	78,257,100.22	51,026,084.44
	Other	12,018,420.33	3,379,206.49
1980-81	Total	100,932,664.55	63,433,043.25 <sup>8</sup>
	Appropriation	88,815,009.67	59,639,314.74
	Other	12,117,654.88	3,793,728.51
1981-82	Total	112,341,765.78	71,825,793.37
	Appropriation	99,363,549.23	67,740,788.76
	Other	12,978,216.55	4,085,004.61
1982-83	Total	136,098,557.00	88,136,300.00
	Appropriation	120,479,057.00	83,073,900.00
	Other	15,619,500.00	5,062,400.00

- 1 - Includes Adult Probation/Parole
- 2 - Other - Includes current services/federal/interdepartment/reserves
- 3 - Includes State Prosecution - in this and ensuing year(s)
- 4 - Brushy Mountain - Reopen; Shelby County - Open
- 5 - DeBerry Open
- 6 - Nashville Regional - Open  
Bledsoe Regional - Open
- 7 - Morgan Regional - Open
- 8 - Lake Regional - Open

Table 2

Payroll for State and Local Correctional Activities by Level of Government  
(month of October 1971 compared to month of October 1979)

	<u>October 1971</u>	<u>October 1979</u>	<u>% Increase</u>
State	1,019,000	3,331,000	227%
Counties - 317,000		1,055,000	232%
Municipalities - 86,000		666,000	674%
Local total	403,000	1,721,000	327%
Tennessee	1,422,000	5,052,000	255%

Sourcebook for Criminal Justice Statistics

1981

Table 3  
Expenditure per Inmate

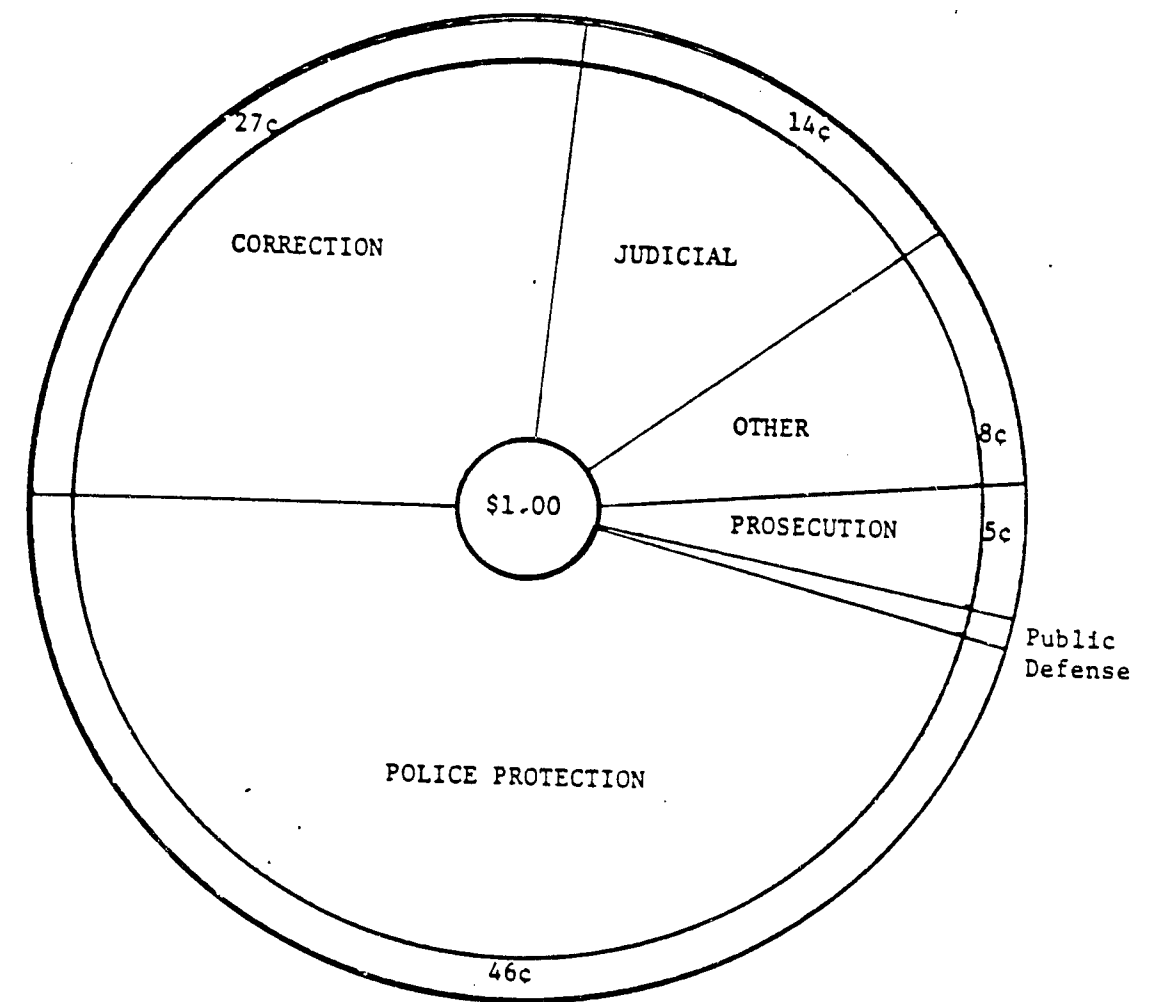
State of Tennessee  
Correction Institutions  
Average Annual Cost in Constant Dollars Based on 1971-72 Dollars

Institute/ Program	1971-72		1972-73		1973-74		1974-75		1975-76		1976-77		1977-78		1978-79		1979-80		1980-81		1981-82		1982-83	
	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change	Avg. Annual Cost	% Change
<b>ADULT</b>																								
Rehab. Services							2836		2234	(21.2)	2534	13.4	2798	10.4	2762	(1.2)	2722	(1.4)	2450	(10.0)	2368	(3.3)	2513	6.1
State Prison			2963		3344	12.8	2896	(13.3)	3252	12.2	3054	(6.1)	3137	2.7	3341	6.5	3333	(.2)	3746	12.3	3575	(4.5)	4291	20.0
Brushy Mountain									7243		7477	3.2	6055	(19.0)	5138	(15.1)	5872	(13.3)	5851	(.3)	5880	.4	5980	1.7
Fort Pillow			4141		4758	14.9	5445	14.4	5139	5.6	4049	(21.2)	4435	9.5	3895	(12.1)	3961	1.6	4214	6.3	3719	(11.7)	3751	5.6
Women's Prison			6068		6211	2.3	5280	(15.0)	4527	(14.2)	4769	5.3	4792	2.4	4674	(2.4)	4159	(11.0)	3869	(6.9)	3987	3.0	4739	18.8
Turney Center			4903		5229	6.6	4665	(10.7)	4786	(5.9)	4679	6.6	5153	10.1	4507	(12.5)	4530	.5	4302	(5.0)	4017	(6.6)	4276	6.4
DeBerry														9133		6818	(25.3)	5998	(12.0)	5606	(6.5)	5910	5.4	
Memphis Center										8915		5877	(34)	5121	(12.8)	4629	(9.6)	3908	(15.5)	3749	(4.0)	4205	12.1	
Nashville Regional														5858		4907	(16.2)	4565	(6.9)	4668	2.2	5652	21.1	
Bledsoe County																4327		4866	12.4	3590	(26.2)	3620	.8	
Morgan County																	5744		4068	(29.1)	4886	20.1		
Lake County																	4780		4156	(13.0)	3456	(16.8)		
Adult Probation										271		234	(13.6)	217	(7.2)	164	(24.4)	132	(19.5)	123	(6.8)	122	(.8)	
Adult Parole										271		234	(13.6)	154	(34.1)	149	(3.2)	136	(8.7)	144	5.9	128	(11.1)	
<b>JUVENILE</b>																								
Spencer			5201		6785	30.4	6459	(4.8)	6894	6.7	5248	(23.8)	5627	7.2	6125	8.8	6211	1.4	6752	8.7	8316	23.2	8254	(.7)
Toft			5296		6266	18.3	6149	(2.3)	6341	3.1	7525	18.6	6779	(10.0)	8003	19.2	9921	22.7	9323	(6.0)	8323	(10.7)	8546	2.7
Highland Rim			6107		6417	5.0	7153	11.4	9006	25.9	8780	(2.5)	10467	19.2	8712	(16.7)	13349	54.2	9364	(29.8)	9698	3.6	9447	(2.6)
YM Youth Center			5335		7207	35.0	6216	(13.7)	6076	(2.2)	6023	(.8)	6170	2.4	6083	(1.4)	5872	(3.4)	5669	(3.4)	5459	(3.7)	5975	9.5
Wilder Center			5598		5763	2.9	5871	1.8	6623	12.8	6558	(.9)	6450	(1.6)	6800	5.4	7788	14.5	6725	(13.6)	5968	(13.3)	6472	8.4
Juvenile Probation										292		298	2.0	276	(7.3)	298	7.9	275	(7.7)	295	7.3	144	(16.6)	
Foster Homes											1556		1684	8.2	1732	2.8	1658	(4.2)	1654	(.2)	1460	(11.7)	1486	(5.1)
Contract Agencies											1556		1684	1.7	2552	51.5	2672	4.7	2648	(.8)	1792	(32.3)	1623	(9.4)
Group Homes												4588		7107	54.9	6380	(10.2)	5857	(8.1)	5445	(8.1)	5819	(11.2)	

\*Cost records were consolidated through 1977-78

17

Table 4  
 1980-81 Criminal Justice System  
 State, County, & Municipal Government Total Appropriations



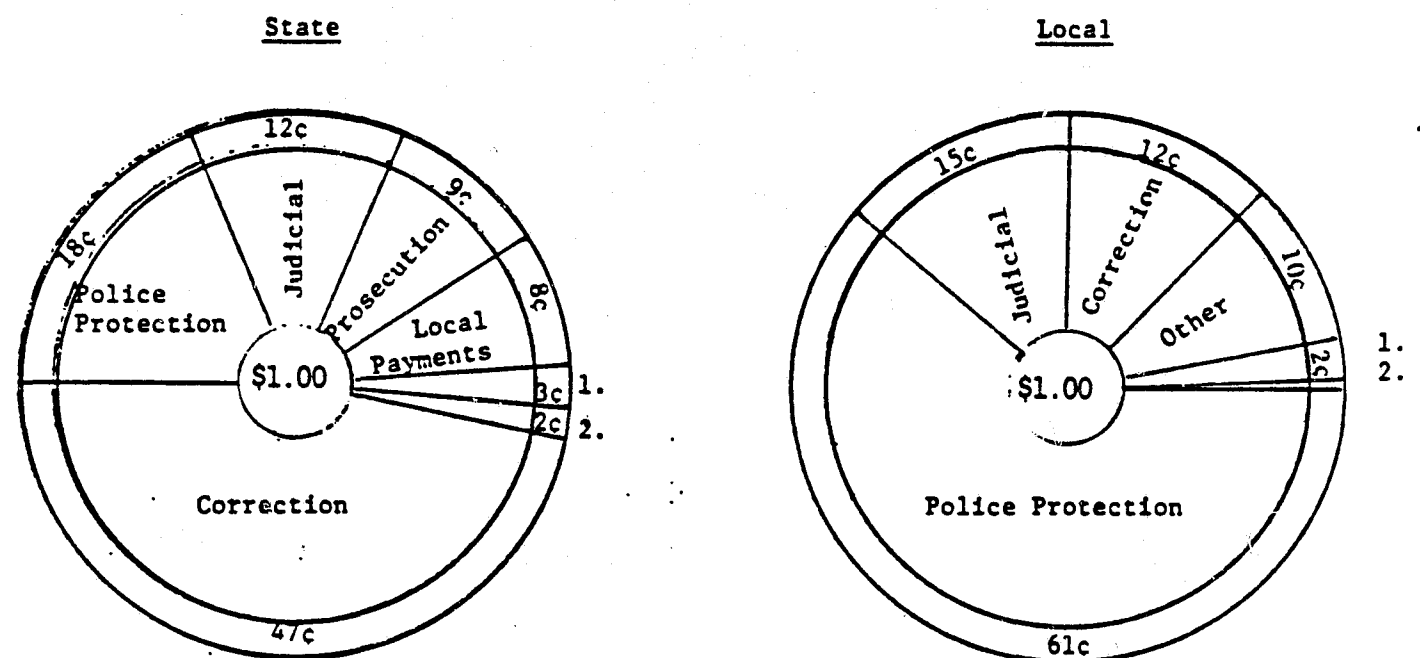
	\$	%
Adult Criminal Justice System:	344,613,686	100.0
Police Protection	159,505,208	46.3
Judicial	47,450,575	13.7
Prosecution and Legal Services	15,698,773	4.6
Public Defense	1,567,882	0.5
Correction	92,845,166	26.9
Other 1)	27,546,082	8.0

1) Institutional diversion programs such as probation, work release, training classes, community work service, etc.

Source: 1982 State Budget Document  
 1981 Sourcebook of Criminal Statistics



Table 5  
1980-81 Criminal Justice System  
State and Local Government Appropriations



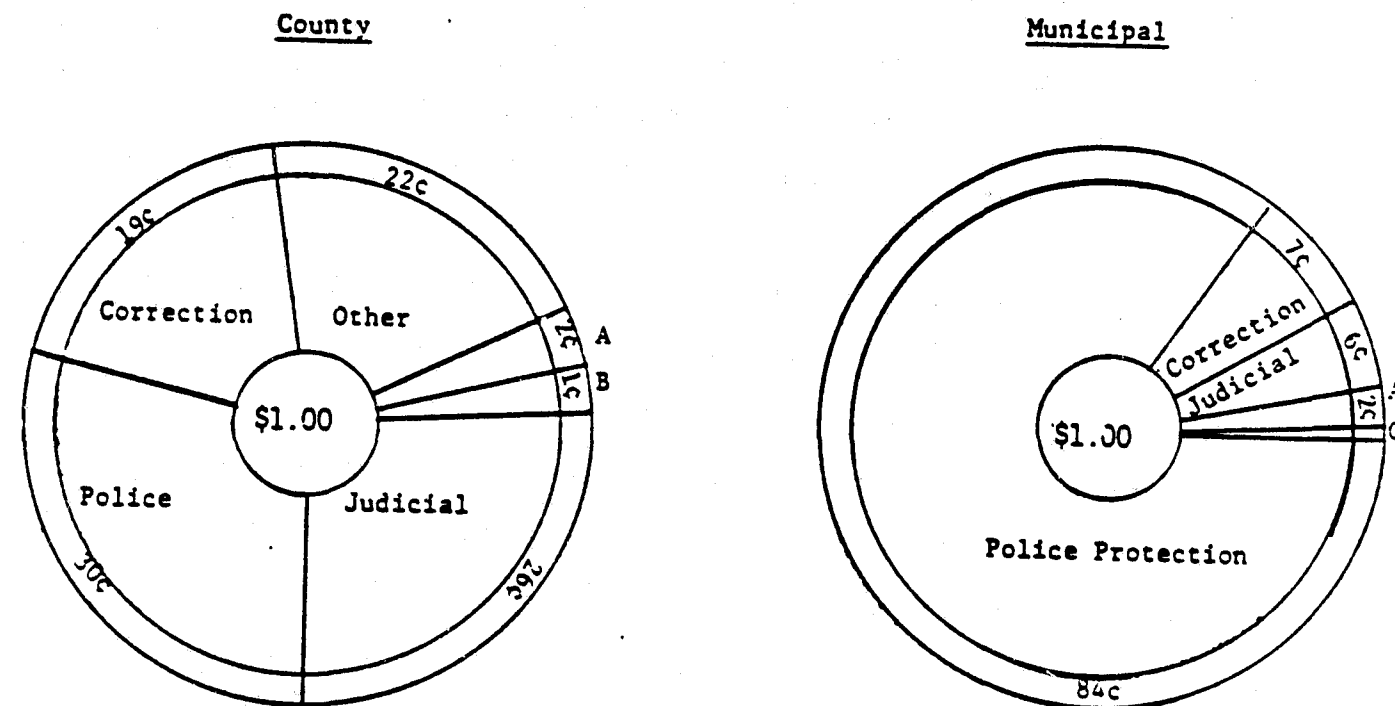
1. Community  
Correction  
2. Probation

1. Prosecution  
& Legal Services  
2. Public Defense

	\$	%		\$	%
119,968,917	100.0		Adult Criminal Justice System:	224,644,769	100.0
22,081,951	18.4		Police Protection	137,423,257	61.2
14,781,719	12.3		Judicial	32,663,856	14.5
11,139,048	9.3		Prosecution & Legal Serv.	4,559,725	2.0
-0-	-0-		Public Defense	1,567,882	0.7
55,935,973	46.6		Correction	26,878,656	12.0
10,030,537	8.4		Other	21,551,393	9.6
2,814,826	2.3		Probation	-0-	-0-
3,179,863	2.7		DOC Community Correc.	-0-	-0-

Source: 1982 State Budget Document  
1981 Sourcebook of Criminal Statistics

Table 6  
1980-81 Criminal Justice System  
County and Municipal Appropriations



A. Prosecution  
B. Public  
defense

A. Prosecution  
C. Other

	\$	%		\$	%
95,614,858	100.0		Adult Criminal Justice System:	129,029,911	100.0
28,780,072	30.1		Police Protection	108,643,185	84.2
25,051,092	26.2		Judicial	7,612,764	5.9
1,721,067	1.8		Prosecution and Legal Services	2,838,658	2.2
1,051,763	1.1		Public Defense	516,119	0.4
17,957,593	18.8		Correction	8,903,063	6.9
21,035,271	22.0		Other 1)	516,122	0.4

1) Diversion programs such as probation  
community service, work release, training  
classes, etc.

Source: 1982 State Budget Document  
1981 Sourcebook of Criminal Statistics

B. Inmate Population Forecasts

A major problem which has traditionally baffled the TDOC and state government in general has been forecasting future inmate population. For the past year the short-term estimates of the State Planning Office have proven quite accurate, more accurate in fact than previous TDOC estimates. Currently, the forecast is for net growth of 39 inmates per month to June of 1984, resulting in a projected modified in-house population (including jail contracts) of 9,037 at that time. This plan is based upon that figure; however, since the current (10/18/82) modified in-house population figure (including jail contracts) is 253 below previous projections, the June 1984 estimate may have to be revised. As will be seen in the actual planning recommendations, these uncertainties will be amenable to timely adjustment.

Demographers project that the young, crime-prone sub-population will decrease as a proportion of the state's total population, and this plan assumes this decrease will result in fewer commitments. The possibility has to be balanced, however, against the impact of possible increases in unemployment, other economic factors, a possible continuation of the rural to urban population shift, more prisoners serving longer sentences for Class X crimes, etc. There is no known resource in the state or nation that has a true fix on future prison populations. (An analysis of population forecasting is included in the Appendix.)

.....

The remaining sections, which combine to form the plan's total network, have been positioned in the sequential order which seems most reasonable to the authors.

The "Economic Perspective" section is of critical importance to decision-makers. Its insights relate most directly to the "Adult Probation Service" proposals and to the "Assistance to Local Corrections" concept, as well as to the "Institutional Programs" section.

Proposals in the "Classification" and "Institutional Programs" sections lie at the "heart" of the total plan and are critical to its viability. The recommendations in these sections, plus those in the "Health Care" section, provide the remedies to long-standing and long-recognized problems in the State's prison system. Realignment in classification and other institutional programs are purposefully designed to eliminate inmate idleness - a "cancer" which permeates our prison system and contributes to violence.

"Staff Training" improvements are considered vital to the effective implementation of the new program plans.

The final sections address other important support service needs.

The "Summary" reveals the total cost of implementing the plan - in dollars and personnel - and suggests an implementation schedule.

The complexity of the plan precluded simplicity in presentation. Perhaps frequent reference to the "Overview" will assist the reader in viewing it comprehensively.

### III. The Economic Perspective: Prison Construction/Alternatives

#### A. Traditional Prison Construction

The purpose of this section is to apply economic concepts to the issue of prison construction as it pertains to the State of Tennessee. Decisions to build or not build prisons are often undertaken without clear knowledge of their economic consequences. While many decision criteria -- some of them non-economic in nature -- may be involved in deciding whether to build, the cost implications are too significant to be ignored. The approach taken here allows explicit assessment of the financial consequences of both prison construction and sentencing decisions.

#### Opportunity Cost

When State Government talks about choice, it should consider not only the item or activity at hand, but also what it could have instead -- the alternative. Choosing option A implies that options B...Z were unacceptable, that A represents the best use of scarce resources -- it conveys the most benefits and produces the least pain. Essentially, the concept of "opportunity cost" weighs the cost of the foregone alternative -- what we might have done instead with our scarce resources.

In order to choose or make decisions, then, it is useful to know what is foregone by selecting one option over another. This concept readily works in the marketplace where prices are explicit

and the "opportunity cost" of a theater ticket may be dinner at a French restaurant, or the cost of a college education may be the foregone income. In the public sector, the absence of prices makes choosing more problematical. What is foregone?

A Solution

If the TDOC is to apply the concept of "opportunity cost," it is first useful to know the cost of the option under consideration. Understating the costs of that option will distort our evaluation of foregone opportunities and the benefits we expect of our option. Tennessee is experiencing prison overcrowding and is considering new construction to alleviate the problem. Because the decision to build is one of enormous (and not fully recognized) magnitude, it is propitious to examine the full cost implications of a decision to construct a new prison or prisons to alleviate the overcrowding. If the decision were made to build a 600-bed prison (400 cells - one-half cells double) similar in design to the Lake County Regional Prison, one might conclude that the new prison would cost 12 million dollars. (F&A inflation rate of 33% applied to \$9.14 million cost of Lake County.) In fact, this figure represents only the tip of the total economic commitment the State of Tennessee would have to make. Prison costs lie far beyond \$12 million. Thus, in order to evaluate what could be bought instead, it is necessary to determine all the costs of a proposed prison. Prison costs comprise the following:

- . Base capital costs (including site acquisition)
- . Financing charges
- . Operating costs

Table I  
Base Capital Specifications and Costs  
600-Bed Medium Security Prison

<u>Type of Space</u>	<u>Gross Square Feet Per Inmate Bed</u>	<u>Cost/SF</u>	<u>Total Cost</u>
Management and Staff	4,810	\$73.00	\$ 351,130
Support	24,674	83.00	\$ 2,048,002
Program	22,654	98.30	\$ 2,220,108
Housing	<u>82,741</u>	<u>71.30</u>	<u>\$ 5,874,659</u>
Base Construction Total	134,879 (a)	78.00	\$10,493,898
Cost/Bed			\$ 17,489
<u>Other Cost</u>			
Architect Fee			\$ 565,960
Construction Supervision Agency Fee	1%		\$ 108,378
Equipment (b)			\$ <u>805,304</u>
Subtotal			
Site Acquisition Cost (5,000 acres)			\$ 7,325,000
Site Preparation Cost (c)			\$ <u>918,065</u>
Total Prison Cost			\$20,216,605
Cost/Bed			\$ 33,694
(a) Gross square feet			
(b) Movable beds, bookcases, farm equipment			
(c) Landscaping, utility lines, water and sewer			

Base Capital Costs

A wealth of misinformation surrounds this seemingly straightforward figure. One hears of costs ranging from \$12,000 to \$25,000 per bed, \$12 to \$15 million per prison. Table #1 on the opposite page displays base capital costs to build a 600-man, medium security prison (similar to the design of Lake County Regional Prison). One must realize that a "bed" is but a small part of the total space required per inmate. Administrative needs, support areas and program space are also included. These include items such as the administrative offices, records room, warehouse, lockers, armory, and educational, vocational and counseling space. The housing space includes corridors, showers, dayroom space, etc.

The substantial fees that attach to the base cost are also worth noting. These include everything from architectural fees to the costs involved for the state agency supervising construction. To all of these one must add equipment, site acquisition and site preparation costs.

When the above costs are considered, the cost per bed rises to \$34,000 and the cost per prison to \$20.2 million.

Financing Charges

Once totally ignored in estimating prison costs, financing is now commonly considered. Although the recent experiences of Tennessee in seeking to pass bond issues have been mixed, the fact remains that bond issues will be necessary if new prison construction is to be undertaken. The State of Tennessee has an excellent bond rating (AAA)

and based on the latest bond issue for \$100,000,000 on October 6, 1982, the State received an interest rate of 8.37 percent over 20 years. (Comptroller of the Treasury figures) Thus, applying an interest of \$14.5 million, the construction cost for a new 600-man prison would translate into \$34.7 million over 20 years.

Operating Costs

A commitment to build a prison is also a commitment to operate it; yet, fiscal notes have been promulgated which ignore these substantial outlays and thus understate the taxpayer costs. Because allied operating costs themselves are underreported in correctional accounts, deriving an average annual figure is a far more elusive task than estimating construction costs. This section limits itself to TDOC operating costs. The current annual operating cost per inmate in Tennessee is \$9,912. Thus the newly built 600-bed prison would cost \$5.9 million/year to operate, in 1982 dollars.

Long-term Costs

Summarizing, we find that the decision to build a 600-bed institution will require outlays of \$152.7 million over 20 years (1982 dollars) -- \$34.7 million for construction and related costs and \$118 million for operation. The average yearly cost (capital and non-capital) is \$7.6 million. Therefore, the true annual cost of maintaining an inmate is \$12,725 and the "opportunity cost" of a single Tennessee prison of 600 beds is whatever alternative goods and services that \$152.7 million can command. These alternatives might be other corrections' projects or education or improvements in state social

service programs -- or simply no additional taxes.

The decision to build, then, is a long-term choice with significant financial consequences. Flexibility in other corrections' outlays may be limited by the magnitude of prison outlays.

#### Punishment Decisions

Just as there is a lack of knowledge of total prison costs, a similar gap exists with respect to decisions about prison utilization. Using the average annual prison cost of \$7.6 million, it is possible to assess what can be "bought" with those funds. In common parlance, how many people can be "punished" for \$7.6 million? The answer depends again on decisions -- by the Legislature, Executive, judges, and TDOC officials. A prison has 600 available beds: how they are used depends on mandatory sentencing, sentencing decisions of judges, use of sentence credits, and the release practices of the Parole Board. ("Sentence credits" is a term that applies to various methods used to reduce the amount of time an inmate serves in prison -- usually granted for work performed or good behavior.) The number of people who can be "punished" for \$7.6 million will be a function of the actions of these various groups.

The concept introduced here and illustrated on the following page is "punishment experience" -- the sanction for any given offender. With a budget constraint (e.g., of \$7.6 million), there are two generic options: either the total "punishment experiences" can be maximized (the total number of offenders receiving some sanction), or the punishment per person can be maximized (e.g., life plus 50 years, etc.).

The critical variable in determining how many persons can be punished by incarceration -- prison "punishment experiences" -- is average length of stay.

Table 2  
Alternative Prison Punishment Experiences

<u>Prison Costs</u> (Annual)	<u>Average Length</u> <u>of Stay</u>	<u>Annual Prison</u> <u>Punishment Experiences</u>
\$7.6 million	6 months	1,200
	12 months	600
	23 months (Tenn. ALS)	314
	24 months	300
	5 years	120
	10 years	60

Inmate turnover, a function of average length of stay (ALS), affects how many people can be sent to a prison each year. If the ALS is 12 months, the prison in effect "empties" once a year and 600 new admissions are possible. If the ALS is two years, an average of 300 beds is available each year. If the average inmate remains five years, only 120 beds are available each year. Conversely, if the ALS is six months, 1,200 prisoners can be accommodated each year. Hence, \$7.6 million "buys" different things, depending on sentencing and release decisions. In the extreme case of an ALS of ten years, we would in effect be "punishing" only 60 new people annually in the prison -- at a cost of \$7.6 million.



Table 3

Alternative Punishment Experiences

<u>Annual Budget</u>	<u>Average Length of Stay</u>	<u>Annual Punishment Experiences</u>
\$7.6 million	Probation <u>a/</u>	
	6 months	47,204
	12 months	23,602
	24 months	11,801
	3 years	7,867
	Community Residential <u>b/</u> (Basic Services)	
	6 months	2,666
	9 months	1,999
	12 months	1,333
	24 months	667
	Community Residential <u>c/</u> (Comprehensive Services)	
	6 months	2,169
9 months	1,627	
12 months	1,084	
24 months	542	

a/ Estimated at \$322/client/year

b/ Estimated at \$5,700 /year

c/ Estimated at \$7,008/year

Alternative Punishments

In order to appreciate the range of what \$7.6 million can "buy" it is necessary to observe its expenditure on alternative punishments -- those punishments which in effect would be foregone by the decision to build a prison. Table 3 illustrates alternative "punishment experiences" using \$7.6 million as the available outlay. (The Project Staff is well aware that probation and other community supervisions are not perfect substitutes for incarceration for all persons. The intent is to demonstrate alternative uses of Tennessee tax monies.)

As Table 3 shows, \$7.6 million buys a substantial number of alternative "punishment experiences," depending on the option selected and the average length of stay. Given a probation ALS of 2 years, 11,800 probation "punishment experiences" can be bought each year; or nearly 2,000 basic residential "punishment experiences" (ALS = 9 months) would be possible. The "opportunity cost" of a new prison translates into the alternatives, such as probation or other community placements, which can be bought instead. If the average length of stay is two years, then the state can purchase, over the 20-year financing life-time of the prison, either 6,000 prison "punishment experiences" or it can purchase 13,340 basic community residential "punishment experiences." What we can buy depends, then, on the punishment selected and the length of time for which it is imposed.

Case Costs

Another way of viewing expenditure data is to examine the cost of a particular decision. Armed with the average annual prison cost of \$7.6 million, we can readily calculate the cost of an individual sentence. Mandatory minimum sentences have become increasingly popular. In addition, many Tennessee offenders will serve at least one-third of sentence imposed; at the reverse end, one can calculate the taxpayer cost of sentence credits not granted or parole decisions denied. The average annual prison cost per inmate is \$12,725 (capital and noncapital). Table 4 illustrates the case costs of sentences of varying length. A ten-year sentence served, for example, is a commitment of \$127,250 dollars at today's prices.

Table 4

Case Cost of Prison Sentencing Decisions

<u>Average Length of Stay</u> (or Mandatory Minimum Sentence)	<u>Case Costs</u>
1 year	\$ 12,725
2 years	\$ 25,450
3 years	\$ 63,625
7 years	\$ 89,075
10 years	\$127,250
15 years	\$190,875

Table 5 shows the costs of sentence credits and parole decisions. Using these tables it is possible to calculate the taxpayer cost of any decision -- legislative, judicial, correctional. Because prices

are absent in the public sector, it has heretofore been problematic to calculate estimates such as these. This analysis is intended to facilitate calculation of the costs of various decisions.

Table 5

Case Costs of Sentence Credits and Parole Decisions

<u>Sentence Credits</u>	<u>Cost</u>
1 day	\$ 35
1 month	\$1,060
6 months	\$6,360

Return on Investment

How does one interpret such figures as "punishment experiences" or case costs, other than to recognize their magnitude? Economics uses techniques of cost-benefit analysis or return on investment to determine whether a particular outlay is warranted. Simply stated, the benefits should equal or exceed the cost and/or the return on investment should exceed the return available from any alternative program. For purposes here, a sentence of 5 years should be "worth" at least \$63,625, however measured. (Table 4)

Two common corrections' measures are incarceration benefits (crimes avoided because the offender is incarcerated) and recidivism benefits (crimes avoided because the offender is rehabilitated). General deterrence is ignored here because of the ongoing debate as to its existence and magnitude.

The few studies which have "priced" incarceration and recidivism benefits suggest that prisons do not "produce" enough benefits to warrant their justification on economic grounds. Presumably their justification stems from non-economic premises.

One study which examined the incarceration benefits of a typical federal correctional institution concluded that the value of avoided crimes was less than the costs of incarceration. (William J. McGuire, "An Economic Model of Criminal Correction Institutions," 1978) Another determined that a specialized institution was more effective than its traditional counterpart in reducing recidivism. However, an extra year of crime-free behavior was "bought" at a cost of \$12,725 (for the longer, intensive treatment) and substantially exceeded the average cost to society of the offender's illegal activities. (Bloom and Singer, "Determining the Cost-Effectiveness of Correctional Programs," 1979)

There is not enough research of this kind to support an undeniable conclusion that prison expenditures do not generate benefits sufficient to justify them on economic grounds. The evidence is suggestive of this, however, which implies that non-economic justification not only exists, but should be sufficient to outweigh potential negative findings on the financial side.

Another Approach

The advantage of reliable data is that they allow more informed planning. In the past the new prison choice has been considered by the TDOC as the only available decision. The operant goal was

Table 6  
Number of Prisons Needed  
Based on Changes in Average Length of Stay

<u>ALS</u>	<u>Number Punished</u>	<u>Number of New Prisons</u>	<u>20-Year Cost</u>
6 months	1,200	.5	\$ 77 million
12 months	600	1	153 million
18 months	401	1.5	230 million
23 months (IN ALS)	314	1.9	291 million
24 months	300	2	306 million
30 months	241	2.5	383 million
36 months	200	3	459 million

to provide additional prison "punishment experiences." It has been demonstrated that even the substantial sum of \$7.6 million each year can provide only a limited number of such experiences. Further, fiscal realities suggest that there will be additional limitations on TDOC allocations.

If the goal is modified to provide a maximum response to crime, given a budget constraint, the information presented above can be used to construct different punishment scenarios. It has been shown, for example, that \$7.6 million will punish only 314 new persons annually when, as now, the average length of incarceration in Tennessee is 23 months. For Tennessee, that is a minute representation of those offenders apparently deemed to require punishment. If it were decided that 600 annual admissions constitute the probable intake for the new regional prison, and Tennessee's current ALS of 23 months were applied to these admissions, the State would in fact need to build 1.9 prisons -- two prisons obviously -- at a 20-year cost of \$306 million, or \$15.2 million per year. Table 6 shows the changes in the number of punishments, number of new prisons, and cost as the ALS is increased or decreased. As the table reveals, by adjusting the sentence length and time served to 12 months, 600 annual admissions would be served, and the State would need to build only one prison.

If the Tennessee ALS of 23 months cannot be shortened, or if the ALS increases, the 600 annual admissions could be accommodated without further prison construction by implementing a controlled early parole program for selected offenders as outlined in Section VII, subsection D.

#### Conclusion

Prison use and prison overcrowding result from a series of decisions by persons and groups throughout the state's criminal justice system and by those who affect that system through the state's political process. Legislative, executive, judicial and criminal justice system decisions affect what kinds and levels of services can be bought with taxpayer dollars. Prison construction costs considerably more than is commonly believed and buys considerably less than is commonly believed. It remains for the State of Tennessee to examine alternatives and determine the best use of its acutely limited resources.

#### B. Modular Prison Construction

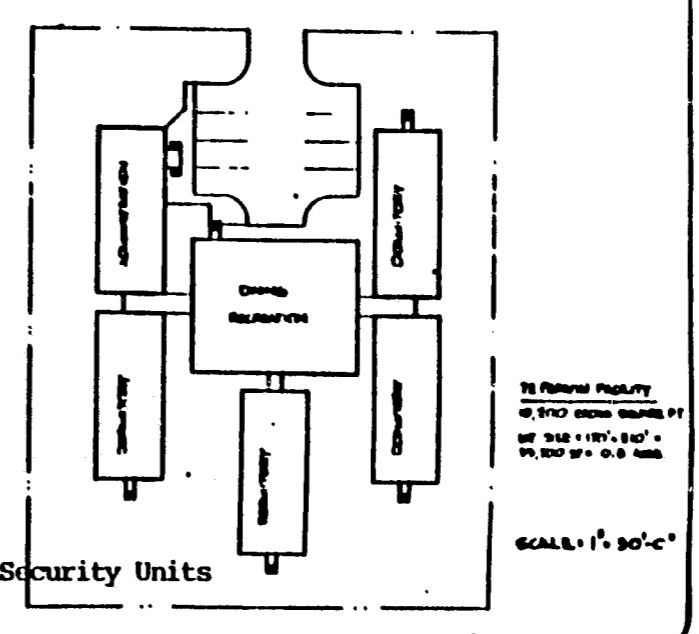
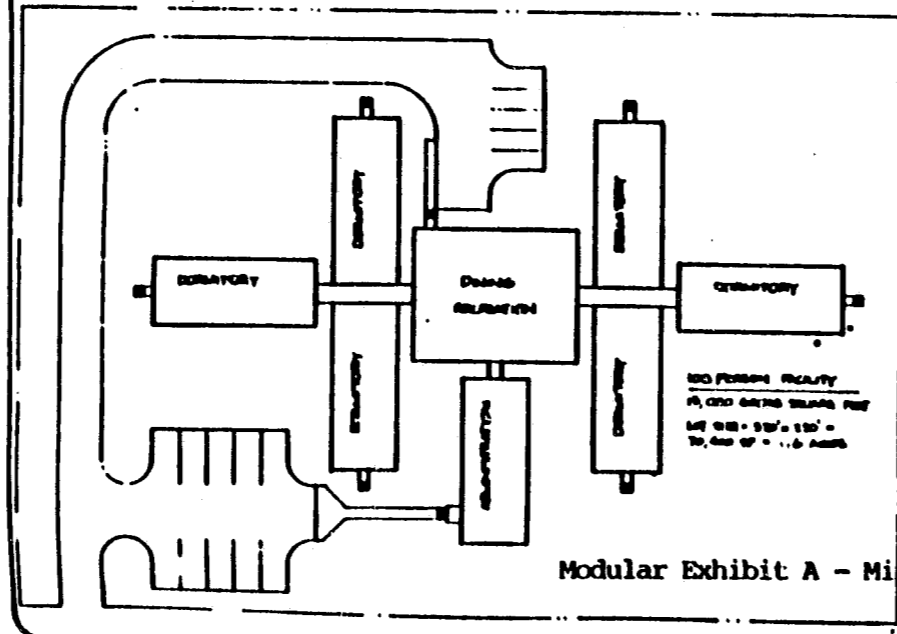
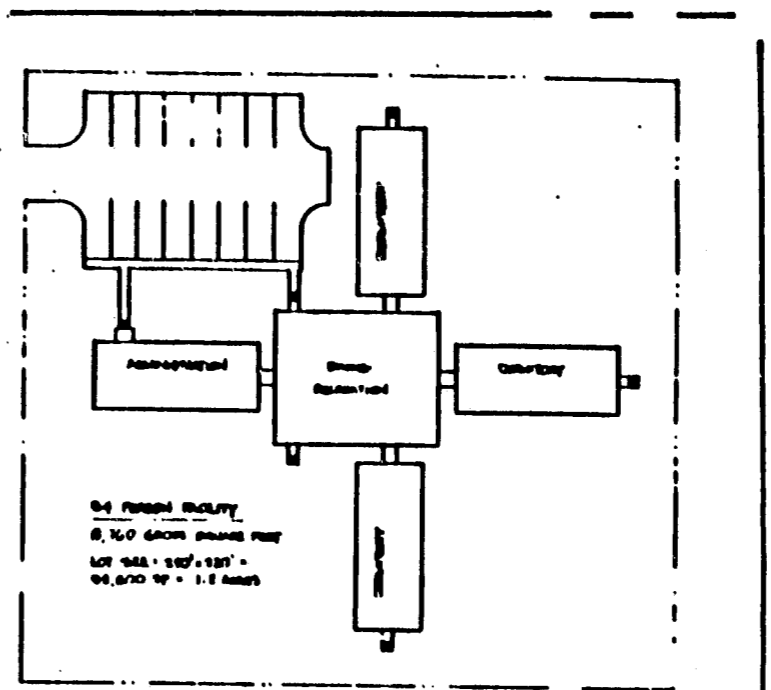
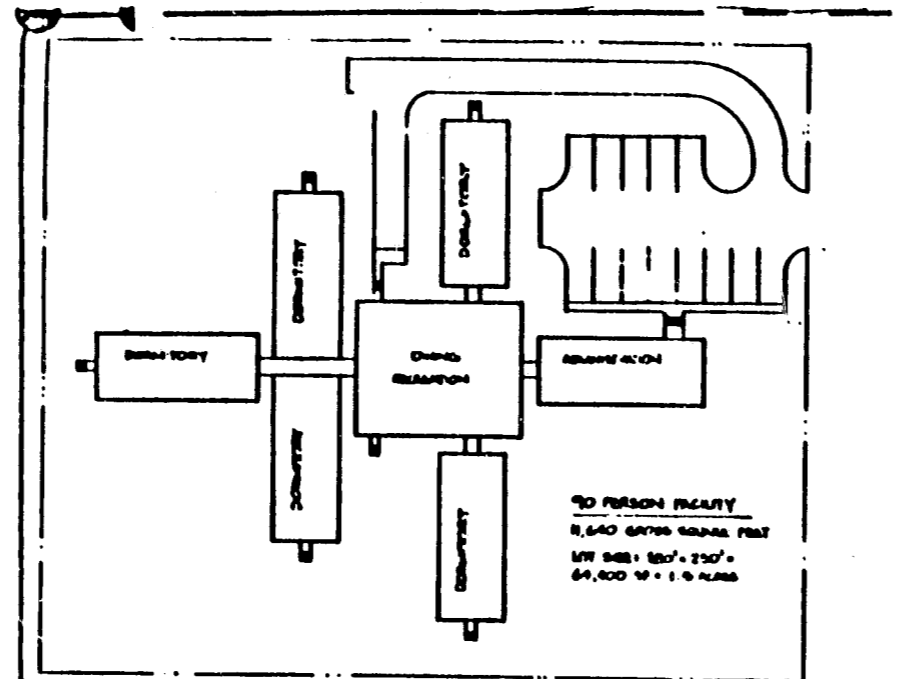
The foregoing section was based on traditional prisons of "brick and mortar." The State must also consider the use of modular facilities, whenever possible, for new prisons or camps. In contrast to the \$33,694 capital cost per bed of a 600-bed regional prison on a 5,000 acre site as outlined in the preceding subsection, a 120-bed modular work camp on a 100-acre site would cost from \$14,230-\$17,563 per bed. (See Table 7 and Exhibits which follow.) Modular construction may not be used in Tennessee for housing medium security prisoners because modular construction vendors are unable to meet the State's recently enacted fire code regulations.

Table 7  
 120-Bed Modular Work Camp (Minimum Security)  
 Construction Cost

	<u>Gross Square Feet</u>	<u>Cost/SF</u>	<u>Total Cost</u>
Administration	11,563	\$35	404,705
Support	5,900	35	206,500
Living	18,460	35	646,100
Power Plant	2,000	35	70,000
<b>Base Construction Cost</b>			<b>\$1,327,305</b>
<u>Other Cost</u>			
Architect Fee (5.7%)			82,500
Agency Fee			13,273
Equipment			18,000
Site Acquisition Cost (100 acres)			146,500
Site Preparation Cost			120,000
<b>Total Prison Cost</b>			<b><u>\$1,707,578*</u></b>
<b>Cost Per Bed</b>			<b>14,230*</b>

NOTE: Above costs reflect  
 P.B.S. Building System, Inc.  
 quoted price 8/30/82. (Used  
 for example-other vendors  
 available to bid)

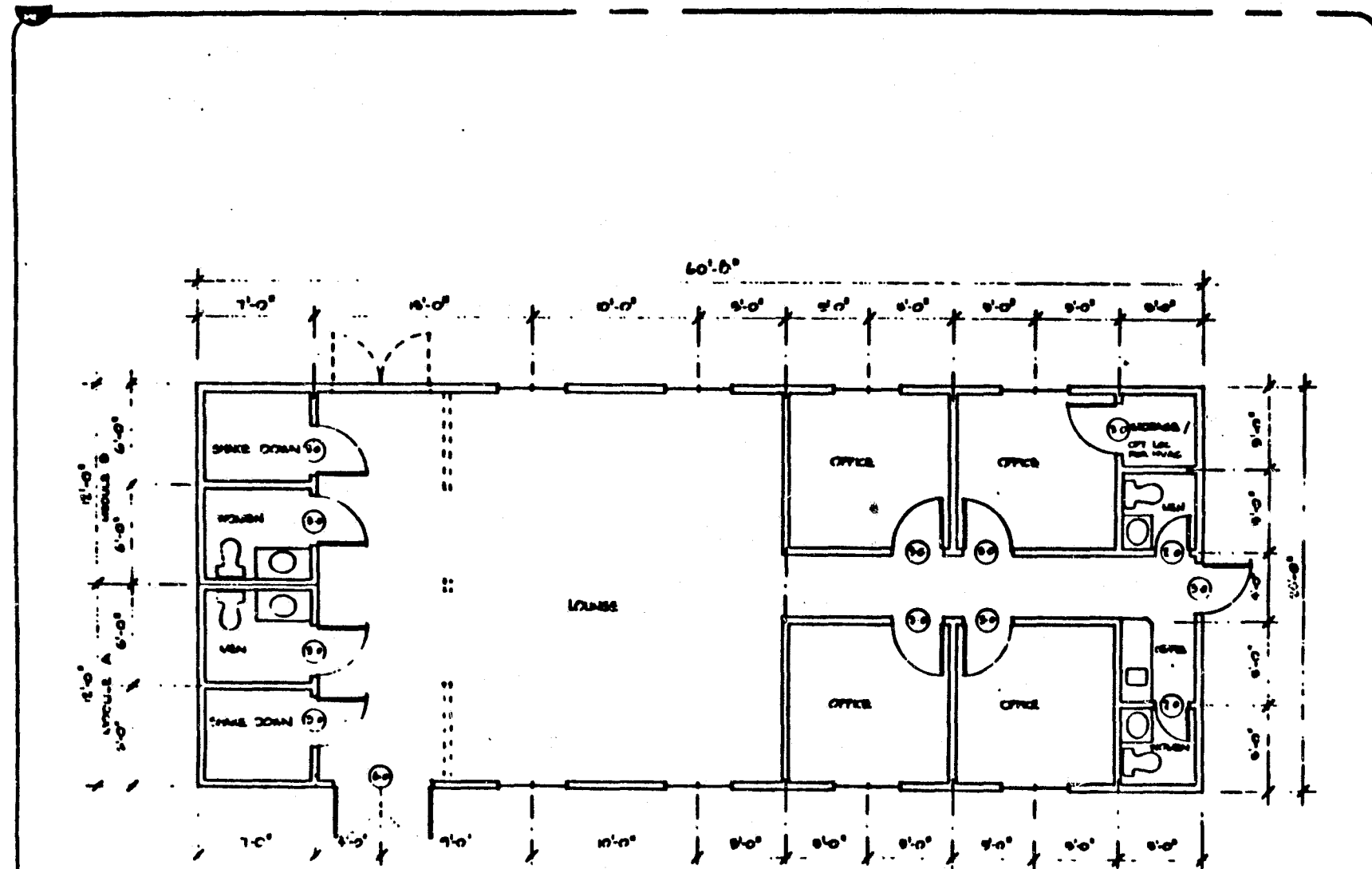
\*F & A Facilities Management Division estimates possible additional costs of approximately \$400,000 per work camp for utility and sewer lines, road construction, and other necessary support systems which would translate into a per bed cost of \$17,563.



Modular Exhibit A - Minimum Security Units

SCALE: 1" = 30'-0"

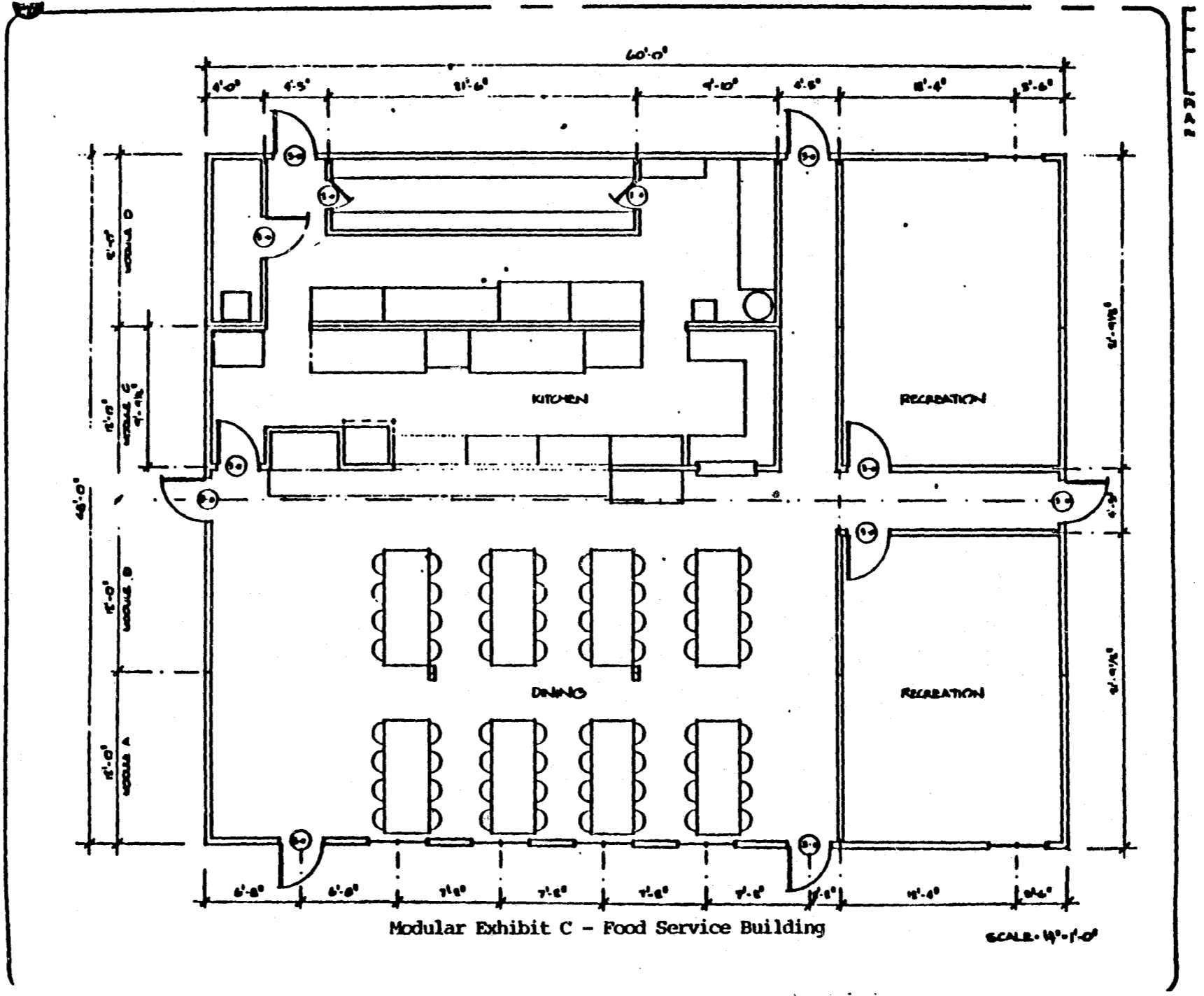




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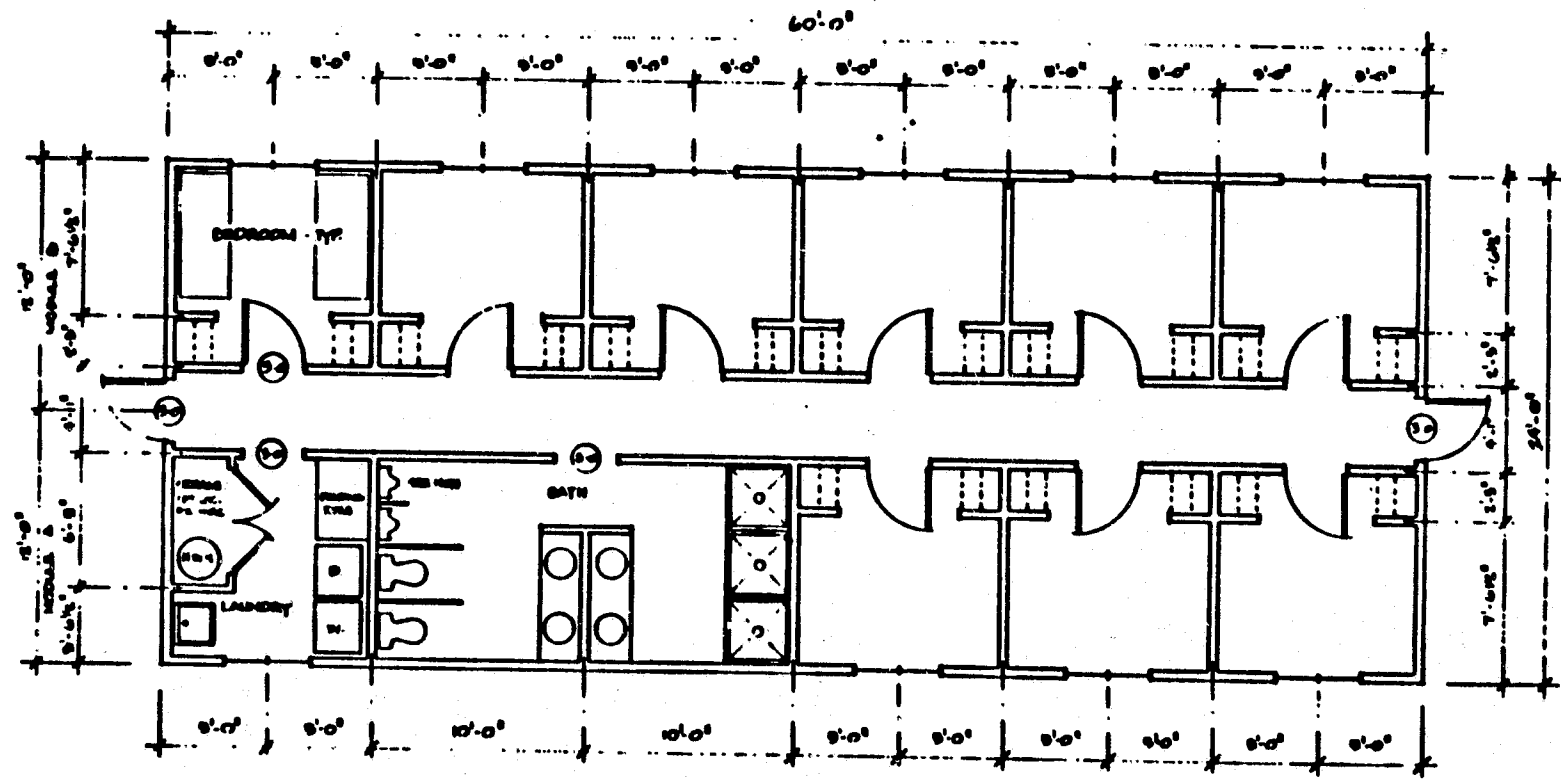
Administration Building - Modular Exhibit B

SCALE: 1/8"=1'-0"



Modular Exhibit C - Food Service Building

SCALE: 1/4" = 1'-0"

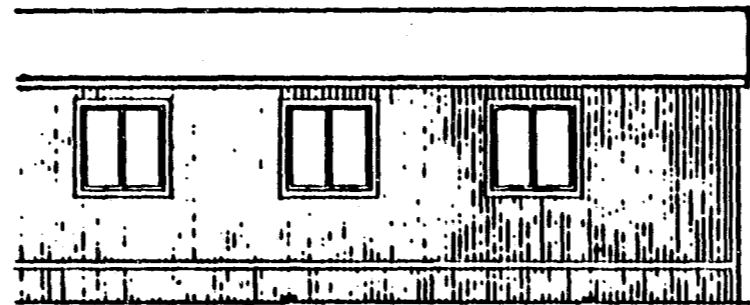


NOTE: FOR HEIGHTS REFER TO S.E.C. 2 IN THESE SPACES.

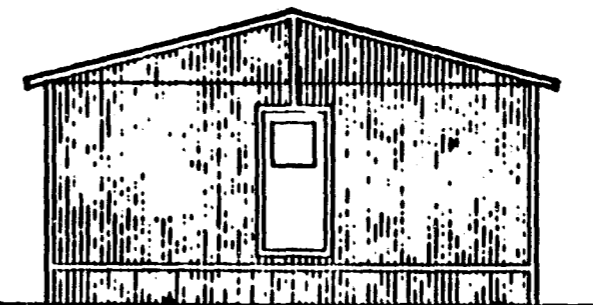
Modular Exhibit D - Typical Housing Unit for 18 Men

SCALE: 1/8" = 1'-0"

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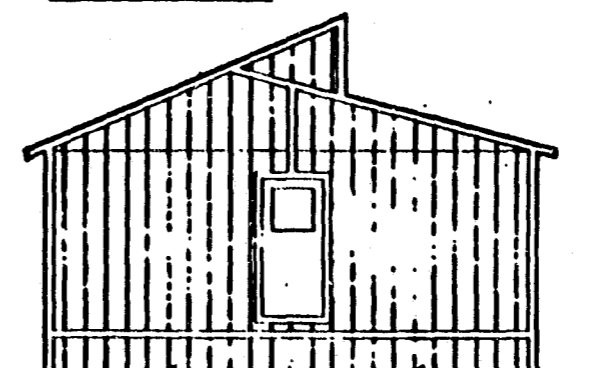
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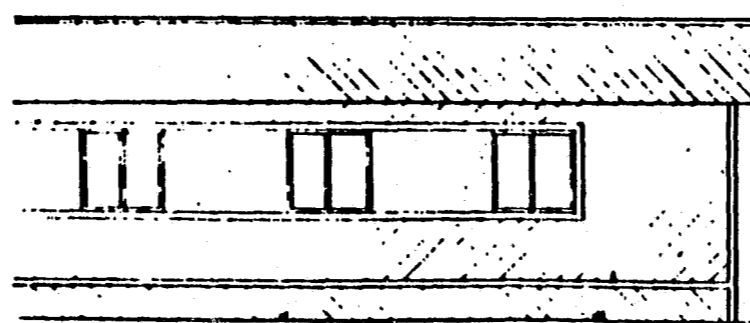
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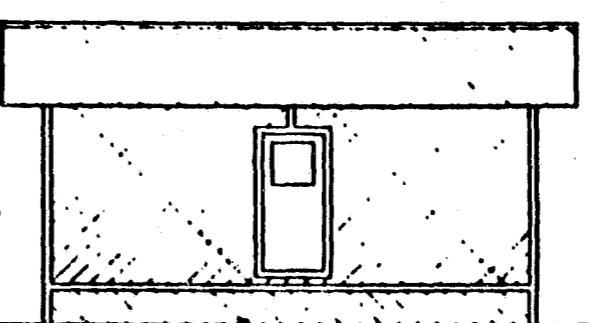
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PROJECTED FASCIA

Modular Exhibit E

SCALE: 1/4" = 1'-0"

C. Prison Site Selection

A major obstacle to the implementation of any correctional plan that includes prison construction is the acquisition of a site for the proposed prison. Citizen opposition to a prison being located in the community is frequently total, and as was learned at Morristown can also be violent.

The traditional Tennessee response by state government to community resistance is to build the new facility where prisons are already located, or to enter into private and very lengthy local negotiation, sometimes lasting years, in the hope of reaching a consensus for acceptance. Both of these approaches frequently have unfavorable correctional and political consequences.

From a correctional standpoint, it is seldom desirable to add housing capacity to existing facilities as, incidentally, the TDOC is currently doing at four facilities. One basic reason that these housing additions make bad correctional policy is that additional support facilities for food service, visitation, medical service, and so forth are seldom added in equal measure. Many non-correctional policy-makers believe that simply adding beds will solve the problem; and while TDOC management should acquiesce to policy directives, it has often failed to fully inform the policy-makers of the possible consequences of their decisions. It was demonstrated in a project staff survey of all TDOC disciplinary infractions (7/79-10/82) at each institution that the level of inmate violence and idleness rises when support

facilities and work opportunities are not added in equal measure with the additional housing, even if the housing itself meets constitutional requirements.

From a political standpoint, the aforementioned process is also inadequate. Due to the situation as described, the institution often becomes more difficult to manage and in time the community reacts to its growing perception that the facility is "mismanaged" and "out of control."

The other method of securing sites, that of protracted private negotiations, is also fraught with correctional and political danger. The state negotiators are seemingly so convinced that they have a poor product to sell that often they provide assurances to the community that subsequent TDOC administrations cannot deliver. The most frequent abuse is the assurance that only "low risk offenders" will be placed in the new facility. Also, The TDOC invariably pays an unusually high price for prison land when compared to any other "industry" that plans to spend millions of dollars per year in the community. The Lake County property, for example, cost \$1,465 per acre; however, local farm land was averaging \$900 to \$1100 per acre at the time the prison was purchased.

This plan requires several new facilities: four 120-bed work camps and either a 450-bed prison or other facilities which would add 450 beds to the system. Based upon anticipated state government work-needs which could be met with inmate workers, one camp is suggested for a 65-acre TDOC-owned site in Hickman County.

The plan, however, proposes a new Tennessee approach to securing

facility sites -- open, public solicitation for communities to express an interest. If it is determined that a 450-bed farm facility should be built on a 3,500-acre site, such a facility would represent 190 new jobs at an average salary and benefit total of \$15,500 per job. It would represent a total annual operating budget of \$4,650,000, most of which would be spent in the community; it would also represent labor available for municipal and county road and other work projects. In short, it would represent a 20-year state operating commitment of \$93,000,000. Communities should also understand that such a prison represents the occasional escape of an inmate who will not always be "low-risk."

In the fall of 1981 the Illinois Department of Correction conducted a public quest for a new prison site. The following excerpt from a press report tells of the results.

The prospect of a new prison was a hoped-for panacea among nearly two dozen Illinois villages. Late last year, the Illinois Department of Corrections announced a search for a town willing to accept a new 750-bed medium-security prison which would fulfill the state's need for more beds. It was a striking contrast to a 1977 search, when 17 communities were solicited before one would agree to provide a site. This time, 21 towns came wooing the project. More specifically, they wanted the \$40 million construction investment, \$10 million payroll for 425 employees, and \$6 million spent annually on related expenses.

Such intense competition between towns inspired some imaginative sales techniques. One Illinois county sent Governor James Thompson and Corrections Chief Michael Lane a dozen roses on Valentine's Day with a card reading: "When you make your decision/On a medium-security prison/You'll find not a frown/ In the county of Brown." Another community erected a billboard near the governor's Springfield office. A third cleared the snow from its high school football field and wrote "Welcome Mr. Lane" in high fluorescent orange letters so that the corrections director could read it as he flew into town by helicopter for a public meeting on the petition. There were

also pep rallies complete with spontaneous chants ("We want the prison! We want the prison!"); caravans of buses sent to the capital; offers of free land; and furious lobbying by hustling municipal officials. (The governor and corrections officials.) The governor and the corrections department ultimately named Danville, Ill., as the site for the prison. Nic Howell, a corrections spokesman, says of the towns that lost out: "They at least have gone out and done something for themselves. They'll be prepared for the next thing that comes along."

In September of 1982 a delegation of Tennessee legislators, accompanied by TDOC and Tennessee Department of Mental Health and Mental Retardation employees, visited Illinois to survey a mental health facility converted to a correction facility. During that visit they also heard first-hand of the campaign for a new prison site referred to above.

The Project Staff suggests that the Department of Economic and Community Development has the expertise to direct a campaign for prison sites.

#### IV. Adult Probation Service

At no other point in the Tennessee Criminal Justice System do State Corrections, Local Corrections, and the Judiciary come closer together than in the offender probation process. The Probation Officers in practice must serve the court, the offender, and the Tennessee Department of Correction. This probation service proposal stems from the conviction that the greater the quantity and quality of the service provided to the Judiciary, the greater the ultimate benefit to the TDOC prison system and the Tennessee taxpayer. At the very least the court should always be provided an in-depth pre-sentence report and the continued assurance that offenders placed on probation will be well-supervised. Absent these factors, incarceration often appears to be the wisest choice the court can make.

The probation service is one instance where additional manpower, efficiently positioned, is truly the critical need. The average TDOC Probation Officer currently is responsible for a caseload of 94 active probationers (11,299 probationers vs. 120 officers - 10/14/82). By June of 1983 the active caseload as currently projected will be at 101 (12,107 vs. 120). This plan requires funding that would reduce the average caseload to 70 soon after July of 1983. The addition of 53 Probation Officers will make it possible to meet this average caseload level.

It is most important to understand that an "average" caseload is what the term implies. It is, and will continue to be, entirely appropriate for one counselor to have a caseload of 50 while another has a caseload of 125. Each Regional Administrator must have the management prerogative to establish caseload levels for the counselors on the basis of court require-



ments, density of population, types of probationers, etc.

The Probation Service is divided into eight regions serving twenty-nine Criminal Circuits. (See map on following page.) Seven Circuits, the 2nd, 16th, 17th, 18th, 19th, 24th, and 25th, are serviced by two separate TDOC regional offices. In the past this separation of service has been of some concern to the courts and to the TDOC; however, the most economical TDOC use of a limited probation staff has heretofore required this arrangement. This plan proposes that the most economical use of the probation service is that which provides the greatest benefit to the Circuit Courts by virtue of the quality and consistency of its service delivery. Therefore, in addition to increasing manpower, this plan realigns the TDOC probation regions so that each Circuit is within a single TDOC jurisdiction. (See map) A Circuit Court will have but a single TDOC regional administrator to interact with.

As part of its review of the Adult Probation Service, the Project Staff also considered the field services currently managed by the Board of Parole. In 1979 the Board of Parole was separated from the TDOC and established as an independent agency. Concurrently, the parole officers in the field offices were transferred to the agency although they continued to share the same offices and many of the same resources with TDOC. The separation of the field service did create additional administrative positions and expenditures, and for this reason the Project Staff considered recommending that the services be joined, thereby reducing costs.

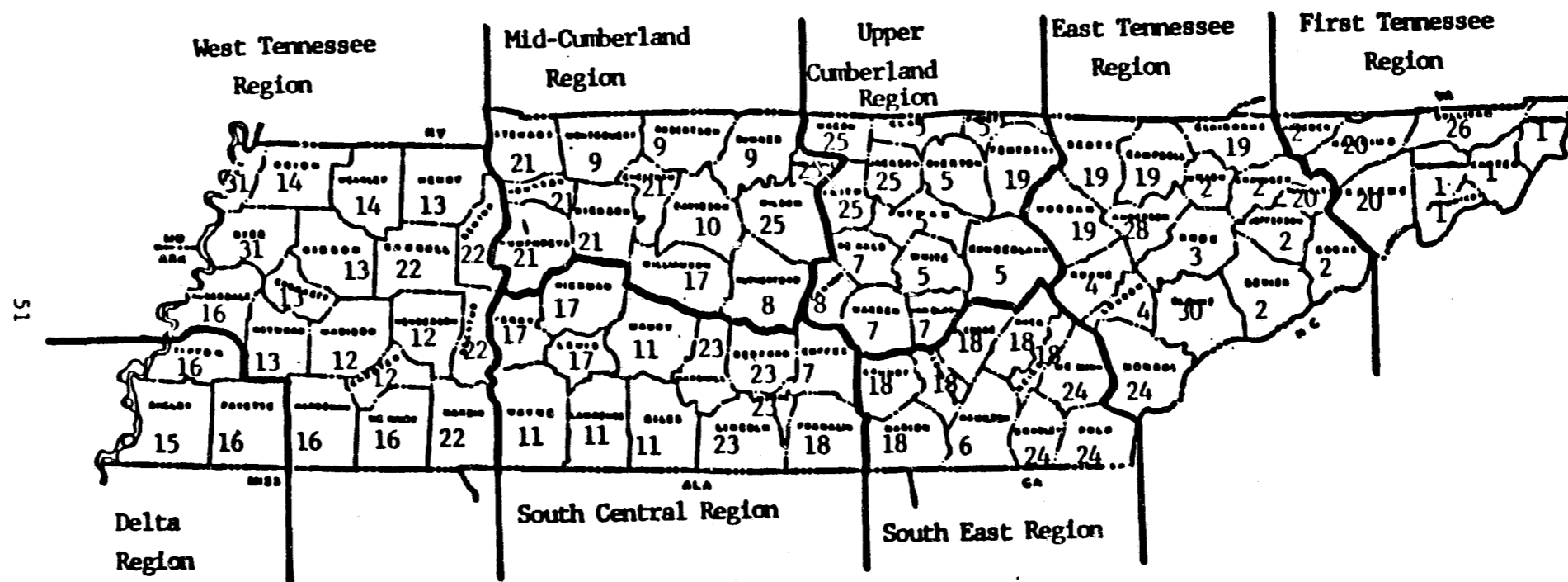
After careful evaluation, however, the Project Staff does not recommend rejoining the two services. The current system is working well;

the quality of service has not declined and may have increased. The Project Staff suggests that within two or three years the TDOC Commissioner and the Chairman of the Parole Board re-evaluate this issue again.

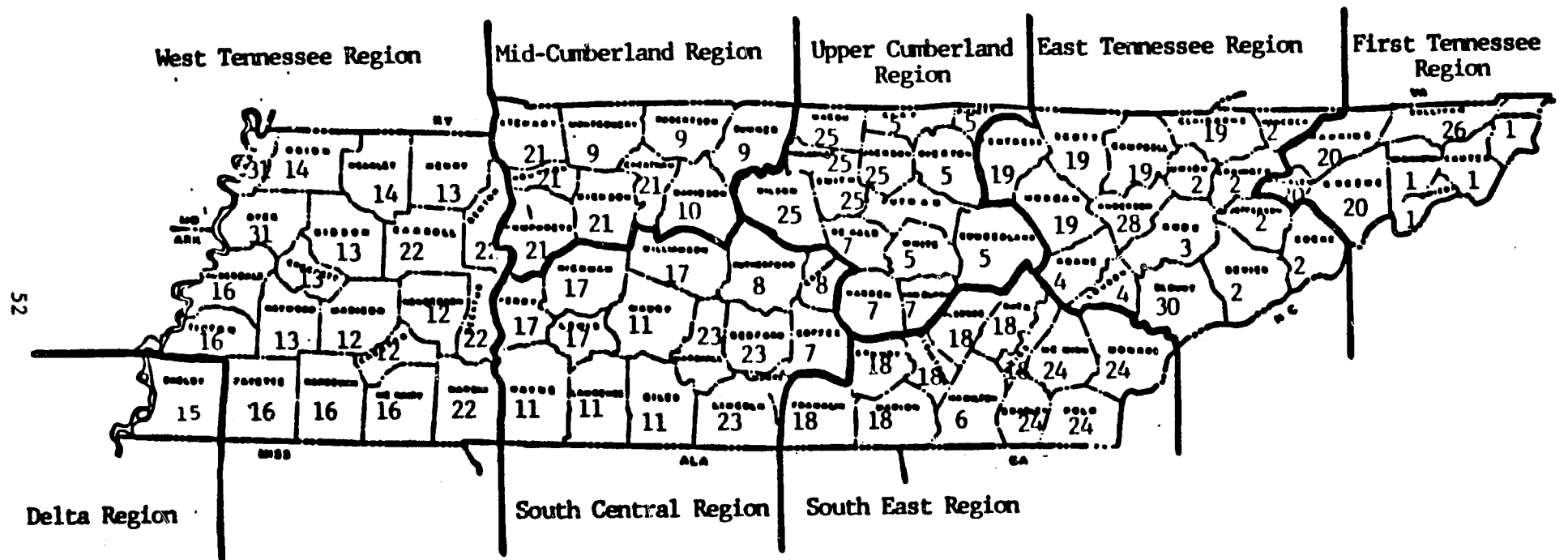
While the emphasis of this plan is clearly to provide a higher quality of service to the court, there should be no inference drawn that the Probation Officers will become "employees" of the court. Efficient and effective supervision of offenders is the other, and equally important, factor for consideration. The regional administrator must have full authority to adjust available manpower to regional demands. Limiting specific manpower to a single Circuit would - or most certainly could - be inefficient. The relocation of some TDOC area offices may be desirable at a later date.

The funding requirements for 53 additional officers for salary, fringe, and other expenditures is \$927,200.

Current Regions and Circuits



Proposed Regions and Current Circuits



#### V. Assistance to Local Corrections

The Project Staff approaches the issue of local corrections with two basic preconceptions:

1. Local Corrections cannot increase its response to prison diversion without the State's financial assistance.
2. State Corrections cannot provide additional resources without some reallocation of its current resources.

The concepts of "one man - one vote" and "equalization of educational resources" are well-established, practiced, and accepted in this state. It is but a logical extension of those concepts to conclude that each of the Judicial Circuits, and the respective counties included therein, are entitled to a proportionately equal share of the State's main correctional resource, i.e., its prison capacity as represented by the cost of maintaining that capacity. A "proportionately equal share" may be determined by various base factors: taxes remitted to the state; Circuit or county populations; urban/non-urban crime rates; or a formula based upon a combination of these factors.

The accepted measure for capacity is a "bed," i.e., the housing space necessary to hold an inmate in humane conditions. The projected cost of that "bed" to the State is \$27 per day in fiscal year 1983-84. At least \$20 of that daily capacity cost is fixed and, therefore, expended whether the capacity is utilized or not. Unused capacity costs can only be eliminated in steps by closing all or a portion of a facility. When total capacity is exceeded, new capital costs are required and the unit cost for capacity increases.

Clearly it is in the State's interest to reduce capacity demand if at all possible. It should be equally clear that a Judicial Circuit, which by its action controls the capacity demand, has a right to share in the benefit or in the burden caused by that capacity demand.

Proposals currently under consideration would provide that, on a quarterly average basis, when a Circuit maintained unused capacity in the prison system it would be reimbursed at a predetermined rate per day per unit. When a Circuit exceeded its prison system capacity it would reimburse the State at a predetermined rate per day per unit. An agreed-upon formula, requiring legislative authorship, could actually transfer funds between State and County; however, if the formula were based on Judicial Circuits, a county in a Circuit with multiple counties could exceed its proportion, and as long as the total Circuit was not in excess, would not bear a financial burden. Conversely, a county could be paid for its unused capacity only if the Circuit in total were below capacity. The only major State stipulation that should be attached to payments to local governments would be that the funds be expended for correctional facilities, programs, or staff needs. Counties within a Circuit would be free to develop among themselves any method for equalizing cost or developing cooperative enterprises such as circuit or "regional" jails or workhouses.

In contrast to other parts of this plan, this section on "Assistance to Local Corrections" will require further extensive review and consideration before specific recommendations are made. The basic intent at this time is to advance the proposition that prison capacity is a correctional asset that belongs jointly to state and local governments and that simple equity requires that a system be devised to proportionately share that asset.

This concept is submitted as a basis for further discussion since the authors of the plan have not yet been able to devise a resource-sharing system that can be unanimously recommended. Specific proposals relating to assistance to local corrections will be submitted to the Legislature no later than March 1, 1983.

## VI. Classification

In correctional terms, "Offender Classification" is an ongoing process of managing an individual offender's progression through the criminal justice system. This classification process has five distinct elements: an investigation of the offender's current total circumstances; an evaluation of the offender's ability to cope with those circumstances; an assignment of the offender to an environment best suited to assist the offender in coping; monitoring the offender's behavior; and controlling inappropriate behavior.

The classification process actually begins with a police officer's decision to arrest an offender, and the process continues until completion of parole. Generally, the first TDOC involvement in the classification process is through a Probation Officer's pre-sentence investigation of the offender and subsequent report to the trial judge. The second and major TDOC classification involvement begins with those offenders who are committed to TDOC institutional custody by the trial judge.

It is the institutional portion of the classification process that is the focus of this section.

In any institutional system the five major elements of classification -- investigation, evaluation, assignment, monitoring, and control -- if present in sufficient quality, form the core of effective management supervision. If any one of the five elements is missing, or sharply limited, the system cannot function efficiently. This plan contends that in the TDOC all five elements are currently deficient.

Currently, all newly committed male offenders are received at the Nashville Regional Correctional Facility; all female offenders are received at the Tennessee Prison for Women. A male offender usually completes the first step of the TDOC institutional classification process in four weeks at NRCF and is then assigned to another facility within the TDOC system. At this early stage the system is already in trouble. A review of offender files shows clearly that the "investigation" generally lacks a copy of the F. B. I. report, a copy of the pre-sentence report, and completed questionnaires from family and past employers of the offender. Most information is provided by the offender himself. It obviously follows that the "evaluation" is made without adequate knowledge of the offender's ability to cope with his incarceration. In addition, the NRCF staff is not currently informed as to actual program space availability at each TDOC facility; therefore, the recommendations of the staff for an offender's work assignment or educational training are infrequently met when the offender reaches his new facility. The most common selection criteria for assigning an inmate to an institution is the availability of bed space. The two previous statements are supported by the TDOC's own internal review by the Classification Director and his staff and by the Project Staff.

The situation just described is further exacerbated by the fact (as discussed in Section VII) that the Tennessee State Prison, Turney Center, Fort Pillow, Memphis Correctional Center, and the Lake, Morgan and Bledsoe County Regional Prisons attempt to provide all programs to all inmates. Each facility also houses Maximum, Medium, and Minimum Security inmates--often within the same housing unit.

By this stage, in what is now a non-process, the potential for inmate violence and inmate idleness can be fulfilled. The remaining two elements of classification--monitoring and control--have little practical use (monitoring) or are impossible to effectively impose (control). One final point: the TDOC currently does not intensively re-investigate and evaluate Parole violators, returned escapees, or Work Release violators. These offenders number approximately 1,600 men per year and are simply placed back into the system with little consideration given to their most recent offense.

Six factors must exist in order to implement a classification system that can effectively reduce inmate violence and increase inmate labor:

- . The TDOC must develop substantial background information on all offenders entering the institutional system.
- . There must be sufficient Reception bed space to allow the time necessary to properly evaluate each offender.
- . Institutional housing and work assignments based upon the Reception evaluation must be implemented at each facility.
- . Offenders must be segregated on the basis of their own abilities and conduct while in the prison system.
- . The TDOC must concentrate its decreasing resources on providing work for inmates, as a practical matter, to the exclusion of most other program activities.

The TDOC organizational components of the classification process must be under the direct control of a single administrator, i.e., Director of Classification.

The Project Staff recommends that the initial classification be expanded to an eight-week program, allowing sufficient time to gather and to give adequate consideration to information from sources other than the inmate, including former employees, family members, et cetera. Work Release violators will require a four-week intake classification, and Parole violators will require two weeks. In 1981-82 there were 3,606 new admissions, 766 Parole violators, 642 Work Release violators, and 34 returned escapees. Considering the proposed time required to complete a Reception classification, the 1981-82 volume would require more beds than are, or will be, available at the NRCF. An additional factor for consideration is the expense and public danger in transporting prisoners from East and West to Middle Tennessee for intake classification and then returning most of them to the area from which they came.

To adequately classify all offenders entering the prison system, the Project Staff recommends a conversion to three Regional Classification Centers in lieu of a single statewide center at NRCF. The Project Staff believes that the Memphis Correctional Center, the Middle Tennessee Reception Center (now TPW), and the Brushy Mountain Prison could adequately accommodate the anticipated traffic for males. This traffic would include, although not be limited to, initial classification studies and reclassifications from other facilities upon completion of a program, violation of a program, and those believed to be inappropriately classified. (See Table I at the end of this section.)

Regional classification, based on the three grand divisions of the state, will result in savings of \$3.0 million in the current operating costs of the three prisons as they are now functioning. Regional facilities will provide the consistency which is available in a central classification center but will also enhance the ability of the staff to have knowledge of resource availability and significantly decrease arbitrary decisions in subjective areas. Regional classification will allow a smaller facility in Middle Tennessee than that now being used for state-wide classification purposes. It is proposed, therefore, that male classification be placed at what is now the Tennessee Prison for Women and that all adult female inmates be housed at the Nashville Regional Correctional Facility. This will allow Guild 17, an antiquated structure, to be closed.

Regional classification will require seven teams as opposed to the six now operating. Each of these regional centers will require two Classification Teams consisting of three persons of varied backgrounds combined to properly evaluate offenders. These teams can share the services of a testing diagnostician and a chaplain. (See Table II at the end of this section.) The Women's Prison will have one Classification Team.

Female prisoners' classification will continue as an in-house activity within the institution assigned to their use, N.R.C.F. The Classification Team may be assigned additional duties within the institution, since the intake numbers will not always require a full-time daily classification team. The women's facility, unlike those for males, will have a full range of programs to which they can be classified, including Work Release.



The TDOC need not continue to base classification in large measure on geographic area. Males will be assigned institutional placement based primarily upon their employment abilities and institutional needs. Only the individual needs for medical or psychological treatment or for personal security will take precedence over prison system requirements.

The Director of Offender Classification will have direct line supervision of the wardens of the three reception centers and will be responsible to the Assistant Commissioner for Adult Services. The Classification Staff in the Central Office will be primarily responsible for on-site monitoring on a regular basis, continuous review and updating of departmental policies relating to classification functions, recruitment and training of classification personnel, and regularly providing direction to the wardens of reception centers regarding system needs. Duties of this office will also include the gathering of data and planning for the future of classification. Fullfillment of these duties should make it possible for the Department to become cognizant of the need for program changes well in advance of the need for their implementation, thus thwarting management by crisis.

The Central Office personnel of the offender classification section will not be involved with the routine classification of specific individuals with regard to their placement and/or program. This responsibility will be delegated to the respective institutional wardens. Central Office personnel will always be available but will participate in individual classification decisions only when requested to do so by the warden.

A Central Dispatch for transportation of inmates will be directly supervised by the Director of Offender Classification and is to be located in the work area. This function is to be staffed by two individuals, one to be equivalent to a correctional lieutenant and the other to a correctional sergeant. This function is to be in the Central Office in order to discourage identification with one facility and to promote communication between that office and the institutions.

The tasks of intake investigation, evaluation, and initial assignment having been met at the classification centers, the other TDOC institutions must be capable of implementing the monitoring and control functions of the classification process. The Project Staff, therefore, proposes that the male institutions have specific missions rather than attempting to meet all needs of all inmates. This concept will facilitate segregation of offenders by compatibility factors and will permit a smaller staff with better training to produce at a higher level.

The offender's work assignment will be a heavily weighted factor in determining his institutional assignment. Those inmates designated to work on farms will be assigned to the Morgan County Regional Correctional Facility, Bledsoe County Regional Correctional Facility, Turney Center Annex, or Fort Pillow (or possibly to a new 450-bed farm facility), and those persons assigned to industrial jobs will be placed at Turney Center. The Farm and Industry facilities will offer an Adult Basic Education program to inmates on a voluntary, "after work" basis. Offenders who are assigned to a full-time academic/vocational program, as required to support the prison system, will be housed at the Lake County Regional Correctional Facility. Persons assigned to work details with the Departments of Transportation and Conservation or in community

projects will be assigned to the work camps. Individuals with special needs will be assigned accordingly, i.e., DeBerry Correctional Institute for mental health care, the Geriatric Unit (current Tennessee Prison for Women - Annex) for aged and infirm who do not require daily medical treatment other than medication. Those requiring intensive medical care, all males classified as maximum or close security, all males on voluntary checkin over fifteen days, all males on administrative segregation and all males found guilty of refusing to work will be housed at the Tennessee State Prison. Those males placed on a Work Release program will be housed at Memphis Community Service Center, Knoxville Community Service Center, Nashville Community Service Center, or Chattanooga Community Service Center.

Classification is, and must continue to be, open to initiatives by the offenders, but changes must be made for good and sufficient cause only. This does not negate nor minimize the need for regular review. This review must involve the inmate's work and housing supervisors. On a quarterly basis a work evaluation must be made a part of the inmate's record with comments by both individuals forwarded to an appropriate associate warden via the inmate's caseworker. This associate warden will approve the evaluation or request the inmate be returned to a reception center for reclassification stating his/her reasons for such action.

Each male institution will have two caseworkers (work camps will have one caseworker and TSP will have three) who will be responsible for the preparation of reports to the Parole Board. They will also function as members of the program review committees and ensure that each inmate's

progress is recorded on at least a semi-annual basis. This progress report is to follow a prescribed format, although it must not be limited to that format.

Individuals will be returned to a reception center when classification is deemed necessary by the institution for any of the following reasons: (1) completion of program, i.e., educational program at the Lake County Regional Correctional Facility, a treatment program at DeBerry Correctional Institute; (2) violation of a program, e.g., Work Release, Parole, etc., or (3) when inmate has been inappropriately classified and such can be substantiated by new information. This does not pertain to those persons who refuse to work: they will be immediately transferred to the Tennessee State Penitentiary and, after suitable time, from there to the Middle Tennessee Reception Center for reclassification. These actions will be accomplished through the review process described earlier with the exception that the work supervisor will be replaced by another staff member.

This classification system, combined with the work programs outlined in Section VII, will significantly impact the degree of idleness, and consequently the degree of inmate violence, now existent in the adult institutions operated by the TDOC.

(Additional supportive information related to the classification program, but not specifically cited in the text, follows the tables at the end of this section.)

Personnel and Fiscal Adjustments Resulting from  
the Conversion to the Regional Classification Program

SUMMARY

Classification Centers:	Personnel Adjustments	Fiscal Additions (Savings)	
		Operational	Capital
Brushy Mountain	(63)	(\$ 948,600)	-0-
Middle Tennessee Reception Center (Currently T.P.W.)	24	482,600	-0-
(Nashville Regional Correctional Facility-Code 329.17)	(92)	( 2,176,600)	-0-
Memphis Correctional Center	<u>(16)</u>	<u>( 349,200)</u>	<u>-0-</u>
Sub-Total	<u>(147)</u>	<u>(\$2,991,800)</u>	<u>-0-</u>

Note: In this and subsequent sections personnel and cost/savings figures apply only to the particular institution(s) listed and not to the TDOC in total; for example, the 63 positions to be abolished at Brushy Mountain are Correctional Officer positions no longer required due to the reduced security requirements of a classification center vs. a maximum security prison; these will be offset elsewhere by "new" positions added at other facilities. The number of positions directly related to classification will actually increase.

The Total Personnel/Cost Summary for the TDOC plan is presented in Section XIII.

Table I

Male Inmate Traffic at Reception Centers  
(Estimated Annual)

East Tennessee Reception Center (Brushy Mountain Prison)

Cells Available	315
Vacancy	-16 (5%)
Inmate Workers	<u>-32 (10%)</u>
267 x 52 weeks = 13,884 Cell Weeks Available	

1981-82 New Admissions	1,298 at 8 weeks = 10,384 cell weeks needed
*1981-82 Parole Violators	276 at 2 weeks = 552 cell weeks needed
1981-82 Work Release Violators	373 at 4 weeks = 1,492 cell weeks needed
1981-82 Returned Escapees	125 at 4 weeks = <u>500</u> cell weeks needed
Total	12,928 cell weeks needed

Middle Tennessee Reception Center (Tennessee Prison for Women)

Cells Available	255
Vacancy	-13 (5%)
Inmate Workers	<u>-26 (10%)</u>
216 x 52 weeks = 11,232 Cell Weeks Available	

1981-82 New Admissions	1,027 at 8 weeks = 8,216 cell weeks needed
*1981-82 Parole Violators	218 at 2 weeks = 436 cell weeks needed
1981-82 Work Release Violators	105 at 4 weeks = 420 cell weeks needed
1981-82 Returned Escapees	99 at 4 weeks = 396 cell weeks needed
1981-82 D.C.I. Program Review	230 at 1 week = <u>230</u> cell weeks needed
Total	9,698 cell weeks needed

Table I (Continued)

West Tennessee Reception Center (Memphis Correctional Center)

Cells Available	375
Vacancy	-19 (5%)
Inmate Workers	<u>-38</u> (10%)
318 x 52 weeks = 16,536 Cell Weeks Available	

1981-82 New Admissions	1,281 at 8 weeks = 10,248 cell weeks needed
*1981-82 Parole Violators	272 at 2 weeks = 544 cell weeks needed
1981-82 Work Release Violators	164 at 4 weeks = 656 cell weeks needed
1981-82 Returned Escapees	123 at 4 weeks = 492 cell weeks needed
LCRCF Program Review	1,166 at 1 week = <u>1,166</u> cell weeks needed
	13,106 cell weeks needed

\*As neither the TDOC nor the Parole Board has an accurate record of the number of parole violators returned to the custody of the TDOC each year, a formula was devised to give an estimate of those persons. The formula:

$$\text{Average Daily Census Assigned} \times \frac{\text{No. of months per year}}{\text{Average length of stay}} = \text{Number of inmates released} - (\text{admissions})$$

+ returned escapees = P. Vs returned. In terms of FY 1981-82 this formula would be expressed as:  $7948 \times \frac{12}{20} = 4768.8 - (3606 + 397) = 765.8$ , rounded off to an

estimated 766 parole violators returned to the TDOC in 1981-82. This number multiplied by the percentage of intake for each region gives us an estimate of the number of parole violators to be admitted to each of the reception centers.

This same procedure was followed in estimating the number of returned escapees expected to be reclassified at each of the reception centers.

In addition the West Tennessee facility will be responsible for the reclassification of inmates completing their program at Lake County. This number should

Table I (Continued)

not exceed 1166 per year (capacity - 10% staff - 5% vacancy factor x 2). The work release violators from the MSCS will also be reclassified at this facility: this number represented 191 in 1981-82.

The Middle Tennessee Reception Center will be responsible for reclassification of persons from the D.C.I. (230 persons in 1981-82), 220 persons resulting from work release violations (FY '81 - '82) and an unknown number of persons referred through the TSP.

The East Tennessee Center should receive for the purpose of reclassification 519 (FY '81 - '82) work release violators in addition to parole violators and returned escapees.

All three centers will share in the reclassification of male inmates believed to be inappropriately classified. While this is also an unknown number, it is expected to represent a fairly small percentage of inmates annually.

Table II

Classification Teams

		Base Salary	+	Fringe Benefits (23%)	=	Monthly	Annual
Counselor I	at	921	+	\$211.83	=	1,132.83	\$13,593.96
Psychological Examiner II	at	1,416	+	325.68	=	1,741.68	20,900.16
Interviewer	at	884	+	203.32	=	1,087.32	13,047.84
Typist I	at	620	+	142.60	=	762.60	9,151.20
				Sub Totals		\$4,724.43	\$56,693.16
Counselor II	at	1,003	+	230.69	=	1,233.69	14,804.28
Psychological Examiner I	at	1,267	+	291.41	=	1,558.41	18,700.92
Interviewer	at	884	+	203.32	=	1,087.32	13,047.84
Typist II	at	686	+	157.78	=	843.78	10,125.36
				Sub Totals		\$4,723.20	\$56,678.40
Testing Diagnostician I	at	961	+	221.03	=	1,182.03	14,184.36
Chaplain 3	at	1,045	+	240.35	=	1,285.35	15,424.20
						\$151,880.12	
						X 3	
						\$455,640.36	

The above team configurations are required for each of the three adult male regional classification centers.

Classification Team Responsibilities

The chaplain of a reception center, in addition to holding the intake interview and regular weekly services, must also provide individual counseling services to the inmate.

The testing diagnostician will be responsible for the administering and scoring of group tests to all new admissions. These instruments of evaluation will be delivered to the team leader in a timely manner although not later than the end of the second work week during which the individual is confined to the reception center.

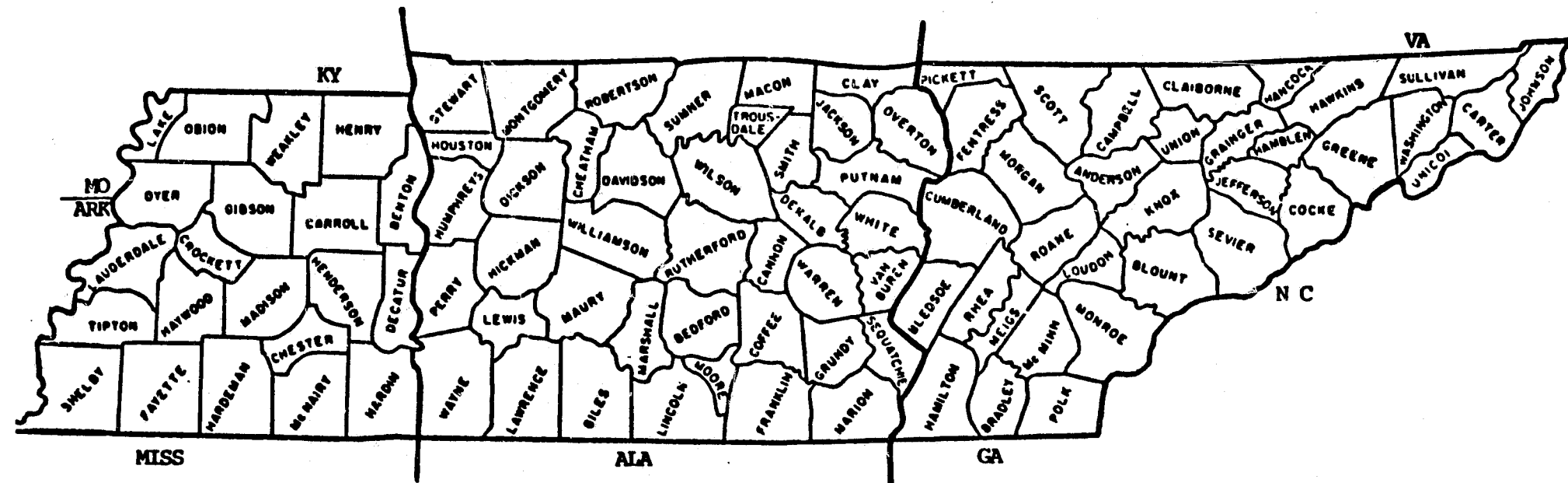
The counselor, functioning as team leader, must be responsible for insuring that the inmate's institutional and central office files are complete, that the information therein is accurate and, insofar as possible, has been verified through contact with families, employers, etc. This individual will insure that inmates housed for both initial classification and reclassification are processed in accordance with TDOC and institutional policies.

The psychological examiner will evaluate all information, in consultation with the testing diagnostician, following interviews with the inmate. He/she will also be responsible for any individual testing which is indicated. Examiner reports must be written in such a manner that they may be used by persons of other disciplines, since there will be no psychological examiner in other male institutions.

The interviewers are responsible for two primary classification functions. They are the individuals who gather essential demographic data and perform identification tasks such as photographing, fingerprinting, and insuring that the mittimus papers received are in order. These persons initiate the establishment of the inmate's institutional and central office files.

**CONTINUED**

**1 OF 3**



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The West Tennessee Reception Center will serve those counties east of the Mississippi River to a line on the eastern boundary of Henry County south to the eastern boundary of Hardin County.

The Middle Tennessee Reception Center will serve those counties from a line drawn southward on the western boundary of Stewart County to the western boundary of Wayne County and extend east to the eastern boundary of Clay County south to the eastern boundary of Marion County.

The Eastern Tennessee Reception Center will serve those counties from a line drawn southward from the western boundary of Pickett County to the western boundary of Hamilton County to the eastern boundary line of Tennessee.

Regional Areas to be Served by Classification Reception Centers



KOSAMOR

## VII. Institutional Programs

### A. Current Programs

Beginning in the early 1960s and continuing to this time the TDOC has attempted to provide a wide range of programs to all inmates at all institutions. By June of 1970 the TDOC policy commitment to the "rehabilitation" ethic was the expressed keystone of management. In the 1969-70 year the TDOC was highlighting a "recidivist percentage rate" of 53 percent. The TDOC annual report stated at that time:

Correction officials believe the decrease in recidivism is largely due to treatment programs, increased vocational and academic training opportunities throughout the system, and better job placement upon release. It is hoped that Tennessee is experiencing a turning point in prison history that will continually reflect lower and lower recidivist rates.

In order to insure that recidivist rates continue to drop, priorities must be placed in the areas of more and better educational, vocational, and diagnostic and treatment facilities thoroughly equipped with professional personnel to properly administer them.

For this reason Tennessee Correction personnel strongly endorse the upgrading of academic and vocational skill training, diagnostic, behavior and attitude change and other programs in all state institutions. It has been observed in institutions having such programs that released inmates are much better equipped to adapt and earn their own way in a free society.

Now, twelve years later, 70 percent of the state's inmates are recidivists, having received felony sentences prior to their current conviction. No firm evidence exists to indicate that if the TDOC were to continue on the same course for an additional twelve years and several millions of dollars the result would be any different. The policies cited not only have created a multiplicity of programs but have heavily and adversely impacted what had been the historic



**STATE OF TENNESSEE AGRI-INDUSTRIES OPERATIONS**

**FY 71-72 THRU FY 82-83**

	1971-72	1972-73	1973-74	1974-75	1975-76	1976-77
<b>TENNESSEE STATE INDUSTRIES:</b>						
EXPENDITURE LEVEL	3,250,334	3,161,969	3,858,036	4,357,754	3,936,969	4,664,352
FUNDING 1/	3,137,380	3,080,957	3,801,745	4,209,172	4,314,893	4,441,356
CHANGE IN REVOLVING FUND BALANCE	(112,954) <sup>2/</sup>	(81,012)	(56,291)	(148,582)	377,924	(222,996)
<b>INSTITUTIONAL FARMS:</b>						
EXPENDITURE LEVEL						2,242,359
FUNDING	N/A	N/A	N/A	N/A	N/A	2,265,757
CHANGE IN REVOLVING FUND BALANCE						23,398

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	1977-78	1978-79	1979-80	1980-81	1981-82	1982-83 5/
<b>TENNESSEE STATE INDUSTRIES:</b>						
EXPENDITURE LEVEL	3,924,768	3,956,030	4,718,997	4,877,866	5,597,849	5,468,900
FUNDING 1/	3,876,251	4,531,911	4,375,569	4,919,596	5,192,749	5,468,900
CHANGE IN REVOLVING FUND BALANCE	(48,517)	575,881	(343,428)	31,730	(405,100) <sup>3/</sup>	-
<b>INSTITUTIONAL FARMS:</b>						
EXPENDITURE LEVEL	1,823,543	2,095,547	2,364,864	2,506,020	2,601,019	2,788,300
FUNDING	1,800,145	2,215,174	2,245,238	2,506,020	2,768,151	2,788,300
CHANGE IN REVOLVING FUND BALANCE	(23,398)	119,627	(119,626)	-	167,132 <sup>4/</sup>	-

1/ Funding includes state appropriations and revenue earned

2/ Beginning fund balance 7/1/71 - \$497,036

3/ Ending fund balance 6/30/82 - \$63,691

4/ Ending fund balance 6/30/82 - \$167,133

5/ Projected expenditures and funding

tradition of inmate work. Referring to the State's institutional farms the same 1969-70 report states:

The farm program will continue to be designed to complement correctional rehabilitation programs. Inmate needs come first, production second. (Emphasis added). Changes in correctional programs relative to rehabilitation and training of inmates sometimes require that farming methods and even crop or livestock production programs be changed to meet the altered situation. Increased mechanization, modernization, and the use of chemicals in the growing of field crops have played significant roles in the adaptation of the farms to the needs of the changing times. Some points of emphasis during the inmate's farm training are: modern farming techniques, equipment use and maintenance, and reduction of labor and waste.

Twelve years later the Farm Division has had an operating profit of only \$47,506 in the three years between 7/1/79 and 6/30/82. (See chart on opposite page)

By 1970 the Industry Division had also identified rehabilitative training for inmates as a primary goal:

At the present time much thought and time is being spent in an effort to develop still more industries for training purposes...

Only by continuing to improve our services in this area can we establish a program to achieve the following objectives:

1. Create useful activity to help the inmate to profitably pass the time.
2. Motivate the inmate to take pride in teamwork and establish good work habits in the production of goods.
3. Provide the skills necessary to make a livelihood in a free society, by teaching modern techniques and the operation of modern machines.
4. Place the individual in a position to associate his training with his desires for a lifetime career.
5. Make it possible for the inmate to earn money to provide for some of his needs and to make some contribution to his family, while he is a prisoner.

PROGRAMS OFFERED AT TDOC ADULT INSTITUTIONS

	State Prison	Fort Pillow	Brushy Mountain	Turney Center	Woman's Prison	Annex	Deberry Institute	Nashville Regional	Morgan County	Bledsoe County	Lake County	Memphis Regional	Nashville C.S.C.	Knoxville C.S.C.	Chattanooga C.S.C.	Memphis C.S.C.
<u>Academic Education:</u>																
A.B.E.	x	x	x	x	x		x	x	x	x	x	x				
G.E.D.	x	x	x	x	x		x	x	x	x	x	x				
College	x		x								x	x	x		x	
Business					x											
Braille	x															
<u>Vocational Education:</u>																
Cashier Checker																
Keypunch & Data Processing	x					x										
Computer	x					x										
Cosmetology						x										
Sewing						x										
General Maintenance	x	x									x					
Industrial Maintenance																x
Warehousing																x
Dental Lab																
Library, General Reading	x		x	x	x	x	x	x	x	x	x	x	x	x	x	x
Food Service	x								x	x	x	x				
Cabinetmaking									x	x						
Landscaping										x	x					
Painting										x	x					
Masonry										x	x					
Carpentry										x	x					
Agriculture																x
Welding	x		x							x						
Plumbing																
Electrical																
Refrigeration and Air Cond.	x															
Small Engine Repair																
Automotive Repair	x	x		x												
Meat Cutting																x
Barbering																x
Visitation	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Law Library	x	x	x	x	x	x	x	x	x	x	x	x	x			
Religious Services	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Sex Offender Evaluation and Treatment																x
Counseling	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Medical	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
State Industry	x	x	x	x												
State Farms																x
Institution Support	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Community Service	x	x	x	x												
Highway Litter	x	x														P
Conservation Projects																
Dept. Construction Projects																x
Work Release																x
Alcoholics Anonymous	x	x	x		x					x	x	x	x	x		x
Jaycees	x	x														
Lifers Club	x		x		x											
Seventh Step	x	x	x													
Arts and Crafts	x	x														
Music	x															
Recreation	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Culinary Association	x															

- Expose the inmate to an industrial complex whose objectives are comparable to Industries operating in a democratic society.
- Make it possible for the inmate to offset some of the expense of his incarceration.

Twelve years later the Industry Division has had an operating loss of \$716,798 between 7/1/79 and 6/30/82. (See previously cited chart)

The range of programs in addition to farm and industry programs is extensive. As the accompanying chart displays, the TDOC provides somewhere within its system 52 separate programs at 249 delivery points. In addition each institution has seven basic functions necessary to daily operation, i.e., food service, maintenance, security, etc. Management is often overburdened by the number of diverse programs it is expected to effectively provide, and this fragmentation of purpose limits the quality of all programs.

This plan will by its specific recommendations reflect the Project Staff's opinion that the policies of the sixties are ineffective, expensive, and should be reversed.

B. Proposed Programs

The reorganization of the Tennessee Department of Correction's institutions outlined in this section is based in part upon the data, information, and assessments contained in the other sections. This reorganization will provide a simple, unadorned, work-oriented, constitutional prison system that will ultimately cost the taxpayers less per inmate to operate.

The plan calls for each institution to have one specific program purpose and places high value on the classification of inmates. It

permits the Warden of an institution time to concentrate on the foundation of any well-managed facility; i.e., productive inmate work, sanitation, staff training and supervision, and budget management. While extensively reducing the number of programs being offered to inmates to reduce their current frustration with enforced idleness, it offers full-time work, expanded off-hours recreation, and intensive full-time training based on departmental need.

#### Farm Facilities

The institutional farms that surround the prisons have been managed by a centralized Division separate from the host prisons for administrative purposes since 1969, and for budget purposes since 1976. At least equal to, and quite possibly more than, the policy avoidance of inmate farm labor and disdain for row-crop farming, the current separation of program and fiscal accountability has significantly and adversely impacted the fiscal status and correctional benefit of the farming operations. The Farm Division is financed by revenues and the institutions are funded by appropriated dollars. The Farm Division's financial positions illustrated in the preceding chart do not include the farm-related expenditures of the host prisons. This plan proposes that a prison farm, as part of the prison, be funded with appropriated dollars offset by revenue.

The agricultural management structure is perhaps the classic current example of noncorrectional expertise dominating a correctional enterprise to the detriment of the TDOC and, ironically, to the detriment of the inmates. Beginning in the sixties when the Department of Agriculture assumed the management of the farms, and continuing to the present

Agri-Industry Board, noncorrectional management has followed the course that has proven so successful in the "free world"; i.e., a large quantity of farm labor replaced by a small but very expensive quantity of machinery and emphasis placed on producing a cash crop for market. When the cash income fails to meet the expenditures of a prison farm the experts can only assume on the basis of their own success that it is due to TDOC mismanagement or "the State's way of doing business." It is also unfortunate that no one apparently sees the contradiction in complaining about "idle inmates" or criticizing the TDOC for not providing full employment.

This plan adopts the historic policy - prior to the sixties - that prison farms exist to provide labor for inmates and food for inmates to eat. This plan abolishes the Farm Division (financial code 329.31) and folds the operation into the four existing farm facilities.

The farms are to concentrate on: raising beef cattle, swine, and poultry; egg and dairy production; and vegetable farming - all for institutional consumption. At least for the 1983-84 fiscal year no plan is proposed for a cannery or freezer plant but they may be considered in the future. In the current year the Adult Division has budgeted \$9,000,000 for the purchase of food. If consumption of in-season farm produce and other farm products can reduce that expenditure by \$3,000,000, then consequently after expenses incurred, the TDOC will have benefited both fiscally and correctionally.

Maintenance activities, such as land and timber clearing, farm and prison building repair and construction, etc., should be done in the winter months. Clearing of highway shoulders and other state and local government projects should also be undertaken in the winter months.

The Farm Director's position will be transferred to the staff of the Assistant Commissioner for Adult Services. The Farm Wardens will report to, and be supervised by, the Farm Director.

The Farm Facilities are:

Morgan County Regional	1,600 acres
Bledsoe County Regional	6,825 acres*
Turney Center Annex	2,281 acres
Fort Pillow	6,039 acres    16,745 - total acres

\*The property deed on file in the Real Property office indicates that TDOC Bledsoe County property consists of 6,825.55 acres. This land is in dispute between the TDOC and Department of Conservation and the issue should be resolved one way or the other.

The Cockrill Bend farm is not included since it may ultimately be closed since a large portion of the Cockrill Bend area will be sold to Metro for conversion to an industrial development. That portion of the Cockrill Bend prison farm lying below the floodplain, however, may continue to be farmed for an indefinite period.

If it is determined that a 450-bed facility is to be constructed to meet the system's capacity needs, it is recommended that it be a prison farm.

Industrial Facility: Turney Center

The Tennessee State Industry Division (TSI) is headquartered at the Tennessee State Prison and has operations at the State Prison, Women's Prison, Turney Center, and Fort Pillow. The bulk of the manufacturing enterprise is at the State Prison. As was outlined in the sub-section concerning farms, the Industry operation is administratively separate from the host prisons and is subordinate to regular prison activity.

For the past eight years some TDOC operational staff have believed that for TSI to be a profitable enterprise - in terms of income and inmate employment - it would require its own facility. Conceptually the need can be expressed as the requirement for a manufacturing plant which also houses prisoners, rather than a prison that includes industry as one of its programs.

The Project Staff proposes just such an operation at the Turney Center. This plan requires that TSI (329.30) and Turney Center (329.14) operations be merged into one financial code and funded by state appropriation reduced by industrial revenue.

The two staffs would be merged resulting in one administration not only uniquely suited to the purpose, but resulting in an initial annual operational savings of \$1,119,400. Due to the complexity of this proposed merger the Project Staff includes in this section more detail than has been provided to the readers heretofore.

The industrial buildings at the state prison are antiquated, multi-storied, environmentally inferior units not adaptable to modern manufacturing demands or alteration. Since 1979 the TDOC has expended \$430,473 on repairs to the Industry buildings at the State Prison and

has currently allocated but not yet spent \$483,199 for the same purpose. A private architectural study and a study by the F & A Facilities Management Division have identified additional expenditures of \$2,086,700 required to make the buildings usable for ten more years. The Project Staff is convinced that the need to discontinue further financial investment in the Tennessee State Prison industrial plant is incontrovertible.

The conversion at Turney Center is detailed on the following pages.

#### Turney Center Conversion

##### New Woodplant, Warehouse, and Refurbishing Plant

Because this plant will be relocated in a one-level building at Turney Center, savings will be incurred throughout the manufacturing process.

Straight-line manufacturing will increase the speed of production by 25 percent. Presently at TSP the flow of materials and products requires 33 percent more handling than would be necessary for a one-floor operation. The current excessive handling generates an annual average of \$12,000 in damage to goods, which would be substantially reduced. By implementing a straight-line flow, the availability of the product is enhanced, which is one of the criteria for product certification.

Woodplant supervisory staff could be reduced by 33 percent.

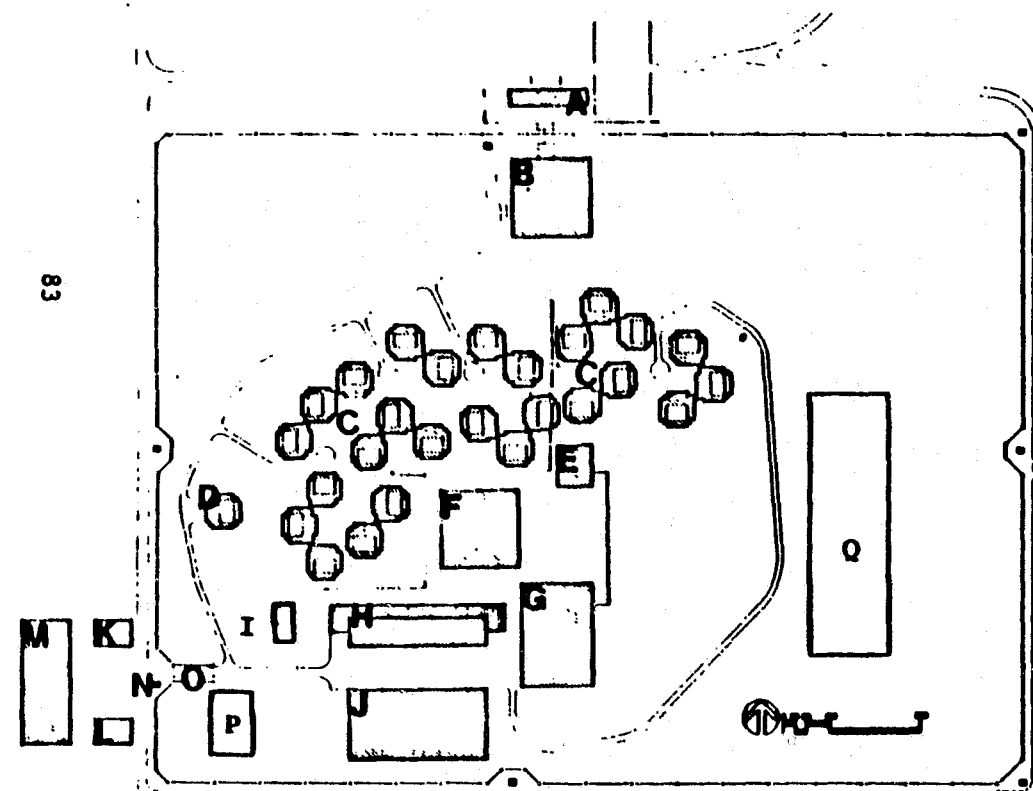
Additional savings from current TSP operation can be found through the elimination of elevator repair and building repair referred to earlier; and there is damage to material because of leaking roofs - \$1,200/yr., dust removal from faulty dust collector - \$1,200/yr., building maintenance costs of \$81,000 and costs of \$9,000 per year for electrical maintenance necessary for machines due to poor wiring.

An appropriate, one-level production layout is calculated to save, conservatively, \$172,000 per year in efficiency. An increase in production capacity also is calculated to increase net profit by \$21,500 per shift annually.

The refurbishing plant will be housed in the woodplant section of the building, not interfering with woodplant operations but probably sharing spray booth functions.

Table I

Current Use	Building	Proposed Use
Administration Service	A	Administration
Housing Units	B	Service
Detention Units	C	Housing Units
Chapel	D	Detention Units
School & Gym	E	Chapel
Dining & Laundry	F	Industry Offices & Gym
Vocational Shop	G	Dining, Laundry & Print Shop
Dormitory	H	Uniform Mfg. & Central Stores
Clothing	I	Dormitory
Fire Hall	J	Sign shop, Tag plant, Metal plant
Power Plant	K	Fire Hall
Warehouse	L	Power Plant
Guard Tower	M	Warehouse
Sallyport	N	Guard Tower
-0-	O	Sallyport
-0-	P	Paint Plant
	Q	Wood Plant, Refurbishing and Warehouse



shaded blocks = existing buildings  
white blocks = proposed buildings

Turney Center - Proposed Conversion to Industrial Facility





Since the exact location of this building has not been determined, 1,500 feet was used as the distance to water and steam connections.

(See Turney Center layout on opposite page)

The dimensions of this one-level, butler-type building would be 600' X 200' or 120,000 square feet. At a cost projected at \$16/sq. ft. the building would cost \$1,920,000. This includes lights, plumbing and heat. Some building costs are optional and may be dismissed; i.e., access road, while other costs may be reduced if distances are actually less than those used for calculation purposes. Loading-unloading docks costs are covered within the speculated cost.

The proposed location for this building would not be threatened by flooding from the Duck River. Although there has been a drainage problem in this area, TDOC engineering says this problem has now been corrected.

Fire hydrants will have to be installed in this area. The closest hydrant is 100' away. Discussions with Metro Fire officials suggest that a sprinkler system is our best alternative to a new fire engine. Costs for the sprinkler system are included in the package price which was calculated at \$1/sq. ft. Costs associated with the hydrants are \$10,200.

The fire engine at Turney can pump a maximum of 760 g.p.m. and has 1300' of 2 1/2" hose. This capability coupled with the sprinkler system and fire hydrant hookups will be adequate.



Turney Center  
Woodplant, Warehouse, and Refurbishing Plant  
Cost Summary

New Building	\$1,920,000
Steamline to Building	90,000
Electrical System	150,000
Waterline to Building	2,700
Sewage	45,000
Transformers	20,000
Sprinkler System	120,000
Engineering Fee (.05494)	<u>128,983</u>
	\$2,476,683
(Associated Costs)	\$ 65,000
Relocate Existing Dust Collector	310,000
Install Two Additional Collectors	<u>23,546</u>
Engineering Fee (.06279)	<u>398,546</u>
	\$2,875,229
+10% Unknown	287,523
+ 6% Inflation	189,765
6" PVC Pipe + (2) Hydrants	<u>10,200</u>
	<u>\$3,362,717</u>

Paint Plant

Costs for constructing the paint plant were calculated using a cost factor of \$32/sq. ft. This figure was used because of the special needs associated with this type industry.

All wiring for this building and equipment must be explosion proof(ed). This is a more expensive process than conventional wiring.

Special ventilation needs are necessary also. In that paint fumes are heavier than air, the building would have to be vented from near floor level.

Special design considerations will be needed to prevent roof collapse in case of an explosion.

A sprinkler system has been included in the cost. The proposed location of the building (See Table I) provides quick access for the fire engine. A fire hydrant should also be placed at this location which would cost \$1,200.

Cost Summary - Paint Plant

Building	\$240,000
Streamline	6,000
Electrical System	22,500
Waterline to Building	900
Sewage	15,000
Transformers	6,000
Sprinkler System	7,500
Engineering Fee	<u>19,051</u>
+10% Unknown	\$ 31,695
+6% Inflation	\$ 20,918
6" PVC Pipe - (1) Hydrant	<u>1,200</u>
	<u>\$370,764</u>

Metal Plant, Sign Plant, License Plant

Although power is currently located in "J" building, locating all three of these plants in the same building will require additional power.

John R. Wald Company, the original supplier, can engineer and supervise the removal of the license plant from Fort Pillow and its re-installation in "J" building. Accordingly, the TDOC will provide labor, rigging and vehicles.

Owens and bonderizing tanks may be located outside the production areas. Additional expenses may be incurred here which are undetermined at this time.

Sufficient lighting is available throughout "J" building as is heat. Welding stations needing ventilation will be located next to walls and vented outside.

Electrical (Including 750 KW) \$132,924

As a demonstrator of cost savings the "Rule of Thumb" product used is the "Four Drawer, legal size filing cabinet with lock, Catalog No. 036101." The rationale is that this filing cabinet is TSI's largest quantity and revenue-generating product in the metal plant.

In depth time studies were recently completed at TSP on this filing cabinet and the data are astounding. For example, twenty percent of the time used to produce a filing cabinet is spent in a transportation situation. It is being moved from one operation to another. Forty-four percent of the time is spent in a storage situation. Either the parts are waiting

to be moved or must wait while other parts for different products are being produced. One percent of the time is in delay, such as waiting for an elevator to carry the cabinet upstairs. By the time one filing cabinet has been finished it has traveled a total of 4.397 miles, or 23,216 feet. One can reasonably project that with a one-level operation, set up to accommodate filing cabinets with appropriate use of progressive dies, it is possible to make a filing cabinet in less than half the time it currently takes.

Costs of Moving License Tag Plant from Fort Pillow to Turney Center

Crane rental: \$60/day

40' tandem, flat-bed, tractor-trailer:

Tractor: \$105/day or \$525/7 days + .15 cents per mile

Tractor: \$ 21/day or \$150/7days + .03 cents per mile

(Round trip, TSP - TC = 130 miles) = \$23.40/rig

Low-boy: State vehicle used for transporting presses

\$50,000

Sewing Plant

"H" Building 10,000 sq. ft.

This plant location is close to the steamline; therefore, running a steamline into this building will not be a problem. There is, however, insufficient lighting for sewing processes.

Although electrical power is in this building, some expense will be incurred to handle the numerous machines.

The heating capabilities of this area are unknown at this time. Therefore, the speculated costs involved here are probably high by perhaps \$5,000 to \$10,000.

Lighting	\$10,000
Steam to Press	6,000
Electrical and	
Heating Unknowns	<u>26,000</u>
	\$42,000

Print Plant

Since there is currently electrical power in the building where the print plant will be located, minimal needs are anticipated. The room is void of appropriate lighting but only a 200 amp service is needed here.

"G" Building 6,400/sq. ft.

Lighting	\$ 5,000
Electrical	<u>5,000</u>
	\$10,000

Central Stores

Outside Warehouse - "H" Building, "F" Building

No major expenses are foreseen to incorporate central stores. Storage racks will be manufactured by TSI to better utilize space. Minor modifications may be provided by maintenance.

Dental Lab

It is recommended that the dental lab, currently located at Turney Center, be moved to the Main Prison, with its supervisor, and placed under the jurisdiction of the prison hospital.

Soap Plant

The soap plant should be closed for production due to antiquated equipment and methods. TSI should instead act as a distributor for soap and associated cleaning products purchased from manufacturers.

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Capital Cost Summary - New TSI Plant at Turney Center

1. Warehouse/Woodplant	\$3,362,717
2. Paint	370,764
3. Metal, Sign, License Plates	132,924
4. Move License Plates	50,000
5. Sewing	42,000
6. Print	10,000
7. Central Stores	<u>-0-</u>
Total Capital Costs	\$3,968,405
Equipment Costs (following pages)	<u>913,000</u>
Total Cost - Capital and Equipment	\$4,881,405

Equipment

The equipment purchases necessary to bring TSI to a competitive position vis-a-vis other vendors for government requirements are:

<u>Plant</u>	<u>Equipment</u>	<u>Estimated Cost</u>
Tag	1. Hydraulic Press Brake w/multi-die set-up	\$ 60,000
	2. License Plate coating machine	<u>20,000</u>
	NOTE: Required only if a management decision is made to contract for out-of-state business. Current equipment is sufficient for Tennessee volume.	<u>\$ 80,000</u>
Metal	1. Conveyorized spray bonderizing and paint system	340,000
	2. Roll forming, tooling and equipment	100,000
	3. Conveyorized spot welding system	20,000
	4. Progressive dies and update jigs and fixtures	50,000
	5. Tig Welders-3 at \$6,000 each	18,000
	6. Notching machine and tooling	20,000
	7. Tubing saw and bandsaw	<u>10,000</u>
		<u>\$558,000</u>
Wood	1. 24" Planers - 2 at \$12,000 each	\$ 24,000
	2. Radial arm saws - 2 at \$2,000 each	4,000
	3. Table saws - 2 at \$2,000 each	4,000
	4. Glue rail	40,000
	5. Mould sander	4,000
	6. Straight line saw	3,000
	7. Conveyorized spray stripping booth	5,000
	8. Sewing machines - 2 at \$1,000 each	<u>2,000</u>
		<u>\$ 86,000</u>

<u>Plant</u>	<u>Equipment</u>	<u>Estimated Cost</u>	
Sign	1. Vacuum Silk Screen Table	\$ 5,000	
		<u>\$ 5,000</u>	
Uniform and	1. Buttonhole machine	\$ 4,000	
	2. Single needle machines-2 at \$1,000 each	2,000	
Clothing	3. Shirt Pocket Creaser	3,000	
	4. Union special machine	2,000	
	5. Pocket slitter	1,500	
	6. Double needle machine zipper setter	2,500	
	7. Top stich machine	1,000	
	8. Double needle machine zipper setter	2,500	
	9. Topper machine	6,000	
	10. Legger machine	7,000	
	11. Electric boiler reimer	3,000	
	12. Belt looper and corner cutter	<u>2,000</u>	
			<u>\$36,000</u>
	Print	1. Offset Press	<u>\$22,000</u>
		<u>\$22,000</u>	
Tool &	1. Horizontal mill	\$ 6,000	
	2. Vertical mill	6,000	
Die	3. Metal lathe	3,000	
	4. Floor grinder	1,000	
	5. Metal Bandsaw	7,000	
	6. Radial Drill Press	4,000	

Plant	Equipment	Estimated Cost
	7. Jig Bore	\$15,000
		\$42,000
Ware-	1. Road Tractor	\$45,000
house	2. Trailers - 3 at \$13,00 each	39,000
		\$84,000

Equipment Cost Summary - TSI Plant at Turney Center

Tag	80,000
Metal	558,000
Wood	86,000
Sign	5,000
Clothing	36,000
Print	22,000
Tool/Die	42,000
Warehouse	84,000
Sub-Total	\$913,000

In reviewing the personnel requirements for the Turney Center conversion (See end of this section) two additional and most significant breaks from tradition should be emphasized.

First, the Director of Industry position is converted to a new position of "Correction Industry Warden" (a Warden IV salary range) and the facility will have five "Associate Correction Industry Warden"

positions: Administration, Security, Manufacturing, Sales and Marketing, and Engineering.

Secondly, the TSI positions (from foreman to superintendent) and Correctional Security positions (from Officer I to Captain) are merged into a new position group called "Correction Industry Supervisor" I through V. Inmate housing will be based on job assignments. As inmate workers move from housing unit to job location the same supervision goes with them.

In 1927 when the main industry facilities were placed at the State Prison along with the then modern manufacturing methods, TSI was a profitable enterprise. TSI continued to be profitable in terms of financial return and inmate employment until the late 1950's. By then the industrial plant had become outmoded as a manufacturing facility and incapable of providing sufficient employment for the larger TSP inmate population. No strong remedial action was taken then and the downward slide has continued to this day. Once again, as in 1927, the State must invest in new plant and equipment. Up-to-date manufacturing methods cannot be implemented profitably without the proposed investment.

In addition to some of the as yet intangible benefits the staff has suggested will result from this conversion is the increased ability of the Agri-Industry Board to assist the TDOC. The Turney Center Industrial Facility with its management methods - even more than the farm facilities - will greatly enhance the blending of the Board's expertise with the TDOC's correctional expertise. It is entirely reasonable to believe that this enhancement can only benefit the taxpayers of Tennessee.

Educational Facility: Lake County Regional Prison

The TDOC has, and will have, an ongoing need to develop a well-trained cadre of inmates to provide the essential skilled services necessary to maintain the prison system. For such training to be academically and fiscally effective it should be concentrated at a major "training academy for inmates" and provided to those inmates who are intellectually capable and motivated to accept full-time, intensive training.

Students for the Lake County educational facility will be selected at the regional classification centers from new admissions or from referrals from the farm and industry facilities. The training at Lake County is to be full-time and a student must maintain a passing grade average and exhibit acceptable behavior to remain at the facility. Inmates may not remain at the facility to take multiple courses, i.e., no "professional" students. At the completion of an inmate's training program he is to be transferred to the Memphis Classification Center for further reassignment to a facility requiring his skills.

The courses tentatively scheduled for the Lake County facility are:

- Adult Basic Education - as required for pre-vocational course.
- Food Service (including meat cutting)
- Painting                      Refrigeration and Air-Conditioning
- Masonry                        Automotive Repair
- Carpentry & Roofing        Electrical Wiring
- Welding                        Plumbing
- Horticulture

Several of these courses will provide actual job experiences as well as classroom and shop work with the inmate going into the community to provide services for public projects. Upon satisfactory completion of a vocational training course, the inmate will be awarded a certificate of successful completion. This will assist him in securing employment when paroled or discharged.

Women's Prison: Nashville Regional Prison Location

It is not surprising that in a system where female offenders constitute 5 percent of the total population they frequently receive less than their fair share of correctional attention and resources.

In many cases it is not indifference but economy of scale that prevents female offenders from receiving a proportionately equal share of resources. Although the TPW does not appear overcrowded, the Project Staff believes that the need for nonhousing program space is more important for the female offenders than for male offenders. This belief is not based on the gender of the offender but rather on the fact that since female offenders cannot usually go, and will not in the proposed system go, where the programs are, the programs must be made available where the women are.

The women are to have an academic program ranging from Basic Adult Education through the General Equivalency Diploma. They are to be the only participants in the computer school located at the Tennessee State Prison. The move to the Nashville Regional Prison will place them closer to this work site. Additional vocational training will be offered in the areas of cashier checking, cosmetology, and culinary arts.

Women completing these courses will receive certificates which will be of assistance to them in finding employment upon release from prison.

The size, location and configuration of the Nashville Regional Correctional Facility will accommodate a work release program for the women. These women are currently housed at the TPW Annex and transportation into Nashville and to their work sites presents a problem. This plan corrects that, since the Metropolitan Transit Authority has a regular stop at TSP.

This move also should prove beneficial to the inmates' families, since Nashville Regional Prison has easier access to the interstate highway system than does the facility which they currently occupy.

Locating all 415 female offenders (June 1984) at the Nashville Regional Prison will provide the necessary program space and total living conditions to put the female offender on parity with the male offender.

#### Tennessee State Prison

Significant changes are proposed for the Tennessee State Prison. As noted in the classification section, TSP will house prisoners requiring medical care at the hospital, all inmates classified as "Maximum" or "Close," all inmates on "Administrative Segregation," all inmates who have refused to work at another facility as determined by a disciplinary board, and any inmate who has been on "voluntary check-in" status for longer than 15 days at another facility.

There are many compelling reasons for the proposed conversion of TSP and the reader must not only consider each individually, but how they interrelate.

The farm, industry, and educational facilities must concentrate on their primary programs and, secondly, must have the ability to issue a "swift and certain" response to inappropriate behavior; i.e., immediate transfer to TSP.

At the reduced population level of 1000 inmates, TSP will be expensive to operate - \$45.11 per prisoner day. Since the major portion of that cost is plant operations and security, the greatest financial benefit to the TDOC is reached by placing all inmates who require expensive supervision in one location, thus eliminating the additional cost elsewhere. Currently all prisons (not C.S.C.'s) house some of the prisoners of the type planned for TSP which is, overall to the TDOC, most inefficient. Most importantly, with no planned reduction in the security staff at TSP, the violent behavior of these types of inmates can be sharply reduced from the level they now produce throughout the system. Further perspective can be gleaned from realizing that the cost per prisoner day at Brushy Mountain is \$40.30 in the current year.

While no doubt the TSP staff considers it a burden, the proximity to TSP of the TDOC management staff, Capitol Press Corps, Legislature, and other public oversight agencies makes this arrangement desirable. As now and always, the type of prisoner to be housed at TSP generates the attention of TDOC management and the Judicial System out of all proportion to their numbers or actual grievances. In rural facilities



these prisoners often cause suspicions to arise because their charges of mistreatment are more difficult to investigate. This type of prisoner most often causes prison unrest, and except for facilities in Davidson County the TDOC cannot respond with additional staff in less than four to six hours. TSP can receive additional TDOC security and other staff from TDOC institutions within one hour.

#### Work Camps

In June of 1977 some of this Project Staff attended a meeting between the TDOC and other state government agencies concerning the establishment of a free-standing work camp.

To date no such camp has been built, but two "work camps" have in fact ended up being built as 120-bed annexes to existing TDOC facilities already short of work for inmates under the current system.

Some of the most cost-effective state use of inmate labor can be derived from small work units located close to the work to be done - near state forests, regional highway garages, and major streams and rivers.

The four work camps proposed in this plan are that type of facility. Prior to their actual construction, if approved, there should be some assurance given to the Executive and Legislature that the inmates in the camps will in fact be used by other agencies, such as Transportation and Conservation.

As has been noted, the TDOC may continue to experience increasing growth in the percentage of Class X offenders and other long-term inmates in the prison system. If so, it may, in five or ten years, be difficult for the TDOC to find sufficient "minimum" security inmates for these camps. Should this be the case, the 120-bed units are more

adaptable than larger facilities to local correction use for the lesser security prisoners in local custody.

#### Specialized Facilities

The Project Staff proposes no change at the DeBerry Institute; and proposes it changing the current TPW Annex to a Geriatric Unit for those aged and infirm male inmates who do not require daily medical attention other than medication.

#### C. Proposed Prison Capacities by June 1984

The chart on the pages which follow subsection D. illustrates the effect which implementation of all institutional program changes and all capital construction called for in this TDOC plan would have on the projected designated capacity of all facilities in the State's prison system by June 1984.

It also reflects the designated capacity of each institution in October 1982, the actual in-house population on October 13, 1982, and the TDOC's current designated capacity projections for June 1984: these projections assume the completion of all currently approved and scheduled construction, double-celling in no more than half the cells in certain facilities, and the reduction of TSP population to 1550.

Among the major changes in capacity which would result from this TDOC-proposed plan would be the further reduction of TSP population to 1350 by June 1984 and the discontinuance of local jail contracts.

It may be helpful to the reader to understand that the Projected Modified In-House Population figure represents the total number of beds which the State Planning Office demographer calculates the system will

need at any particular time in order to accommodate projected increases in prison population. Designated capacities are often "moving targets" which adjust as necessary to reflect new capacities coming on line from new construction as well as to meet actual system needs.

Ideally, the total designated capacity of the State's prison system should rarely fall more than 100-150 below the projected modified in-house population figure if prisoners are to be housed without undesirable overcrowding. Institutional capacities should also stabilize at a constitutionally acceptable level. (Pitfalls inherent in the "game" of prison population forecasting are thoroughly reviewed in Charles Friel's treatise on the subject which appears in the Appendix.)

D. Emergency Powers Proposal

No matter what the short and intermediate range solutions to overcrowding may be, the issue will not be dealt with effectively until some method is devised to control prison population into the long-range future. One logical option is to control the sentencing behavior of the courts. Such control, though within the prerogative of legislative enactment, tends to fly in the face of the doctrine of separation of powers and for that reason has been rejected by the planning staff. A more viable option is to establish control on the output rather than on the input end of the correctional process - that is, to control the rate of release of persons from prison as a means of through-time control of prison population.

The underlying rationale for such "back end" control is the well-established fact that within broad limits the amount of time any person spends in prison has not been demonstrated to correlate with behavior after release. That is, on a statistical basis, it doesn't make much difference whether a second term burglar serves 24 or 30 months in prison. As a group, burglars serving 24 months do not recidivate significantly more or less than those doing 30 months.

Though it may not be a popular idea, this fact represents an important potential opportunity for controlling prison population at minimal cost to the taxpayer without significant change in risk to public safety. A method of accomplishing such control has been demonstrated in several states in recent years and is known as emergency powers legislation. The basic idea is to authorize the Governor to advance the parole eligibility of prisoners in direct response to prison population growth which is clearly moving toward overcrowded circumstances. Such advancement of parole eligibility in no way obligates the Parole Board to advance the release of a prisoner. In all respects, aside from the factor of eligibility for consideration, the system will continue to function as it does now. Advancement of eligibility will be accomplished only to the extent carefully calculated to maintain control of prison population and in no event will it exceed limits previously established by the General Assembly.

Such legislation is proposed for Tennessee and will contain the following essential elements:

- (1) A prison population capacity figure will be determined and certified by the Commissioner of Correction as part of the Tennessee Department of Correction's annual budget.

- (2) The capacity figure will be reviewed and specifically endorsed as part of the appropriation bill enacted by the General Assembly.
- (3) Whenever the Department's total in-house population (those physically present at midnight of each day) meets or exceeds 95% of the approved capacity for 30 successive days, the Commissioner will so certify to the Governor.
- (4) Such certification will include an analysis of the factors contributing to population growth together with a prediction of population both six months and twelve months in the future if emergency powers are not invoked.
- (5) The Commissioner's certification will include an analysis of the amount of parole eligibility advancement best calculated to maintain total population between 85 and 95 percent of capacity. In no event will an effort be made to control population below 85 percent of capacity.
- (6) Certification will state both a time limit and a population figure at which the emergency powers will terminate. The time limit will not exceed 12 months. The population figure will be deemed to have been reached when total in-house population is at or below the stated figure for 30 successive days.

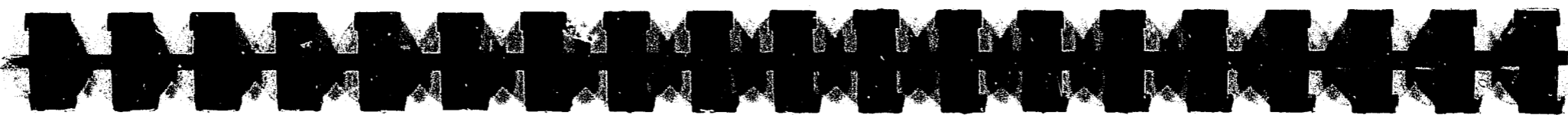
- (7) In no event will the Commissioner request parole eligibility advancement in excess of one-half of the total minimum parole eligibility as fixed by statute. Any advancement recommended will be the minimum required to achieve the population reduction stated in the certification to the Governor.
- (8) Statute will provide that the Parole Board may employ Hearing Officers. Hearing Officers may recommend any action within the authority of the Board with such recommendations becoming official actions upon review of case material and sign-off by three Board Members. A Hearing Officer and one Board Member may constitute a hearing panel with sign-off required by only two other members to become official.
- (9) Statute will provide that any adult Associate Warden may temporarily be designated Hearing Officer during periods when emergency powers are in effect and when increased workload justifies, as determined by Chairman of the Board. Such temporary Hearing Officers may not hear cases from the institution to which they are regularly assigned. Except for good cause shown, the Commissioner will honor the request of the Chairman for such designation of temporary Hearing Officers not to exceed half-time assignment of any one Associate Warden.

(10) Statute will provide that during the operation of emergency powers the Board may discharge from parole a number of persons equal to the number actually advanced in their parole release in order to maintain caseload control in parole supervision, provided no such advancement of discharge will exceed two-thirds of the total period, and further provided the supervising parole officer in each such case shall have certified to the individual's satisfactory adjustment for at least 12 months immediately past or for all of their period under supervision if less than twelve months.

(11) Upon appropriate review and with whatever modifications deemed appropriate, the Governor may declare a population emergency and invoke the powers authorized by this statute upon a date and time specific with like provision for termination of such powers not to exceed 12 months from commencement, unless earlier population reduction otherwise results in termination.

Such a plan of population control can be accomplished at no increase in operating cost beyond that required to bring the system to a satisfactory level of operation as it now exists. In both the short-run and long-run, such a program will offset significant capital and operating expense increases in the future.

One important caveat must be recognized, however. No system involving prediction of human behavior (which is what a decision to grant parole actually amounts to) can be made error-free. Success or failure of an emergency powers scheme can only be fairly judged on through-time performance of a large number of persons; it cannot be judged on the basis of the first person to violate the conditions of his/her parole release. Such violations are certain to occur sooner or later. The measure of success will be the rate of such violations compared with current rates.



Proposed Prison Capacities by June 1984

Institution	Current In-House Population 10/18/82	TDOC Current Designated Capacity 10/82	TDOC's Currently Projected Designated Capacity 6/84	TDOC Plans Proposed Designated Capacity by June '84	Proposed Specific Program Purpose
Brushy Mountain	287	283	315	315	Classification
Tennessee Prison for Women	204	223	255	255	Classification
Memphis Correctional Center	419	430	430	375	Classification
Morgan County Regional	424	432	768 (1)	768	Prison Farm
<sup>107</sup> Bledsoe County Regional	643	648	768 (1)	768	Prison Farm
Turney Center	715	800	930 (2)	930	Industrial Prison
Turney Center - Annex	N/A	N/A	120	120	Farming
Fort Pillow	845	875	750 (3)	750	Prison Farm
New 450-bed unit or other facilities providing 450 beds(?)	N/A	N/A	N/A	450	Prison Farm(?)
Lake County	557	648	648	648	Educational Facility
Nashville C.S.C.	365	378	394 (4)	394	Work Release
Chattanooga C.S.C.	118	120	120	120	Work Release
Memphis C.S.C.	137	126	186 (5)	195	Work Release

-Continued-

Institution	Current In-House Population 10/18/82	TDOC Current Designated Capacity 10/82	TDOC's Currently Projected Designated Capacity 6/84	TDOC Plans Proposed Designated Capacity by June '84	Proposed Specific Program Purpose
Knoxville C.S.C.	171	170	170	170	Work Release
Brushy Mountain Barracks	130	130	130	130	State Projects
Work Camp	N/A	N/A	N/A	120	State Projects
Work Camp	N/A	N/A	N/A	120	State Projects
Work Camp	N/A	N/A	N/A	120	State Projects
Work Camp	N/A	N/A	N/A	120	State Projects
109 Nashville Regional	438	458	600	435	Women's Prison
Guild 17	80	80	80	-0- (7)	Closed
DeBerry	282	285	285	285	Psychological/ Drug Treatment
TPW Annex	120	112	160 (6)	160	Geriatric Unit
Tennessee State Prison	1,885	1,875	1,550	1,350 (8)	Maximum Securit
Jail Contracts	186	200	200	-0- (9)	Discontinued
Totals	<u>8,006</u>	<u>8,273</u>	<u>8,859</u>	<u>9,098</u>	
Projected Modified In-House Population (Bed capacity need)	8,257	8,257	9,037	9,037	

\* See next page for (1) through (9) footnotes



Footnotes for Proposed Prison Capacities Chart:

- |     |   |                         |
|-----|---|-------------------------|
| (1) | 432   | base population         |
|     | 216   | every other room double |
|     | <u>120</u>  | new farm annex          |
|     | 768   | inmates                 |
| (2) | 620   | base population         |
|     | <u>310</u>  | every other room double |
|     | 930   | inmates                 |
| (3) | "C" Building closed   |                         |
| (4) | Main Building renovated and three dorms completed   |                         |
| (5) | Two new dorms completed   |                         |
| (6) | Renovation completed  |                         |
| (7) | Guild #17 closed permanently. This facility was unfit and "closed" in 1970 when the TFW was opened. It should be razed. |                         |
| (8) | Population to decrease to 1000 by 7/1/85  |                         |
| (9) | Discontinue the contracting with Local government for the housing of TDOC prisoners.                                    |                         |



**E. Personnel and Fiscal Adjustments Resulting from Institutional Program Proposals**

	Personnel Adjustments	Fiscal Additions or (Savings)	
		Operational	Capital
<b>1. <u>Farm Facilities:</u></b>			
Farm Division	(45)	-0-	-0-
Morgan County Regional	5	\$385,500	-0-
Bledsoe County Regional	1	(\$268,500)	-0-
Turney Center Annex	3	-0-	-0-
Fort Pillow	13	(\$264,000)	-0-
450 additional beds (either for one 450-bed farm prison or for other type facilities to house 450 inmates)	190	4,650,000	\$11,510,000 (including estimated site cost)

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E. Personnel and Fiscal Adjustments:

Page 2

	Personnel Adjustments	Fiscal Additions or (Savings)	
		Operational	Capital/Equ
<b>2. Industrial Facility:</b>			
Tennessee State Industry & Turney Center	(37)	(\$1,119,400)	\$4,900,000
<b>3. Educational Facility:</b>			
Lake County Regional	4	\$ 55,400	440,000
<b>4. Specialized Facilities:</b>			
Female Prison/Industry Programs	27	\$ -0-	-0-
DeBerry Institute	No Change	-0-	-0-
Geriatric Unit (current Tennessee Prison for Women Annex)	No Change	-0-	-0-
Tennessee State Prison	(38)	(\$2,965,800)	-0-

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E. Personnel and Fiscal Adjustments:

	Personnel Adjustments	Fiscal Additions or (Savings)	
		Operational	Capital
<b>5. <u>Community Service Centers and Work Camps:</u></b>			
Work Camp	45	\$1,043,000	\$2,125,000
Work Camp	45	1,043,000	2,125,000
Work Camp	45	1,043,000	2,125,000
Work Camp	45	1,043,000	2,125,000 (including estimate site costs)
Nashville C.S.C.	No Change	-0-	
Chattanooga C.S.C.	5	72,300	-0-
Knoxville C.S.C.	5	72,300	-0-
Memphis C.S.C.	5	68,900	-0-
Brushy Mountain Barracks	No Change	-0-	-0-
<u>Institutional Programs</u>			
<u>Section Total and Plan Subtotal</u>		<u>318</u>	<u>\$4,858,700</u>
			<u>\$25,350,000</u>

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F. Comparison of Institutional Staffings

October 1982 (Pre-Plan) and June 1984 (Post-Plan)

The staffing patterns of those institutions affected by the program changes outlined in this section are displayed on the following pages. Each display indicates the number of authorized positions attached to each institution in October 1982 in each major position class and the positions which would be allocated to each institution by June 1984 if this plan is implemented including the medical positions discussed in the following section.

Current 10/82

Proposed 6/84  
(Converted to Regional  
Classification Center)

329.11 Brushy Mountain

1	Warden	1
1	Assoc. Warden-Administration	1
4	Fiscal Services	4
3	Personnel Services	3
10	Food Services	10
15	Maintenance Services	15
7	Clerical Staff	7
4	Warehouse Staff	4
1	Assoc. Warden-Treatment	1
6	Counseling Service	9
1	Recreation Service	1
1	Education Services	1
8	Medical Services	16
1	Religious Services	1
1	Assoc. Warden-Security	-0-
3	Captain	1
6	Lieutenant	6
7	Sergeant	6
19	Corporal or Trans. Officer	17
170	Correctional Officer	110
3	Mail Clerk	3
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
-0-	Industry Director or Supervisor	
-0-	Industry Staff	
272	Total Staff Positions	217
315	Total Inmate Capacity	315
<u>130</u>	Barracks	<u>130</u>
445		445

Current 10/82

Proposed 6/84

Regional Classification Center

329.16 Memphis Correctional Center

1	Warden	1
1	Assoc. Warden-Administration	1
3	Fiscal Services	3
2	Personnel Services	2
8	Food Services	8
11	Maintenance Services	11
4	Clerical Staff	4
5	Warehouse Staff	5
1	Assoc. Warden-Treatment	1
14	Counseling Service	13
2	Recreation Service	1
16	Education Services	1
7	Medical Services	14
1	Religious Services	1
0	Assoc. Warden-Security	-0-
1	Captain	1
4	Lieutenant	5
5	Sergeant	5
11	Corporal or Trans. Officer	11
80	Correctional Officer	80
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
-0-	Industry Director (or Supervisor)	-0-
-0-	Industry Staff	-0-
177	Total Staff Positions	168
430	Total Inmate Capacity	375

Current 10/82

Proposed 6/84

Tenn. Prison for Women 329.13

Women's Prison (located at the present site of Nashville Regional Correctional Facility)

1	Warden	1
1	Assoc. Warden-Administration	1
4	Fiscal Services	4
2	Personnel Services	2
6	Food Services	6
4	Maintenance Services	4
3	Clerical Staff	3
2	Warehouse Staff	2
1	Assoc. Warden-Treatment	1
9	Counseling Service	9
2	Recreation Service	2
8	Education Services	8
6	Medical Services	10
1	Religious Services	1
1	Assoc. Warden-Security	0
1	Captain	1
3	Lieutenant	5
3	Sergeant	5
12	Corporal or Trans. Officer	12
81	Correctional Officer	102
-0-	Farm Manager	0
-0-	Farm Staff	0
-0-	Industry Director or Supervisor	3
1*	Industry Staff	0
151	Total Staff Positions	182
223	Total Inmate Capacity	415
112	Annex - Geriatric Unit	
335		

\*329.30 Industry

Current 10/82

Proposed 6/84

Classification Center	Nashville Regional-329.17	Middle Tennessee Classification Center
1	Warden	1
1	Assoc. Warden-Administration	1
5	Fiscal Services	5
2	Personnel Services	2
7	Food Services	7
4	Maintenance Services	4
4	Clerical Staff	4
4	Warehouse Staff	4
1	Assoc. Warden-Treatment	1
24	Counseling Service	9
1	Recreation Service	1
-0-	Education Services	1
14	Medical Services	18
2	Religious Services	1
1	Assoc. Warden-Security	0
3	Captain	1
4	Lieutenant	5
8	Sergeant	5
20	Corporal or Trans. Officer	12
154	Correctional Officer	90
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
-0-	Industry Director or Supervisor	0
1*	Industry Staff	0
260	<b>Total Staff Positions</b>	<b>172</b>
618	<b>Total Inmate Capacity</b>	<b>415</b>
	*Industry Code 329.30	

Current 10/82

Proposed 6/84

329.18 Bledsoe County	
Classification Center	Proposed 6/84
1	Warden
1	Assoc. Warden-Administration
5	Fiscal Services
2	Personnel Services
7	Food Services
4	Maintenance Services
4	Clerical Staff
4	Warehouse Staff
1	Assoc. Warden-Treatment
13	Counseling Service
3	Recreation Service
13	Education Services
7	Medical Services
2	Religious Services
-0-	Assoc. Warden-Security
1	Captain
5	Lieutenant
7	Sergeant
16	Corporal or Trans. Officer
144	Correctional Officer
1*	Farm Manager
7*	Farm Staff
-0-	Industry Director or Supervisor
-0-	Industry Staff
244	<b>Total Staff Positions</b>
648	<b>Total Inmate Capacity</b>
	*329.31 Farms



Current 10/82

Proposed 6/84

Current 10/82

Proposed 6/84

329.19 Morgan County

1	Warden
1	Assoc. Warden-Administration
4	Fiscal Services
2	Personnel Services
7	Food Services
5	Maintenance Services
5	Clerical Staff
5	Warehouse Staff
1	Assoc. Warden-Treatment
13	Counseling Service
2	Recreation Service
10	Education Services
6	Medical Services
1	Religious Services
-0-	Assoc. Warden-Security
1	Captain
5	Lieutenant
6	Sergeant
31	Corporal or Trans. Officer
93	Correctional Officer
-0-	Farm Manager
-0-	Farm Staff
-0-	Industry Director or Supervisor
-0-	Industry Staff
199	Total Staff Positions
432	Total Inmate Capacity

1
1
4
2
7
5
4
5
-0-
2
2
2
12
1
-0-
1
5
6
33
110
1
6
-0-
-0-
210
768

329.12 Fort Pillow

1	Warden
1	Assoc. Warden-Administration
6	Fiscal Services
2	Personnel Services
8	Food Services
16	Maintenance Services
7	Clerical Staff
7	Warehouse Staff
1	Assoc. Warden-Treatment
12	Counseling Service
1	Recreation Service
2	Education Services
9	Medical Services
2	Religious Services
1	Assoc. Warden-Security
4	Captain
7	Lieutenant
8	Sergeant
27	Corporal or Trans. Officer
190	Correctional Officer
1*	Farm Manager
14*	Farm Staff
1**	Industry Director or Supervisor
1**	Industry Staff
312	Total Staff Positions
875	Total Inmate Capacity

\*329.31 Farms  
\*\*329.30 Industry

Current 10/82

Proposed 6/84

Current 10/82

Proposed 6/84

329.05.5 Memphis C.S.C.

1	Warden	1
1	Assoc. Warden-Administration	1
3	Fiscal Services	3
-0-	Personnel Services	-0-
2	Food Services	2
1	Maintenance Services	1
3	Clerical Staff	3
-0-	Warehouse Staff	-0-
1	Assoc. Warden-Treatment	1
6	Counseling Service	6
-0-	Recreation Service	-0-
-0-	Education Services	-0-
-0-	Medical Services	-0-
-0-	Religious Services	-0-
-0-	Assoc. Warden-Security	-0-
-0-	Captain	-0-
-0-	Lieutenant	1
1	Sergeant	1
3	Corporal or Trans. Officer	3
17	Correctional Officer	20
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
-0-	Industry Director or Supervisor	-0-
-0-	Industry Staff	-0-
39	Total Staff Positions	43
126	Total Inmate Capacity	195

329.05.2 Nashville C.S.C.

1	Warden	1
0	Assoc. Warden-Administration	0
4	Fiscal Services	4
1	Personnel Services	1
4	Food Services	4
2	Maintenance Services	2
3	Clerical Staff	3
-0-	Warehouse Staff	-0-
1	Assoc. Warden-Treatment	1
7	Counseling Service	7
-0-	Recreation Service	-0-
-0-	Education Services	-0-
1	Medical Services	1
-0-	Religious Services	-0-
-0-	Assoc. Warden-Security	-0-
1	Captain	1
2	Lieutenant	2
2	Sergeant	2
5	Corporal or Trans. Officer	5
70	Correctional Officer	70
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
-0-	Industry Director or Supervisor	-0-
-0-	Industry Staff	-0-
104	Total Staff Positions	104
378	Total Inmate Capacity	394

\*Farm Code 329.31

Current 10/82

Proposed 6/84

Current 10/82

Proposed 6/84

329.05.4 Knoxville C.S.C.

329.05.3 Chattanooga C.S.C.

1	Warden
0	Assoc. Warden-Administration
3	Fiscal Services
0	Personnel Services
3	Food Services
1	Maintenance Services
2	Clerical Staff
0	Warehouse Staff
1	Assoc. Warden-Treatment
4	Counseling Service
0	Recreation Service
0	Education Services
0	Medical Services
0	Religious Services
0	Assoc. Warden-Security
0	Captain
0	Lieutenant
1	Sergeant
1	Corporal or Trans. Officer
21	Correctional Officer
0	Farm Manager
0	Farm Staff
0	Industry Director or Supervisor
0	Industry Staff
38	Total Staff Positions
170	Total Inmate Capacity

1
3
0
3
1
2
0
1
4
0
0
0
0
0
1
1
3
23
0
0
0
0
43
170

1
0
3
0
2
1
1
0
1
4
0
0
0
0
1
1
3
13
0
0
0
0
28
120

1	Warden
0	Assoc. Warden-Administration
3	Fiscal Services
0	Personnel Services
2	Food Services
1	Maintenance Services
1	Clerical Staff
0	Warehouse Staff
1	Assoc. Warden-Treatment
4	Counseling Service
0	Recreation Service
0	Education Services
0	Medical Services
0	Religious Services
0	Assoc. Warden-Security
0	Captain
1	Lieutenant
1	Sergeant
3	Corporal or Trans. Officer
15	Correctional Officer
0	Farm Manager
0	Farm Staff
0	Industry Director or Supervisor
0	Industry Staff
33	Total Staff Positions
120	Total Inmate Capacity

Current 10/82

Proposed 6/84

Current 10/82

Proposed 6/84

329.40 Lake County

1	Warden	1
1	Assoc. Warden-Administration	1
4	Fiscal Services	4
3	Personnel Services	3
7	Food Services	7
4	Maintenance Services	4
12	Clerical Staff	12
6	Warehouse Staff	6
1	Assoc. Warden-Treatment	1
13	Counseling Service	2
3	Recreation Service	2
15	Education Services	31
10	Medical Services	14
1	Religious Services	1
-0-	Assoc. Warden-Security	-0-
1	Captain	1
6	Lieutenant	6
7	Sergeant	7
38	Corporal or Trans. Officer	38
117	Correctional Officer	117
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
-0-	Industry Director or Supervisor	-0-
-0-	Industry Staff	-0-
250	Total Staff Positions	258
648	Total Inmate Capacity	648

329.10 Tennessee State Prison

1	Warden	1
1	Assoc. Warden-Administration	1
9	Fiscal Services	8
6	Personnel Services	6
15	Food Services	15
22	Maintenance Services	22
10	Clerical Staff	10
11	Warehouse Staff	11
1	Assoc. Warden-Treatment	0
23	Counseling Service	4
1	Recreation Service	1
16	Education Services	1
74	Medical Services	105
4	Religious Services	2
1	Assoc. Warden-Security	1
4	Captain	4
14	Lieutenant	14
13	Sergeant	13
37	Corporal or Trans. Officer	37
332	Correctional Officer	332
4	Mail Clerk	4
-0-	Farm Manager	-0-
-0-	Farm Staff	-0-
1*	Industry Director or Supervisor	-0-
47*	Industry Staff	-0-
599	Total Staff Positions	592
1,875	Total Inmate Capacity	1,350

\*Industry Code 329.30

Turney Center Conversion

<u>Turney Center - 1982/83</u>	<u>Tenn. State Industry 1982/83</u>	<u>Turney Industrial Center 1984/85</u>	<u>Positions + or (-)</u>
Warden III 1	Director of Industries 1	Correctional Industry Warden IV 1	(1)
Secretary II 1	Secretary II 1	Secretary II 1	(1)
Assoc. Warden-Administration 1	Production Cost Manager 1	Assoc. Corr. Industry Warden-Adm. 1	(1)
Assoc. Warden-Security 1	Agri-Industry Director 1	Assoc. Corr. Industry Warden-Sec. 1	(1)
Assoc. Warden-Treatment 1	-0-	-0- -0-	(1)
-0-	Correction Industry Manager 1	Assoc. Corr. Industry Warden-Mfg. 1	-
-0-	Industrial Engineer 1	Assoc. Corr. Industry Warden-Eng. 1	-
-0-	Assistant Director 1	Assoc. Corr. Industry Warden-Sales 1	-
Chief of Personnel II 1	Chief of Personnel I 1	Chief of Personnel II 1	(1)
Personnel Assistant 1	-0-	Personnel Assistant 1	-
Hospital Superintendent I 1	-0-	Hospital Superintendent II 1	-
LPN II 1	-0-	Lic. Practical Nurse II 3	2
R. N. I 1	-0-	Registered Nurse I 2	1
R. N. II 1	-0-	Registered Nurse II 1	-
Phy. Assistant I 1	-0-	Phy. Assistant II 1	-
Medical Technician 3	-0-	Medical Technician 3	-
-0-	-0-	LPN I 3	3
Chaplain I-6 1	-0-	Chaplain I-6 1	-
Food Service Manager I 1	-0-	Food Service Manager I 1	-
Asst. Food Service Mgr. I 1	-0-	Asst. Food Service Mgr. I 1	-
Food Service Supervisor II 8	-0-	Food Service Supervisor II 8	-
Steward II 2	-0-	Steward II 2	-
Record Clerk II 1	-0-	Record Clerk II 1	-
Data Terminal Operator 1	-0-	Data Terminal Operator 1	-
-0-	Accountant III 1	Accountant III 1	-
Accountant II 1	Accountant II 1	Accountant II 1	(1)
-0-	Accountant I 1	Accountant I 1	-
Sr. Account Clerk 3	Sr. Account Clerk 3	Sr. Account Clerk 5	(1)
-0-	Jr. Account Clerk 1	Jr. Account Clerk 1	-
-0-	Clerk II 1	Jr. Account Clerk 1	-
-0-	Clerk II 1	Customer Service Clerk 1	-
Clerk II 1	-0-	-0-	(1)
Procurement Officer I 1	Procurement Officer I 1	Procurement Officer I 1	(1)
Postal Clerk 1	-0-	Postal Clerk 1	-
Librarian 1	-0-	Librarian 1	-
Director Recreation 1	-0-	Director Recreation 1	-
Asst. Director Recreation 1	-0-	Asst. Director Recreation 1	-
Counselor III 2	-0-	Caseworker 2	-
Counselor II 2	-0-	-0-	(2)
Counselor I 4	-0-	-0-	(4)
Counselor - Voc. 1	-0-	-0-	(1)
Plant Maintenance Engineer 1	-0-	Plant Maintenance Engineer 1	-
Asst. Plant Maintenance Eng. 1	-0-	Asst. Plant Maintenance Engineer 1	-
Boiler Operator 4	-0-	Boiler Operator 4	-
Water Treatment Operator 3	-0-	Water Treatment Operator 3	-
Maintenance Worker 4	-0-	-0-	(4)
Maintenance Worker 1	-0-	Supervisor 1	-
Transportation Officer 2	-0-	Transportation Officer 2	-

Turney Center Conversion - Continued

Turney Center - 1982/83	Tenn. State Industry 1982/83	Turney Industrial Center 1984/85	Positions + or (-)
Correction Captain	1 Superintendent	5 Corr. Industry Supervisor V	6 -
Correction Lieutenant	4 -0-	9 Corr. Industry Supervisor IV	9 5
Correction Sergeant	4 General Supervisor	7 Corr. Industry Supervisor III	6 (5)
Correction Officer II	9 Supervisor	32 Corr. Industry Supervisor II	41 -
Correction Officer I	171 Foreman	2 Corr. Industry Supervisor I	173 -
Correction Captain	3 -0-	3 Corr. Industry Supervisor I	3 -
Correctional Lieutenant	5 -0-	5 Corr. Industry Supervisor I	5 -
Correctional Officer II	9	9 Corr. Industry Supervisor I	9 -
-0-	Customer Cont. Clerk	2 Customer Cont. Clerk	2 -
-0-	Truck Driver	8 Truck Driver	8 -
-0-	EDP Supervisor II	2 EDP Supervisor II	2 -
Teacher BS	2 -0-	1 Teacher BS	1 (1)
Storekeeper I	2 -0-	2 Corr. Industry Supervisor I	2 -
Storekeeper II	3 -0-	3 Corr. Industry Supervisor I	3 -
Storekeeper II	1 -0-	1 Truck Driver	1 -
Maintenance Worker	1 -0-	1 Corr. Industry Supervisor II	1 -
Laundry Supervisor	1 -0-	1 Corr. Industry Supervisor I	1 -
Radio Operator	1 -0-	1 Corr. Industry Supervisor I	1 -
-0-	General Supervisor	3 -0-	(3)
Principal	1 -0-	-0-	(1)
Teacher MA	3 -0-	-0-	(3)
Teacher MA + 45	2 -0-	-0-	(2)
Vocational Instructor	5 -0-	-0-	(5)
Psychological Examiner	1 -0-	-0-	(1)
-0-	Executive Aide	1 -0-	(1)
-0-	Assistant Commissioner	1 -0-	(1)
-0-	Dental Supervisor	1 -0-	(1)
-0-	Supervisor, Manager/Program	1 -0-	(1)
-0-	-0-	1 Farm Mechanic	1
-0-	-0-	1 Specialist, Field Crop	1
-0-	-0-	1 Supervisor, Crop	1
Totals	294	83	343 (34)

VIII. Health Care

The TDOC recognizes a number of both general and specific deficiencies concerning health services within the correction system. While many of the deficiencies will be alleviated by additional health care personnel, it is clear that the development of a sound health care program will require a sophisticated medical management planning process including identified goals, objectives, and strategies for implementation in addition to increased personnel and resources.

The Department can only benefit from the development of a Comprehensive Health Services Plan. The development of such a plan is a lengthy process, but when developed the plan will include the following:

I. Standards: Statement of applicable standards, statutes, studies, recommendations, legislative direction, and professional advisory group reports applicable to TDOC.

II. Overview of Current Health Care System:

- A. Basic Concepts for Health Care
- B. Services Provided
- C. Staffing
- D. Budgetary Process and Expenditures

III. Projected Service Delivery System:

- A. Basic Concepts for Health Care
- B. Goals and Objectives
- C. Functional Planning Areas:
  - 1. Emergency Health Services
  - 2. Primary Health Services
  - 3. Inpatient Health Services
  - 4. Specialty Care Services

- D. The Levels of Care Concept
- E. Classification of Health Care Beds
- F. Organization and Management of Health Services
- G. Health Services Components
- H. Internal and External Sources of Utilization  
Review and Quality Assurance

IV. Implementation Strategies:

- A. Implementation Process
- B. Priorities for Implementation
- C. Implementation Plan

V. Cost Data:

- A. Staffing Standards and Needs
- B. Equipment Needs
- C. Estimated Costs

Pending completion of this plan, the following actions will address existing deficiencies, as noted.

Deficient Administrative Structure

The Department has made significant progress over the last 18 months in linking health care resources within the Department and community to form a planned system of health care delivery. This is evidenced by the health care policies and procedures now in effect, regular Health Administrator meetings, development of a Centralized Pharmacy, Standardized Health Records System and an improved health classification system.

The Department is committed to a centralized medical program management approach. While some departments have a centralized health service with line authority and control, it is certainly possible to

develop an effective health care program consisting of two functional levels--institutional delivery control and departmental management control.

Action to be Taken

1. The present organizational structure, consisting of two administrative levels, institutional and departmental, will be retained for management of the health system. Present responsibilities and functions will be more clearly delineated to depict the specific role of each administrative level in the overall health care program.
2. There is a need for modification of the administrative structure to insure effective coordination and accountability for every aspect of service delivery. Particularly important will be a mechanism by which the Division of Health Services can realign staffing patterns and functions of health care employees through transfer, adding, deleting, reclassification, or temporary loan of positions in order to better maintain the integrity of the health care system.
3. The Division of Health Services will have more direct control over a Health Care Budget in order to maintain consistency of service, meet the constantly changing medical needs throughout the Department, and again, maintain the integrity of an effective health care program.
4. Overall responsibility for the coordination of health care will remain assigned to the Director of Health Services at the Central Office level. It is recognized that the



task of supervising and coordinating the entire range of health services is beyond the ability and training of a single person. While improved health care may be linked to more personnel, it is clear that the primary mechanism by which contractors accomplish such rapid and effective improvements is through more effective health care leadership and management--not necessarily more personnel. The TDOC will continue to make progress towards an adequate health care program; however, such progress will occur more rapidly if there is an adequate administrative staff for health services. Whereas the health care management is generally adequate at the institutional level, it remains deficient at the departmental level--a crucial link in a two-tiered administrative structure. This plan requires the addition of an Assistant Director for Health Services.

5. The Division of Health Services will also need to have access to a complement of professional staff with expertise in several health specialty areas to effectively carry out its coordinating responsibilities. This plan assigns lead coordinator positions to be used part-time to meet this need. These positions are in the following specialty areas:
  - a. Chief Medical Advisor (20 hours/week)
  - b. Dental Advisor (10-15 hours/week)
  - c. Psychological Advisor (presently authorized in this capacity, Nashville Regional Correctional Facility)
  - d. Pharmacy Advisor (presently authorized, TSP)
  - e. Nursing Advisor (20 hours/week)
  - f. Medical Advisor/Training Specialist (20 hours/week)

Persons assigned to these positions will provide direct care, but in addition will have coordinating, monitoring, and advising functions. This group forms a nucleus of professional advisors capable of monitoring all aspects of the health care program. Periodic institutional visits to monitor services in their specialty areas will form the basis for a sound quality assurance program and permit input to the Division of Health Services for the development of programs, policies, and operating procedures. This group will improve coordination of the many components of the health care delivery system and will bring about its rapid development and implementation.

#### Deficient Service Delivery System

The projected health care program is one which will integrate multiple sources of care into a single unified system which allows for the identification of services best provided by the Department and those which will be provided by other private and public agencies based upon need, availability, quality, and cost. The key elements in the success of this system are:

1. Identification of appropriate levels of care for each institution
2. Establishment of linkages between each source of care
3. Establishment of an administrative structure which is capable of managing such a complex system in a way which assures maximum therapeutic and economic effectiveness.

The system is rooted in two basic concepts:

1. A system which is composed of multiple units must be centrally controlled if it is to actually function as a system.

2. Health services will be delivered most effectively through a network of facilities and providers based upon the "levels of care" concept. This concept embodies the provision at each institution of a defined range of health care services commensurate with the day-to-day needs of the institutional population, with pre-established linkages between it and succeeding higher levels of care. This results in optimum use of available resources, minimizes duplication of services, and reduces fragmentation of care. Levels of care required in the TDOC include:

- a. Emergency care
- b. Primary Care - Ambulatory clinic care
- c. Secondary Care - Routine hospital care, specialty consultant care
- d. Tertiary Care - Level of care requiring great technical capacity and sophistication.

The Tennessee system will provide emergency care and primary care services at all institutions. Secondary care is largely provided at the Tennessee State Penitentiary. Advanced secondary care and tertiary care are provided in Nashville, using community resources.

Inappropriate Provision of Medical and Health Care by Persons Without Adequate Training or Credentials

At this time the Department has eliminated the use of inmate workers in health care at all facilities except the Tennessee State Penitentiary Hospital. Inmate workers at TSP have been reduced by 50 percent since September 1981, and the elimination of all inmates in direct patient care services will be completed by 9/1/83.

The issue of inadequately trained and credentialed personnel centers on the practice of hiring nonlicensed Medical Technicians and the use of nurses in place of trained Physician Assistants.

Action to be Taken

- 1. Reduce to zero the number of inmates at TSP employed in direct patient care services. This will require additional personnel.
- 2. Eliminate the practice of hiring unlicensed Medical Technicians. As of early October 1982 the specifications for the position have been changed to require licensure.
- 3. Remaining Medical Technicians without licenses will be assigned tasks commensurate with their ability and training as per Policy #113.02, Credentials of Health Care Personnel.
- 4. Physician Assistant/Nurse Practitioners will be assigned at all facilities as part of an effective program of primary care. Their practice will be under the direction and supervision of a licensed physician. (This will require additional personnel as reflected in the personnel study. At this time, of the 12 adult institutions (NCSC included), eight have mid-level providers.)

Failure to Provide 24-Hour Emergency Coverage at all Locations

An effective health care system must provide the availability of emergency care on a 24-hour basis. In practical terms this includes 24-hour personnel with the expertise to readily assess inmate complaints,

administer first aid and appropriate emergency treatment, and where necessary, arrange for additional care in a community emergency department. At this time only two institutions, TSP and DCI, maintain 24-hour coverage on an uninterrupted basis. Maintenance of such coverage can only occur with additional personnel and a staffing pattern which takes into account the need for relief coverage. A principle of cost effective emergency coverage is to utilize paraprofessional personnel for coverage on shifts having a minimal need for care. An effective emergency care program involves all members of the institutional health care staff. Only through proper training, appropriate equipment, coordination and advance planning will emergency care improve system-wide.

Action to be Taken

1. Increase health care staff to the extent necessary to provide 24-hour coverage. (Requires additional health care personnel reflected in the personnel section of this report.)
2. Standardize emergency equipment at all institutions according to the emergency care needs of the institution. (This has largely been accomplished via Emergency Care policy and technical handouts from the Medical Director's office.)
3. Standardize emergency care training standards for health care personnel. All health care staff members will be certified annually in CPR and receive training in emergency care procedures.

Inadequate Numbers of Health Care Personnel

at Each Location

Health care staffing as outlined below has been developed for each institution according to the need for 24-hour coverage as well as the

"manpower mix" needed to operate an efficient and effective health care program. Most notable is the inclusion of an administrative component at the institutional level consisting of a Correctional Health Administrator (Hospital Superintendent II) and a Medical Records Technician. This will promote orderly and efficient service while freeing the health care providers to deliver care. The TDOC has demonstrated that clinics lacking an administrative component require more providers who must then serve in this capacity. It is clearly not cost effective to use licensed nurses as records clerks. In smaller clinics the Health Administrator may be a Nurse and have clinical duties; however, she remains responsible to the Warden for the day-to-day operation of the health care program.

Effective July 1983 the Tennessee Department of Personnel will implement a new personnel structure which will influence the titles and salaries of the positions. The personnel plan below reflects current positions and titles appropriate for conversion to the new personnel system.

This Medical Improvement Package outlines the personnel necessary to accommodate the health needs of inmates in the adult institutions. The package will enable the Department to accomplish the following:

1. Eliminate throughout the Department the use of inmates for the provision of direct patient care activities by 9/1/83. (At present there are 35 inmates employed at the TSP.)
2. Provide 24-hour nursing coverage at all adult institutions and enhance the availability of emergency care. Included

are positions necessary to provide relief coverage for days off, holidays and vacation in order to eliminate interruption in the availability of service.

3. Provide each facility a health care program appropriate to the needs of the institution which includes a program of on-site primary care.
4. Provide each institution a mid-level provider (PA/NP) in order to adequately meet the primary care needs of the inmate population. (This is presently the most cost effective means of meeting the Department's enormous primary health care needs.)
5. Permit the appropriate utilization of professional personnel and improve the quality of care delivered by including administrative support personnel where appropriate in the staffing pattern.
6. Achieve health care consistent with legal standards for correctional facilities.
7. Upgrade the Tennessee State Penitentiary Hospital to enable the provision of quality hospital care for all adult institutions.
8. The number of personnel necessary for twenty-four hour coverage will also be capable of frequent health inspections of each facility. Specifically, these persons will conduct weekly sanitation inspections within the institutions. These will include the housing units, food service areas, toilet facilities and work areas.

Reports of findings will be directed, within twenty-four hours, to the institutional warden and summarized in the quarterly report to the Assistant Commissioner for Adult Services. This, in conjunction with the Central Office staff reports to the Commissioner, will be sufficient for each warden to provide proper sanitation practices within the institution. The current health standards and reporting format as used for state and local inspection of public facilities will be used within the TDOC.

Division of Health Services - Administration - Central Office

Present Staff:

Director of Health Services

Secretary 2-S

Additional Staff Needed:

Assistant Director of Health Services

Two F.T.E. (Full Time Equivalent) positions to be shared with

Institutions as follows:

Physician 056	20 hours/week	Shared with TSP
Registered Nurse IV	20 hours/week	Shared with TSP
Nurse Specialist III	20 hours/week	Shared with TSP
Dentist 055	20 hours/week	Shared with TSP

TSP hospital improvements include the elimination of inmate workers except for a very limited number in facility custodial work. They also include personnel needed to continue the hospital program and staff the Special Care Unit.

### Dental Care

The personnel plan includes minimal increase in dental positions. However, more dental service will be provided at each location by increasing contractual care. At this time there is no standard level of dental care provided at each institution. The amounts and types of service vary from location to location, as does the available equipment.

1. Dental care needs will be under the coordination of a dental director who would be responsible for monitoring dental programs and evaluating institutional dental service and equipment needs. As previously noted, a part-time advisor having other clinical responsibilities will meet this need.
2. Preventive dentistry will be made more available through the hiring of or contracting for Dental Hygienists.

### Lack of Administrative Policies and Procedures

This is no longer an issue. As of this writing 36 health care policies have been published and are in the field. Four more are in the final stage of review, and less than 10 remain unissued. The remainder will be issued no later than the end of 1982. The policies issued are adequate for a quality health care program and compare favorably with those of other state Departments of Corrections. The current health care policies are, in the large, consistent with AMA and ACA standards.

### Communicable Disease Control

In years past control of communicable disease within the Department had been a legitimate concern. At this time the levels of communicable illness are on the decline. A communicable disease policy has been implemented, including a system for monitoring the incidence of disease at the Central Office level. All institutions now have an institutional policy describing procedures for the reporting and surveillance of communicable disease.

Also implemented is a policy which outlines the Department's tuberculosis control program. The Department has recently completed a Department-wide tuberculosis screening of all inmates and employees in accordance with health department guidelines. This will continue as an ongoing control program, with all inmates/employees receiving an annual TB screen in the future.

The Department has entered into an agreement with the Tennessee Department of Public Health to evaluate the problem of hepatitis in adult institutions. Hepatitis B is the most prevalent type. With Health Department assistance, an evaluation of the adult facilities will begin in December 1982 to permit the accurate identification of subgroups and individuals at high risk for the disease. After analysis of the data concerning the incidence, prevalence and acquisition of Hepatitis B within the inmate population, the Health Department will provide guidelines for the use of a newly developed vaccine.

### Central Pharmacy

A central pharmacy is presently providing service to Tennessee State Penitentiary, Nashville Regional Correctional Facility, Nashville Community Services Center, Tennessee Youth Center, Spencer Youth Center, and Tennessee

Prison for Women. The pharmacy will begin servicing other institutions at a rate of one per month and has significantly increased control and reduced costs at facilities which had been using community pharmacies.

Inadequate Distribution of Equipment/Budget

This has been a problem in the past due to the lack of Central Office Health Services input to institutional budget and equipment purchasing.

Action to be Taken

1. All medical equipment requests will be reviewed and approved by the Director of Health Services prior to purchase.
2. The Director of Health Services will provide guidelines to institutions concerning the medical budget which outline health needs from both an institutional and system-wide perspective.
3. The Director of Health Services will participate in the Commissioner's review of final budgets submitted for inclusion in the departmental budget.
4. The Director of Health Services will review all Health Care Contracts annually prior to final approval and, where indicated, participate in the negotiation of them.
5. Prison medical budgets once approved by the Commissioner will not be adjusted without the direct written approval of the Commissioner or Director of Health Services.
6. The Director shall have the authority, subject to the standard government review process, to transfer medical resources between facilities as changing demand for service may require.

Lack of Treatment Protocols

Many institutions lack treatment protocols, and those which exist lack consistency. Writing treatment protocols, like policy development, is a major undertaking requiring the efforts of a number of individuals. While protocols must ultimately be approved by the Sponsor Physician at the institutional level, there is a need to develop standardized treatment protocols consistent with good medical management and which are adaptable at the institutional level.

A departmental committee will be formed to develop treatment protocols and review existing protocols. The task is estimated to take six to eight months to complete. The committee will be multidisciplinary and will emphasize recognized community standards of care in the treatment protocols. All subsequent treatment protocols will be reviewed by the committee prior to their implementation.

Deficient Emergency Care

Access to emergency care is largely influenced by: (1) adequate numbers of personnel; (2) adequate training of personnel; (3) appropriate equipment and supplies; (4) adequate policies and procedures relative to emergency care; (5) linkage to emergency transport system, and (6) linkage to community emergency rooms.

An emergency care policy has been implemented which requires each institution to have a policy outlining emergency procedures. Deadline for completion of these local policy and procedure statements is January 1, 1983. Emergency equipment is present at all institutions, and arrangements have been made for utilization of community emergency resources.

Full access depends on 24-hour nursing coverage within each institution. A training program specific to the needs of health care providers will have a great influence on the level and quality of emergency care provided. This is another example of health care personnel's needing an ongoing training program pertinent to their needs.

#### Quality Assurance

Quality assurance is an integral component of a sound health care system. Needed are both an internal monitoring process which is ongoing and an external review process.

The Department's plan for quality assurance includes three components which will result in periodic clinic monitoring, health record review and evaluation of the quality, quantity and effectiveness of health care.

By March 1, 1983, the Department will form a quality assurance committee to develop and implement a comprehensive program. It is expected that this program will require a year to fully implement.

The Department will seek accreditation of health services by the American Medical Association during FY 1983-84. The expense is estimated to be \$10,000 and is provided for in the proposed medical budget.

The Department will employ a consultant to inspect and review the health services annually at each adult institution and generate a report of findings relative to the quality of care.

#### Need for Improved Continuity of Care

Providing continuity of care poses a real challenge in a system characterized by frequent inmate movement. The Department has implemented a standardized health record system which is the cornerstone of the communications network required to maintain continuity of care. Other improvements are a Health Records Movement Document which has improved

accountability during transfer of records and medication, a Patient Problem List which summarizes patient health problems to facilitate follow-up, and a Medical Transfer Summary. Plans outlined in the classification section will substantially reduce inmate movement.

#### Need for Periodic Physical Examinations

A program of this type is properly called a health maintenance program. Such a program is presently on the Division of Health Services planning docket. It will focus on the periodic evaluation of inmates over 40 years of age, inmates with identified health conditions requiring periodic evaluation, and long-term offenders. The program will be based on risk factors associated with age and other variables and will be individualized according to the needs of the inmate.

This program will require the services of a Physician Assistant at each adult institution as requested in the personnel section of this plan.

#### Need for a Psychological Director and Dental Advisor

Previously discussed under "administration," this is a definite need, and one which can be accommodated best with advisors having dual responsibilities in the field and to the Central Office.

Evaluation of Contract Health Care

The recent trend in corrections to contractual health services represents an alternative to the "in-house" concept of health care delivery and was considered by the Project Staff. A number of State Departments of Corrections have used contractual care as a means of rapidly improving the delivery of health services, including Maryland, Delaware, Alabama, Iowa, Georgia and Illinois. Many other states are considering contractual care at this time.

Probably the strongest argument in favor of contractual care is in a circumstance where there exists substantial inadequacy coupled with an imperative to rapidly bring the care up to a recognized standard. Three years ago contract health care would likely have been the best option for TDOC. Given the substantial progress of the past two years, the issue is definitely debatable. Project staff has opted against contract care in the belief that an in-house program will be more economical in the long run. In any event, the contract option is available for future response to experience.

Private contractors have demonstrated outstanding ability to accomplish major improvements rapidly (i.e., system building) due to the inherent flexibility of a private system's financial resources. While contractors are certainly capable of maintaining a health care system, the cost associated with contractual care is a decided disadvantage in the routine application of contract care for the maintenance of an established and well-organized health system.

Contractual health care is not without additional cost, though the private contractor often can improve the quality and efficiency of care for a reasonable increase over current operating expenses. This is largely attributable to the management expertise and personnel flexibility



associated with a private employer. As a rule contractors utilize highly competent employees who are well-compensated and motivated to perform. Frequently the employees receive a profit share or raises based on demonstrated efficiency and their ability to meet rigorous management objectives.

It is realistic to expect that contractual care will exceed present health care expenditures; however, the state may in fact realize a savings in outside security staff since contractors effectively reduce the average length of stay in community hospitals.

Probably the major factor that makes contract care attractive to many correctional systems is that the Department is relieved of the day-to-day health care delivery, is assured of quality health care that meets the community and court standards, and knows in advance what the service will cost.

In contrast to contract care, some states choose to operate their own health care system both for the cost advantages of a well-organized program and the belief that the Department should maintain complete control over all aspects of the correctional system. Such states as North Carolina, Florida, Oklahoma, Michigan and others have been successful in creating an adequate and well-organized health care system within the department of correction. The key to an effective state-operated system rests with an effective management program combined with adequate resources and personnel necessary to accomplish the task. The success contractors achieve in providing correctional health care is not impossible to duplicate on the state level; however, all state Departments of Correction with effective health care systems have a more sophisticated management component at the Central Office level than does Tennessee.

It has been four years since TDOC hired its first Medical Director. Should TDOC decide to continue providing its own care, as the project staff recommends, it has an excellent base on which to build. Much of the basic structure of a sound program of health care has been established during the past two years, including policy development, a health records system, etc. As previously described, full development is contingent on a better defined administrative/support staff and the necessary personnel and financial resources.

A third option which has been considered is the liberal use by the TDOC of "Subcontracting" specific aspects of care. Massachusetts has an extensive program on this order in which all physicians and specialists are contracted by the state. To a moderate extent the TDOC currently does this at some institutions and at TSP for physicians and dentists. This option holds great potential as there are some health care services which are just not feasible to provide under a civil service structure. One of the greatest determinants of quality care is the employment of high caliber physicians. The TDOC (and obviously contractors) have proven over and over the virtue, desirability, and cost-effectiveness of a high-priced but competent physician for 20 hours/week over a mediocre physician 40 hours per week. An effective state-run system will certainly need to expand the present program of contractual care, provision for which has been made in the proposed budget.

ADDITIONAL HEALTH CARE PERSONNEL COST SUMMARY

<u>Position</u>	<u>Annual Cost</u>
<u>Administration</u>	
01 Asst. Director of Medical Services	\$ 19,500
<u>DeBerry Correctional Institute</u>	
01 Nurse Specialist III	\$ 19,504
<u>Brushy Mountain Prison</u>	
06 Licensed Practical Nurse II (\$10,176 ea.)	61,056
01 Dentist	33,228
01 X-Ray Technician	7,440
Upgrade Medical Technician to Registered Nurse III	\$ 3,348
Upgrade RN-I to Physician's Assistant II	7,992
Upgrade RN-I to RN-II	1,128
Upgrade Medical Technician to RN-II	3,672
Downgrade Medical Technician to Dental Assistant	<u>(4,368)</u>
<hr/>	
Total: 5 Positions changed	Total \$113,496
8 Positions added	
<u>Middle Tennessee Reception Center</u>	
05 Licensed Practical Nurse II (\$10,176 ea.)	50,880
Delete Physician	(47,892)
Downgrade Medical Technician to Dental Assistant	(4,368)
Downgrade Medical Technician to Medical Records Technician	(2,832)
Downgrade RN-III to RN-III	(1,788)
Downgrade Nurse Specialist III to Physician's Asst. I	(3,840)
Downgrade Medical Technician to LPN II	(2,364)
Upgrade Medical Technician to Hospital Superintendent II	<u>3,252</u>
<hr/>	
Total: 6 Positions changed	Total \$ (8,952)
1 Position deleted	
5 Positions added	

**CONTINUED**

**2 OF 3**

HEALTH CARE PERSONNEL COST SUMMARY (Continued)

<u>Position</u>	<u>Annual Cost</u>
<u>Morgan County Regional Correctional Facility</u>	
01 Hospital Superintendent II	\$ 15,796
01 Medical Records Technician	8,448
04 Licensed Practical Nurse II (\$10,172 ea.)	40,688
<hr/>	
Total: 6 Positions	Total: \$ 64,932
<u>Turney Center for Youthful Offenders</u>	
Upgrade Hospital Superintendent I to Hospital Superintendent II	\$ 4,746
Upgrade P.A. I to P.A. II	7,188
01 Registered Nurse I	14,078
02 Licensed Practical Nurse II (\$10,172 ea.)	20,344
03 Licensed Practical Nurse I (\$9,628 ea.)	28,884
<hr/>	
Total: 6 positions and 2 upgrades	Total: \$ 75,240
<u>Tennessee Prison for Women</u>	
01 Dentist 051	\$ 20,999
01 Registered Nurse III	16,404
02 Licensed Practical Nurse II (\$10,186 ea.)	20,352
Downgrade Medical Technician to Dental Assistant	(6,384)
Convert RNI to Hospital Superintendent II	-0-
<hr/>	
Total: 4 positions added 2 positions changed	Total: \$ 51,371

HEALTH CARE PERSONNEL COST SUMMARY (Continued)

<u>Position</u>	<u>Annual Cost</u>
<u>Lake County Regional Correctional Facility</u>	
01 Hospital Superintendent II	\$ 15,796
01 Medical Records Technician	8,448
02 Licensed Practical Nurse II (\$10,172 ea.)	20,344
<hr/>	
Total: 4 Positions	Total: \$ 44,588
<u>Tennessee State Penitentiary</u>	
Upgrade Hospital Superintendent II to Health Administrator IV	\$ 4,500
06 Clerk Typist (\$8,231 ea.)	49,386
01 Secretary II	8,701
01 Storekeeper II	8,231
01 Dentist 055	33,223
03 Registered Nurse III (\$16,401 ea.)	49,203
03 Registered Nurse I (\$14,078 ea.)	42,234
13 Nurse Aide II (\$8,076 ea.)	104,988
01 X-Ray Technician III	11,049
02 Lab Tech II (\$10,172 ea.)	20,344
<hr/>	
Total: 36 Positions	Total: \$331,859
<u>Memphis Regional Prison</u>	
<u>West Tennessee Reception Center</u>	
01 Dentist	\$ 33,228
02 Registered Nurse (\$15,204 ea.)	30,408
04 Licensed Practical Nurse II (\$10,176 ea.)	40,704
Downgrade Asst. Hospital Superintendent to Medical Records Technician	(2,832)
Upgrade Medical Technician to Physician's Asst. II	11,160
Upgrade Medical Technician to Physician's Asst. II	10,140
<hr/>	
Total: 7 Positions added 3 Positions changed	Total \$122,808

HEALTH CARE PERSONNEL COST SUMMARY (Continued)

<u>Position</u>	<u>Annual Cost</u>
<u>Bledsoe County Regional Correctional Facility</u>	
01 Physician Assistant I	\$ 16,401
01 Registered Nurse I	14,078
03 Licensed Practical Nurse (\$10,172 ea.) II	<u>30,516</u>
<hr/>	
Total: 5 Positions	\$ 60,995
 <u>Fort Pillow State Farm</u>	
01 Dentist 051	\$ 20,999
02 Physician Assistant II (\$23,199 ea.)	46,398
03 Registered Nurse I (\$14,078 ea.)	42,234
06 Licensed Practical Nurse II (\$10,172 ea.)	61,032
01 Dental Assistant II	<u>7,608</u>
<hr/>	
Total: 13 Positions	\$178,271
<hr style="border-top: 1px dashed black;"/>	
<u>TOTAL HEALTH CARE COSTS:</u>	
Annual	\$1,073,600
23% Fringe	246,900
TOTAL: 90 Positions	<u>\$1,320,500</u>

IX. Staff Training

Of all the sections devoted to the plan, this particular section on staff training is perhaps the most important. No plan, no matter how well-conceived or funded, can hope to reach a high level of success without a well-trained, well-managed, and knowledgeable staff to implement it. Within the TDOC, staff training has for many years had a high priority of concern; however, the concern has not always resulted in efficient and effective training. Interestingly, in the current fiscal year the TDOC Adult Division has budgeted \$343,019 for training 3,154 staff and \$1,775,447 for training 5,500 eligible inmates.

TCA 4-3-603 and 4-3-606 make it incumbent upon the Commissioner of Correction to provide adequate staff training. TCA 8-30-202, however, requires the Commissioner of Personnel to provide training programs for state employees, and TCA 41-2106 requires the Board of the Tennessee Correction Institute to provide the training for certain correctional employees. Not surprisingly the actual delivery of correctional training is often fragmented and not well-organized. (See Table I at end of this section.)

This plan assumes that the primary responsibility for the training of correctional employees should rest with the Commissioner of Correction. Secondly, the training provided to correction employees should, in the interests of efficiency and economy, match as closely as possible the training provided to all other state employees. Only that training specific to operating a correctional facility should be separate from other state employees. Finally, this plan assumes that training courses which cover specific institutional procedures such as inmate work

details, dining room security, counting of inmates, key control, tool control, etc., must be given by instructors with direct institutional experience.

The TDOC employees represent by far the majority of Tennessee Corrections Institute students; however, the TDOC has only two of the seats on the seven-member TCI Board of Control and only one TCI training instructor has direct experience in a Tennessee prison. Certainly, many academic disciplines must be utilized in training TDOC employees; however, the mode of the delivery of academic concepts must be responsive to TDOC line staff need. The actual total number of "training person hours" provided to TDOC employees and the providers of that training in 1981-82 were:

43,520	Tennessee Correction Institute
32,694	Tennessee Department of Correction
9,486	Department of Personnel
1,600	American Correction Association
<u>1,849</u>	Other
89,149	

The actual number of employees trained and the providers in 1981-82 were:

653	trained by Tennessee Department of Correction
569	trained by Department of Personnel
544	trained by Tennessee Correction Institute
40	trained by American Correction Association
<u>139</u>	Other
1,945	

This plan proposes to more than double the training hours provided to TDOC Adult Division employees, provide additional training to other TDOC employees, eliminate the training management separation of authority, improve the quality of training, and reduce the cost per training hour by establishing a full-time Training Academy.

This plan requires that:

1. The Highland Rim School for Girls be converted to a Correction Training Academy with a 150-bed boarding facility for the training of TDOC employees (including Adult, Youth, and Field Services) to be established at that site.
2. The Academy provide 112.5 hours of pre-service training to all new employees of the Department of Correction who will directly supervise adult or juvenile institution or probation offenders. (Estimate 725 trainees annually)
3. The Academy provide 112.5 hours of pre-service training to local government correctional employees if requested.
4. The Academy provide 37.5 hours of additional training each year of the employees identified in Sections 2 and 3 above. (Estimate 2,715 trainees annually)
5. All new state employees in positions directly supervising inmates must attend the Academy during their first three weeks of employment.

6. Upon graduation from the Academy and until the successful completion of six months of service all new institutional employees must wear an insignia denoting their probationary status. An institutional probationary employee may not directly supervise offenders except in the presence of another non-probationary employee of a similar or higher classification.
7. The Academy buildings and grounds will be maintained by the TDOC.
8. The Academy curriculum will be determined by an Academic Board of Governors established in place of the current Tennessee Corrections Institute. The Board will be composed of four employees of the TDOC, two of whom are institution or field managers; three employees of the Department of Personnel, one of whom is the Director of Training; and three members at large appointed by the Legislature.
9. Since the Academy will have 48 training weeks per year, there will be 270,000 training hours available (150 beds x 37.5 x 48). Correction training will require an estimated 185,000 hours, and the remaining 85,000 hours will be made available to all state agencies at the direction of the Academy Board. User agencies other than the TDOC would pay tuition per trainee to cover the cost of their training.

Additional Comments

The Highland Rim School is a 222-bed facility originally designed as a boarding school in 1917. Despite its age the facility is well maintained and has many years of service remaining.

In preparation for the 1981-82 budget the TDOC attempted to convert the facility from Youth to Adult offender use. The community reaction was intense in its opposition and the change did not take place. The inescapable fact remains, however, that the facility is the most expensive to operate at \$86.09 per offender day due to its chronic underutilization. The current (10-18-82) population is 63 and the average daily population for the past year has been 79 girls. In 1981 as an economy measure the local probation field office was moved to Highland Rim which reduced the school capacity to 188.

At a time when the TDOC must make the most effective use of its funding and at the same time increase the quality of its service delivery, the continued use of a 188-bed facility with 106 employees for housing 79 offenders is totally unacceptable to the project staff.

It is therefore recommended that a new 84-bed modular housing unit be constructed at Spencer Youth Center for the male population currently at the Tennessee Youth Center. The Tennessee Youth Center could then house the female offenders currently at Highland Rim.

Conversion of Highland Rim School to Correction Training Academy

	Personnel Adjustments	Fiscal Additions or (Savings)	
		Operational	Capital
Correction Training Academy (Conversion of Highland Rim School)	(51)	(\$795,100)	-0-
Tennessee Youth Center		( 70,600)	-0-
Spencer Youth Center	10	477,700	650,000
Administration	( 1)	( 21,600)	-0-
Sub-Total	<u>(42)</u>	<u>(\$409,600)</u>	<u>\$650,000</u>

Note:

Estimated Academy Costs

1982-83 Highland Rim budget	=	\$2,190,600
1. 1983-84 Academy operating budget (Including management, support staff, & 15 instructors)	=	\$1,271,700
2. Non-TDOC Training @ 85,000 hours	=	\$ 400,400
3. TDOC Training @ 185,000 hours	=	\$ 871,300
4. Cost per training hour of 270,000 hours	=	\$ 4.71

In 1981-82 the TDOC invested \$685,555 in trainee salary (89,149 hours X \$7.69). This plan requires a trainee salary investment of \$1,271,700 (185,000 X \$7.6.). This reallocation of cost is not shown as an addition to "operations" since it is not new funding but a conversion of current staff utilization.

Table I

Summary of Major Training Completed by TDOC Employees in 1981-82

- 555 supervisors completed DOP Employee Relations Training (6 hours) - 3,330 hours.
- 324 of the 555 supervisors who completed Employee Relations Training also completed 5 modules of DOP Interaction Management Training - (19 Hours) - 6,156 hours.
- 40 employees attended an American Correctional Association Correctional Staff Trainers Workshop (40 hours) - 1600 hours.
- 3 institutional training officers attended a 2-week course at the Federal Prison Academy in Prison Techniques (80 hrs.) - 240 hrs.
- 78 employees from various DOC institutions attended a Hostage Negotiation Class presented by the Federal Bureau of Investigation at Morgan County Regional Correctional Facility (8 hrs.) - 624 hrs.
- 38 personnel employees attended a class on Instructional Methods (3 hrs.) - 114 hrs.
- 544 employees attended the Tennessee Corrections Institute Basic Training Course (80 hrs.) - 43,520 hrs.
- 7 employees attended a Mid-Management Level Workshop sponsored by the National Institute of Corrections (73 hrs.) 511 hrs.



9. 2 employees attended an Advanced Level Management Course sponsored by the National Institute of Corrections (160 hrs.) - 320 hrs.
10. 48 employees attended a Chemical Agent Usage Workshop sponsored by the Smith and Wesson Firearms Company at Lake County Regional Correctional Facility.
11. 420 employees actively participated as DOC In-Service training instructors in addition to their primary duties and responsibilities.
12. 14 employees were certified by the Department of Personnel as Interaction Management Skills Facilitators.
13. 21 Policy Implementation Workshops (400-500 Index Series) were conducted by Commissioner Greer and members of the Adult Services Division staff for Wardens and selected key institutional staff members, at scheduled dates and locations throughout the state.
14. 1 of our training officers was selected by the National Correctional Academy to attend a course in Disturbance Control (40 hrs.) 40 Hrs.
15. 100 Health Care employees attended an in-house training session on Problem Oriented Health Records (8 hrs.) - 800 hrs.

#### X. Management Information Service

The Management Systems Staff of the TDOC consists of a director, three systems analysts, a data control clerk, and a secretary. This core group was created in April 1979 and has not increased in size since.

Current responsibilities of the M.I.S. Division include:

- (A) Coordinating the ongoing production of four data processing systems:
  1. OBSCIS (Offender Based State Corrections Information System)
  2. Trust Fund Accounting
  3. Volunteer Services Reporting
  4. Interim Probation System
- (B) Troubleshooting any problems related to these systems.
- (C) Training and monitoring the personnel who are updating or inquiring into these systems. The OBSCIS System and Trust Fund System encompass 49 terminals, 2 printers, and about 80 personnel in the department and on the staff of the Board of Parole.
- (D) Writing programs to answer special requests for information from the Department of Correction staff, the Legislature, and the Executive Branch of Government.
- (D) Writing the program specifications necessary for computer specialists in ISSD to modify or write new programs. Major

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(C) Training and monitoring the personnel who are updating or inquiring into these systems. The OBSCIS System and Trust Fund System encompass 49 terminals, 2 printers, and about 80 personnel in the department and on the staff of the Board of Parole.

(D) Writing programs to answer special requests for information from the Department of Correction staff, the Legislature, and the Executive Branch of Government.

(D) Writing the program specifications necessary for computer specialists in ISSD to modify or write new programs. Major

changes have been made in the OBSCIS System as a result of the following:

- (1) Class X Law, 1979
  - (2) Labor Reform Act of 1980
  - (3) Judge Sentencing Act, 1982
  - (4) Changing needs of the department
- (F) Implementing new systems

As an example, the trust fund accounting system was implemented during 1981-82 at all adult facilities.

A new on-line perpetual inventory system was designed by systems analysts and developed by the information systems services division in F & A. This system will be utilized by all institutional warehouses to track food and non-food items. It will also be used by the central pharmacy center and Tennessee State Industries.

Major projects which the three systems analysts will address during fiscal year 1982-83 include:

- (a) System testing the perpetual inventory system, developing a users manual for institutional personnel, and implementing this system at four institutions.
- (B) Converting the interim probation system to the OBSCIS System and training field office personnel in the use of terminals and the OBSCIS System.
- (C) Developing program specifications to accomplish the centralization of the trust fund system and performing the conversion.
- (D) Updating the documentation on the OBSCIS System.

- (E) Developing statistical programs in the OBSCIS System to supply TDOC management information and annual report information.
- (F) Working with the probation division in further defining its requirements of the OBSCIS System and translating those requirements into program specifications for ISSD computer specialists.
- (G) Reviewing the current status of OBSCIS with adult services staff to determine future direction and additional needs of OBSCIS.

As is evident from the scope of these tasks, expectations of and demands on the management systems staff are high, and more and more resources will be spent in supporting the production aspects of the MIS. Developing new programs to bring about more efficiency within the Department, answering special requests, and analyzing the wealth of data maintained by these systems are management needs that must also be met.

It is projected that by July 1983, the management systems staff will be almost totally consumed by the work involved in supporting the production requirements of the five data processing systems mentioned earlier.

Considering that the TDOC did not actively begin utilizing data processing capability until June 1979, the management systems group has a few years yet before it will be on a par with other state agencies in its utilization of computer information systems. Clearly, the TDOC is moving toward using the computer to its fullest extent in amassing the increasing amounts of information which the Department's staff

must generate, use, and synthesize for management decision-making purposes. Many efficiencies have already been brought about with the existing information systems. If the TDOC Management is to become as economical and deliberate in its decision-making as limited funds and common sense require, then no other single area has a higher potential for use in such endeavors than the Management Information Systems Division.

The TDOC management staff at the departmental and institutional levels has been, and is still, hampered by an inability to secure highly accurate operational data on a timely basis. At times the data received by TDOC managers - from many sources, not just MIS - are outdated and in often inconsistent formats.

This current planning project has had considerable difficulty in this area. Although data used in this project are of proven, auditable quality, they are on occasion inconsistent due to the inability of the Project Staff to isolate a particular date or short span of time to which all data could be related.

This plan requires the addition of three Systems Analysts and a Data Control Clerk to the current staff. The fiscal expenditure for this addition is \$78,000.

## XI. Research and Planning

NOTE: No members of the TDOC Planning Staff referred to herein were among the Project Staff preparing this section.

Prior to 1973 the TDOC did not have a planner on its staff. Currently the TDOC has a planning staff of four. Unfortunately, the TDOC Management has often viewed planning as a means to respond to a particular crisis - as in the instant case - or has viewed the planning staff as a personnel resource which may be assigned miscellaneous duties within the Central Office.

This plan assumes that correctional planning should be a process which provides a rational continuity of TDOC management from past - to current - to future operations. The TDOC planning staff should always be in possession of a plan for the next 18-24 months and a forecast looking forward at correctional needs at least five years hence. Such an on-going plan can remain responsive to short-term need only by constant assessment of all new data as developed by MIS and many other sources. The most effective use of a small planning staff is to permit it to concentrate all of its efforts on the maintenance of a TDOC plan for future operations.

This plan recommends that all non-planning functions be reassigned away from the planning staff and that one of the three Planner positions be converted to a Systems Analyst II position. The Systems Analyst will enable the Planning Division to assess and analyze MIS data with a minimum of disruption to the MIS Division.

The TDOC Planning Staff should be required to file a written report via the Commissioner to the State Planning Office every six months. The report should detail the current status of the TDOC plans and should be available to appropriate Legislative Committees upon request.

Planning Division repositioning within the Central Office organization will be discussed in Section XII: TDOC Central Management.

## XII. TDOC Central Management

An organization as complex as the TDOC, with 4,688 employee positions, 54 work sites, varied and often conflicting programs, and fiscal demands in excess of \$120 million requires three core areas of Central Office management concentration: general oversight, operational direction, and operational support. On a daily, non-emergency basis operational direction management and operational support management should function separately within clearly defined areas of responsibility.

Under the current TDOC management structure (Table I at end of this section) a single Adult Service Warden may be "regulated" or "directed" by four Assistant Commissioners and six Central Office Directors. In theory the only immediate supervisor for a Warden is the Assistant Commissioner for Adult Services. In practice, however, the other Central Office officials mentioned can legally, and frequently do, issue instructions to the Wardens or, creating even more problems, issue instructions to members of the Warden's staff.

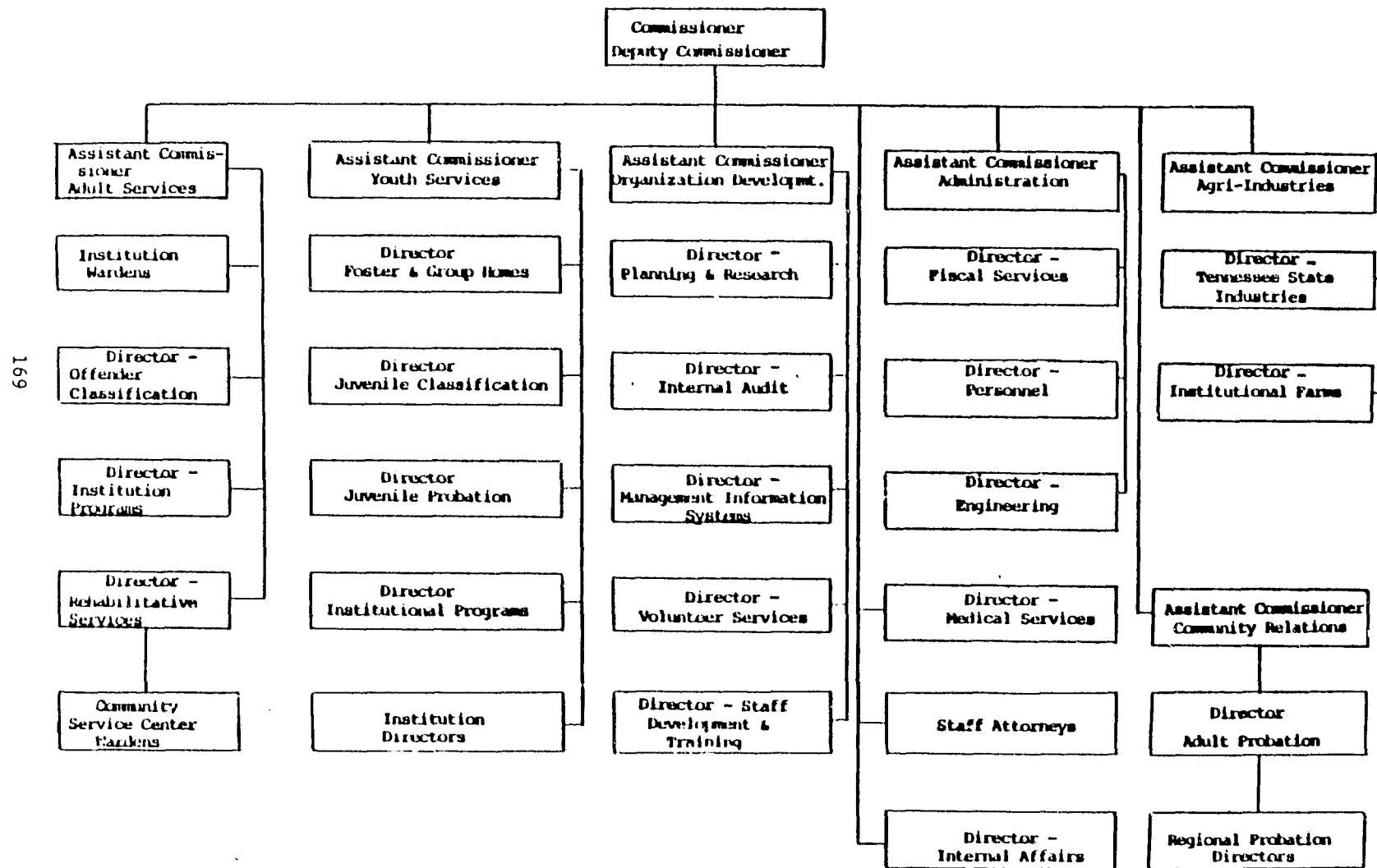
Assuming that the aforementioned situation could be corrected administratively, the Assistant Commissioner for Adult Services would still be required to directly and operationally supervise fourteen managers in twelve locations, an excessive spread of control under any management standard.

As Table I indicates, the Commissioner and Deputy Commissioner have "shared the same box" on the organization chart for the past three and onehalf years. At the inception of that arrangement and for most of the

intervening months this management arrangement has been quite successful. Its success in fact has now resulted in a fiscally and programmatically inefficient use of the Deputy Commissioner position.

In developing the proposed TDOC Central Office management structure as reflected on Table II, the Project Staff had four priorities. First and most importantly, common program and operational control should rest within one position whenever possible. Secondly, no manager should have a span of supervision greater than eight positions. Thirdly, the Assistant Commissioner for Adult Services position should be a "general oversight" position rather than an "operational direction" position. Fourth, the Commissioner and Deputy Commissioner should, collectively, have no management layer between them and the administrators of the monitoring and evaluation, medical, and fiscal components of the Department. A common theme that has run through much of the historic criticism of the TDOC is that the Commissioner is often uninformed on major departmental matters. While the Project Staff believes such criticism has been overstated on several occasions, it does contain an element of truth in reference to a large organization such as the TDOC. The proposed management structure will tend to lessen the problem by increasing the general oversight capability of TDOC executive management.

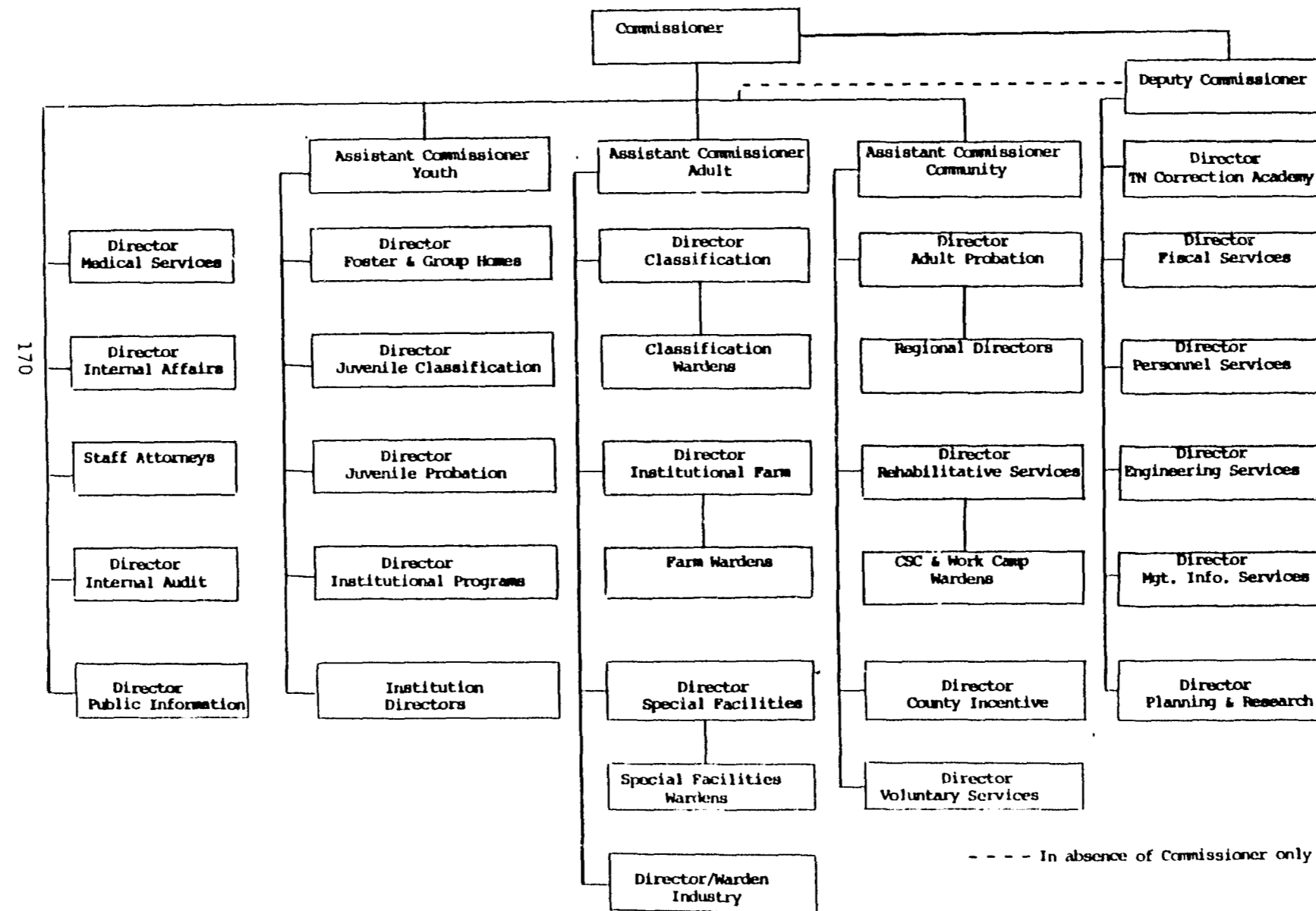
TABLE I  
Current TDOC Organization



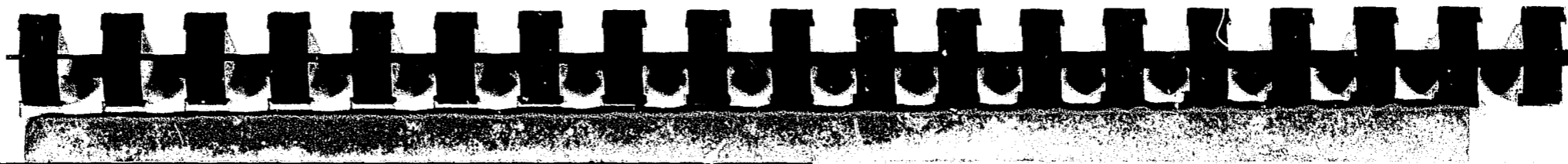
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TABLE II  
Proposed TDOC Organization



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XIII. Summary

A. Personnel, Operating Costs, and Capital Costs:

		New Positions	Additional Operating Funds <sup>1</sup>	Additional Capital Funds
Section IV	- Probation	53	\$ 927,200	-0-
Section V	- Local Corrections	-0-	----- <sup>2</sup>	-0-
Section VI	- Classification	(147)	( 2,991,800)	-0-
Section VII	- Institutions	318	4,858,700	\$25,350,000
Section VIII	- Medical	90	1,320,500	-0-
Section IX	- Staff Training	(42)	( 409,600)	650,000
Section X	- M.I.S.	4	78,000	-0-
Section XI	- Planning	-0-	-0-	-0-
Section XII	- TDOC Management	-0-	( 47,700)	-0-
	Overtime/Training	-0-	(\$ 597,300) <sup>3</sup>	-0-
Plan Totals		<u>276</u>	<u>\$3,138,000</u>	<u>\$26,000,000</u>

<sup>1</sup> Annualized Costs

<sup>2</sup> To Be Recommended by March 1

<sup>3</sup> Reduction in Overtime as a Result of Training Being Accomplished  
During Employees' Regular Work Hours

B. Plan Implementation

This plan, if enacted in its essential form, does provide the State of Tennessee with a prison system that:

- . Puts all able-bodied inmates to work;
- . Reduces the cost of maintaining a prisoner in state confinement;
- . Establishes a mechanism for properly implementing the classification of inmates, thereby decreasing inmate violence;
- . Provides for quality data collection, analysis and future planning;
- . Increases the quality and quantity of training for TDOC employees as well as those in other state agencies; and
- . Provides substantial financial and technical correction assistance to local governments.

The Project Staff believes it has developed a plan that can form the basis for a broad correction consensus throughout the Tennessee government structure. While the plan is clearly designed with parts that interlock, it is also capable of significant adjustment as it is tested in the review process. The reviewing authorities are cautioned, however, to be mindful of the "ripple" effect that an adjustment in one particular component may have on another.

Some possible adjustments are built into the plan. For example, the modified in-house prison population is projected to be 9,037 at the beginning of the 1984-85 fiscal year; this plan calls for a prison system capacity of only 9,098 at that time. We have planned that capacity to closely approximate projected bed need for two reasons.

First, if in June 1984, the bed needs to accommodate projected population increases in the prison system remain at their current level of 253 below projections, and given the proposed 61 surplus bed construction, the State will have 314 beds above the capacity proposed in this plan. This would allow the continued reduction of TSP population for several months without further capital investment.

Second, since a relatively short construction time is needed to complete contractor-built modular facilities, it would be prudent to delay until October 1983 any recommendation to build additional facilities in the 1984-85 fiscal year. By October 1983 the TDOC and the State Planning Office will have twelve more months of intake history to apply to projections encompassing only twenty months (10/83 - 6/85); if projections were made now to predict population growth and the system's bed needs thirty-two months in the future, their validity would be tenuous.

Present Project Staff will remain in place to respond as may be needed during the review process.

If this plan is adopted in its essential form it must be implemented during the 1983-84 year. If that is the case, an implementation schedule should be in place by June 1, 1983. Thereafter, development should be guided throughout the ensuing fiscal year by a TDOC implementation team. Such a transition team should be in place by March 1, 1983, to allow time for development of a comprehensive implementation plan in preparation for the first actual steps in the transition to be taken in June 1983.

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Many others have contributed by reviewing portions of the plan as it was developed.

ADMINISTRATIVE AND POLICY ISSUES IN  
PRISON POPULATION FORECASTING

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Few would dispute the claim that prison overcrowding is the primary issue facing corrections today. Some may suggest that judicial intervention, inmate gangs and diminishing inmate-to-staff ratios are more important, but most of these problems are either the direct or indirect result of overcrowding.

Some argue that the only way to solve the problem is to initiate a massive program of prison construction. Others suggest that there are too many prisons now, and a dramatic expansion of community-based alternatives is what's needed. Regardless of which position is adopted, it is evident that reasonably accurate forecasts of the future correctional population is a prerequisite to any intelligent solution. It is irresponsible to make major investments in either capital construction or community-based alternatives solely on the basis of ephemeral hunches about the magnitude and composition of the future population.

While these considerations may appear obvious, it is surprising that the state of the art of correctional forecasting is so primitive, considering the magnitude of the overcrowding problem. "Currently, most state and federal agencies are actively attempting to develop forecasting technology. While some have been reasonably successful, most haven't. Many have approached the problem offhandedly, assuming that they can "buy" their way

out by either hiring a consultant or assigning the task to one staff member for a couple of months.

Developing accurate forecasts is a complex and ongoing activity requiring not only technical expertise, but a thorough understanding of the workings of the criminal justice system and the impact of a host of exogenous factors on the size and composition of the population. Assuredly, if correctional forecasting were merely a technological problem, transferable models would be readily available. Regrettably, forecasting techniques that seem to work well not only utilize somewhat sophisticated technology, but also depend upon the forecaster's intuitive judgment of the likely effects of administrative and policy changes on the future population.

#### (A) Why Make Forecasts?

Institutional corrections has been with us for a long time, yet as the nation's prisons become more overcrowded it is increasingly evident that the state of the art of correctional forecasting is poor. Certainly this is not the first time in the history of corrections that prisons have been overcrowded, so it's curious that such a useful technology has not been developed already.

It is historically axiomatic that correctional administrators make little investment in forecasting technology during periods of no growth, or when growth is continual but modest. Even when population growth is substantial, if operating budgets and appropriations for capital construction outpace growth, investment in forecasting technology is negligible.

Historically corrections doesn't invest in forecasting technology until it finds itself in a crisis. The parameters of crisis are rapid growth in the population, relative decline in the operating budget, prison

overcrowding and legislative unwillingness to either divert sizeable proportions of the population, or build new prisons. In recent times this scenario has been accompanied by litigation resulting in correctional administration by court order.

These conditions constitute what many forecasters call a state of policy disequilibrium. Everything seems to be going wrong, and only a hazy image of the future is possible. Typically, it is under such undesirable conditions that administrators first seek highly accurate and disaggregated projections of the future population. Regrettably this is the worst situation in which to attempt to build a forecasting model as evidenced by the substantial number of unsuccessful attempts that have taken place in recent years.

#### (B) Objectives of Correctional Forecasts

There are three basic objectives of correctional forecasts:

- o Preparation of the operating budget for the next fiscal year
- o Planning future constructions
- o Policy simulation

#### Budget Preparation

To adequately prepare the budget, it is necessary to have a reasonably accurate notion of the size and composition of the correctional population. This must be determined one to two years in advance, depending upon whether the state operates under an annual or biennial legislative cycle. Since budgetary planning usually begins a year in advance of the advent of the legislative session, forecasts must be completed at least this far in advance.

If one has been unsuccessful in forecasting next year's population for purposes of budgetary planning, it is unlikely that forecasts for

purposes of capital construction will be any more successful. It is a truism that the further into the future a forecast is made, the more likely it will be wrong. Neophyte forecasters are sometimes surprised by the small degree of error in forecasting the population over short periods of time. This should not cause the analyst to become overly confident in the model, since small errors in short-term predictions are almost guaranteed. In predicting the population twelve months into the future, for example, a plurality of the inmates predicted are already in prison now. If the average time served is 26 months, a sizeable proportion of the prisoners in the future population are already known to the forecaster. As forecasts go beyond the average time served, errors will increase and confidence intervals will become greater.

The consequences of errors in short-term forecasts for budgetary purposes are far less than those associated with capital construction. If the population is modestly underpredicted, budgetary transfers can be made to make up for the error. More sizeable underpredictions may be compensated for by supplementary appropriations.

Generally, the technology required for short-range forecasts is rather simple. If the institution has experienced zero growth or only moderate yet consistent growth, extrapolation of the past population to forecast the future may be all that's required. Many institutions use simple linear regression over time to accomplish this task. This works well during periods of equilibrium, and may be sufficiently accurate for budgetary purposes.

#### Capital Construction

Generally, forecasts of from five to eight years into the future are required for purposes of capital construction, although this varies greatly from state to state, and is dependent upon the type of institutions planned.

Generally, the future time frame of such forecasts exceeds the average time served by a factor of two or three. This means that the greater part of the population will have turned over several times by the time one can determine whether the forecast was correct. By normal human standards, five to eight years from now does not seem like a great distance into the future. However, for the correctional forecaster, this is an extraordinary distance. A demographer considers one generation to be approximately twenty years. This is the point at which the previous generation begins to beget the next generation. Depending upon circumstance, many demographers feel comfortable in making forecasts within the current generation, or possibly into the next.

The correctional forecaster has a much shorter fuse. If the average time served is 26 months, then projections made five to eight years into the future are forecasts made over several generations. For example, forecasts eight years into the future would be equivalent to a demographer's making forecasts over 3.7 generations, something a professional demographer would only attempt with the greatest trepidation. It is understandable, therefore, that while administrators and legislators may construe predictions eight years into the future as relatively simple, the wise forecaster would approach this challenge with a good deal of care and humility.

Since correctional generations are relatively short, forecasts for purposes of capital construction can be subject to a good deal of error. It is to be expected, therefore, that the sophistication of models used for this purpose should be greater than those used for planning next year's budget. Simple linear extrapolations of past populations will likely be useless. Being linear, they possess no capability of predicting upturns or downturns in the future population, a minimum prerequisite of any model used

for purposes of planning capital construction. Probably the only circumstance in which simple linear extrapolation could be justified would be when there has been zero growth in the population, or when the growth has been modest and constant. Under the former condition, new construction is probably unneeded, and under the latter, the increase may not be dramatic enough to justify new construction.

As alluded to earlier, the more typical scenario in corrections is a legislature grudgingly granting appropriations for new construction when growth in the population deviates erratically and the system is thrown into a state of disequilibrium. More frequently than not, population growth becomes curvilinear and complex, clearly unsuitable for a simple linear model.

#### Policy Simulation

The most useful and sophisticated application of forecasting technology is policy simulation. The correctional administrator has the responsibility of advising legislative committees of the likely impact on the population of proposed changes in sentencing laws, parole standards, good-time provisions. In this case, the forecasting model can be used as a simulator to estimate the net effect of such changes on the size, composition and time served of future populations.

There are two modes of policy simulation: reactive and proactive. In the reactive mode, the administrator is trying to determine the likely effects of changes in law or procedure initiated by others. This mode is akin to what is referred to in the parlance of prize-fighting as "counter-punching". For the most part, the policy simulation practiced by correctional administrators today is reactive in nature.

The more creative and innovative mode is proactive simulation. Here the administrator acts as "chief penologist", as the attorney general acts as the state's chief law enforcement officer. Instead of

waiting for others to initiate change, the administrator uses the forecasting model to determine what the likely effects of proactively initiated policies might be. It is a sign of good stewardship for the administrator to understand the relationship between demographic trends and the prison population, and advise the legislature what the likely future impact might be. Similarly, as the state's correctional population grows, the administrator should take the lead in understanding what the future costs of securing the population might be, and the trade-off benefits associated with future construction versus diversification of community-based alternatives. Obviously, if the state's "chief penologist" doesn't understand these relationships and have an agenda for the future, it is not likely that others less familiar with the correctional process are going to come up with more constructive alternatives. It seems insufficient for the administrator simply to receive individuals sentenced by the court and hold them in as secure and humane a manner possible. The professional responsibilities of the correctional administrator are more extended and demand a more proactive approach, which in turn assumes the availability of forecasting technology with proactive policy simulation capability.

#### (C) Can Accurate Forecasts be Made?

If correctional populations continue to be as capricious as they have been over the last decade, can accurate forecasts be made? If predictions five to eight years into the future represent predictions made over multiple generations, can we do more than simply guess at the direction of change?

Operationally useful forecasts can be made as evidenced by the few states which have a good track record in this regard. The smarter question is not whether one can forecast, but the conditions under which good forecasts can be developed. Normally administrators don't invest in forecasting

technology during periods of policy equilibrium, that is, where there is either zero growth in the population, or only modest and consistent growth. Equilibrium exists because factors that affect the population are themselves monotonic or only growing at a moderate and consistent rate. Law, procedure, policy, economics, demography, social values and other relevant factors are in equilibrium. Interest in forecasting usually occurs only when one or more of these factors is thrown into a state of disequilibrium.

The optimal time to develop a forecasting model is during a period of equilibrium. During such times, the forecaster can discover which factors drive admissions and which conditions determine the time served by different sub-groups within the population. Having discovered these relationships, a model can be constructed and validated, and reasonably accurate forecasts made.

The reason that good forecasts can be made during such times is because the forecaster can assume that tomorrow will be like yesterday. The same factors that determined the population in the past will continue to do so in the future. The relationship between demography, economics, law, procedure and policy which have determined the past population can be counted on to determine the future population.

An important principle in correctional forecasting is that a model can't be developed easily during periods of profound disequilibrium. By its very nature, disequilibrium means that tomorrow will not be like yesterday; that factors that were determining the population may no longer determine it in the future, or at least not determine it in the same way. If unprecedented changes are made in the state's penal code, there may be no historical basis for determining what the likely effects might be.

since the past provides no guidance for the future. How does the forecaster build into a model sensitivity to the effects of procedures and policies which have no historical precedent?

The regrettable implication of these observations is that administrators wait until disequilibrium occurs before investing in technology, this being the worst possible circumstance in which to develop accurate forecasts. Ironically, the best time to develop forecasts is during periods of equilibrium when they are the least useful, but investments made under these conditions are more likely to produce technology which will prove beneficial as the system enters periods of disequilibrium.

(D) Is a Universally Transferable Forecasting Model Possible?

Considering the ubiquitous nature of the overcrowding problem, it may be wise for the Federal Government to sponsor the development of a single forecasting model that could be used by all state and federal correctional agencies. This appears to be an attractive idea, but there is considerable evidence that forecasting approaches proven to be successful in one state may not be transferable to another.

Regardless of approach, a forecasting model has two essential moving parts, an algorithm to predict admissions and another to predict time served. To forecast the future population, one need only add to the current population expected admissions, amortize the future population by some estimate of time served, and the result is the future population.

While this is conceptually simple, it is operationally very difficult to develop good estimates of future admissions and likely time served. The fundamental reason that successful forecasting models have a low probability of transfer is that the factors that affect admissions and time served are highly idiosyncratic from one state to another.



### Predicting Admissions

The number and type of people admitted to prison are a function of a complex set of factors both endogenous and exogenous to the criminal justice system. Certainly arrests and convictions coupled with criminal justice system policy and procedure are primary determinants. So also are such exogenous factors as the proportion of 18 to 35 year old males in the general population, the unemployment rate and other economic considerations. The extent to which each of these factors affects admissions varies from state to state. For example, some states find a substantial correlation between unemployment and admissions; others find virtually no relationship at all. Some find that admissions are a constant proportion of the total population, others have found only a marginal relationship which is not sufficient for forecasting purposes. This may surprise the uninformed, but considering the enormous economic, social and demographic pluralism of the United States, this should be obvious. For this reason alone, a forecasting model which has proven to be successful in one jurisdiction is likely not transferable to another.

Even if the factors that determined admissions were the same in all jurisdictions, there is no reason to believe that they will remain so in the future. It is not uncommon to find that a factor which in years past was highly correlated with admissions is ceasing to be so now. It may have been that the number of males in the criminogenic age range was the primary determinant of admissions, but, with a downturn in the economy, this relationship may fall apart and the primary determinant becomes unemployment. Since the rate of social, economic and demographic change is not the same from state to state, there is no reason to believe that indicators used to forecast admissions have either intra or interstate transferability over long periods of time.

### Calculating Time Served

The second essential component of a forecasting model is projection of the expected time served by the future population. This is determined partially by the length of the original sentence, whether it is determinate or indeterminate, policies for granting and rescinding good time, and parole policy. It is unrealistic to assume that these factors are the same from one state to another, or even if they were, that they would be applied with the same degree of alacrity. For this reason, procedures for predicting time served which are successful in one jurisdiction may not transfer to another. In fact, in some states, procedures used to predict time served by portions of the population can't even be transferred to other portions, since different parts of the population were sentenced before and after substantial changes in sentencing laws. This is a particularly complex problem in some states where part of the population is serving under determinate sentences and part under indeterminate, part receiving good time under a previous statute and part under a new statute.

Several conclusions seem reasonable regarding the transferability of forecasting technology. It is certainly worthwhile studying the approaches tried in other states, if for no other reason than to understand why they failed. At the generic level, conceptual approaches may be transferable, but specific equations for calculating admissions and time served certainly are not. During the current period of policy disequilibrium it would be foolish to put off the development of forecasting technology in the hopes that some sister state will achieve a technical breakthrough permitting the rapid and inexpensive transfer of the technology.

(E) Use of Multiple Forecasts

Correctional forecasting is a lot like bird hunting; if enough shot is put in the air you're bound to hit something. Forecasters sometimes hedge their bets by developing multiple forecasts. Typically, they will prepare low, most likely and high estimates of the future population. The range among these forecasts can be made large enough that the probability of error is close to zero. Obviously, the greater the range, the more likely the future population will fall somewhere within.

This is a safe, but not a particularly useful approach. Multiple forecasts are usually the product of different assumptions about the admissions or time served components of the model. Normally, the factors that affect admissions are more capricious than those which affect time served, although in cases where the legislature has changed sentencing laws, the reverse might be true. Since we must project the lead indicator of admissions in order to forecast future admissions, it is sometimes desirable to develop low, medium and high estimates of the lead indicator. This results in multiple predictions of admissions which produce multiple forecasts of the future population.

Multiple forecasts may be reasonable and defensible from a technical standpoint, but may create problems from an administrative perspective. More often than not, when three different scenarios are presented to the administrator, management will select the highest estimate for budgetary purposes. If three estimates are presented to the legislature, they usually opt for the lowest and appropriations for operations and capital construction will likely be biased by the lower estimate.

Sometimes ethical problems arise when management selects the highest forecast, and the forecaster is advised not to share other estimates with

the legislature or other interested persons. This is an ethical problem since the forecaster believes in good conscience that the most likely estimate is the best.

As a result of experience with such conflicts, many correctional forecasters offer their management only a single forecast, and qualify the estimate by describing the assumptions upon which it is based and the likely conditions which could cause it to be either higher or lower. The decision to prepare multiple forecasts should be made in light of the political environment in which the forecasts will be used, and the extent to which all parties concerned are likely to deal with the technical merits of each forecast as opposed to the political advantages of selecting any particular one.

(F) Disaggregated Forecasts

For understandable reasons, administrators frequently request disaggregated forecasts. They may want predictions of the number of minimum, medium, and maximum security inmates within the future population. Similarly, treatment personnel may want to know the future numbers of mentally retarded, mentally ill, and physically handicapped inmates.

There are several axioms which ought to be considered in developing disaggregated forecasts. First, it is probably easier to predict the total population than any part thereof. This is based upon the assumption that it is easier to hit a bigger target than a smaller one.

Secondly, the ability to predict a disaggregate portion of the population is no better than the operational definition used to define that portion of the population. It is reasonable, for example, for an administrator to request forecasts of the number of minimum, medium and maximum security inmates.

However, if the historical definition of security class is more a function of available bed space than observable behavior, the forecast is made against an arbitrary standard. In many correctional systems some inmates in medium security institutions are the least risky people who ought to be in maximum security institutions, if bed space permitted. Since historical data is used to build the forecasting model, future forecasts can be no better than the stability of definitions used in the past. Attempts to forecast the number of mentally retarded, mentall ill and physically handicapped assumes that treatment administrators can operationally define such individuals and have consistently used these definitions in the past.

A third principle relating to the accuracy of disaggregated forecasts concerns the size of the disaggregated group. The smaller the group, the greater the margin of error. Since historical data is used to develop the model, its statistical power can't be greater than the size of the historical sample used in its construction. The smaller the data base used, the less the statistical power.

Ironically, disaggregated forecasts are frequently needed to plan for the atypical rather than typical inmate. Frequently, it is the very groups which are fewest in number about which we have the greatest need to forecast, the result being that predictions are likely to be the least accurate.

Another important question concerns what the administration proposes to do differently with these special groups of inmates. If the administration doesn't propose to treat them any differently, there is serious question about the utility of making such disaggregated forecasts. Considering the time and effort it takes to develop the model and the greater likelihood that predictions will be incorrect, why gamble on making risky forecasts about

small groups of prisoners if they are not going to be treated any differently anyway.

Sometimes the reverse situation is true. An institution might be under court order to provide special treatment for the mentally ill or mentally retarded, where no such treatment was provided in the past. If this is the case, it may also be that there are no historical data on the incidence of these individuals to be used in the construction of the model. In the absence of such historical data, it may not be possible to generate disaggregated forecasts.

#### (G) One-Shot vs. Continuous Forecasts

Historically, correctional administrators don't invest in forecasting technology when it is not needed. During periods of policy equilibrium, little effort is made to forecast the future. However, if the population suddenly increases and begins to outstrip capacity, the need for forecasting becomes paramount.

In this situation, it is not uncommon for the administrator to seek outside assistance in developing a forecast. Not having developed a capability internally, and lacking the time and technical staff to do so now, the administrator may wish to buy a one-shot forecast from an outside consultant. This is understandable, but not necessarily desirable. Notwithstanding the technical expertise and professionalism of consultants, this approach has not proven to be too successful.

In developing a forecast, the consultant can do no better than the department might have done had it properly invested in forecasting technology during periods of equilibrium. The consultant will have to go back and recreate the historical profile of the prison's population, find predictors of admissions, and algorithms to predict time served as would anyone else.

The consultant, however, usually operates under the handicap of not being as thoroughly familiar with the workings of the criminal justice system as a correctional researcher with long experience might be. In a climate of disequilibrium, the consultant is usually operating within a crisis environment in which the forecast must be developed quickly. Sufficient time may not be available to thoroughly understand the interaction of demographic, economic and procedural changes on the prior population. In this circumstance the consultant is greatly disadvantaged and is less likely to come up with as accurate a forecast as might otherwise be possible.

When forecasts are developed during periods of equilibrium, there is ample time to validate the model. During such periods there is no pressure to construct new prisons or develop massive community-based alternatives. Year by year the system gains experience with the model and is increasingly knowledgeable of its accuracy and ability to explain trends in admissions, total population and releases.

When a consultant is hired it is usually during times of disequilibrium when significant decisions about future construction are eminent. There is usually no time to substantially validate the model and it must be taken at face value. The only measure of its predictive efficiency is the extent to which it has been able to predict past populations, which is regrettably a tautological demonstration in most cases.

The main reason an outsider is retained to develop the forecast is that the department lacks the technical personnel to do it themselves. Typically, when the final report is submitted, there is no one within the department competent to judge its technical merits. The forecast is usually taken on faith and when found to be incorrect, is quickly abandoned since no one inside the department is technically capable of making the modifications

necessary to correct the model. Forecasting models can be very heuristic when they are found to be incorrect. This is precisely the circumstance in which the forecaster can begin to understand the effects of various outside factors on the prison population and determine how they can be incorporated into the model. Usually, when one-shot forecasts are purchased from without, this opportunity is lost because as the disparity between the predicted and actual populations becomes greater the model is simply thrown away.

In recent years, a number of correctional systems have approached forecasting in this manner. In most cases the forecasts prepared by outsiders have been abandoned, some after relative short periods of time. These experiences reinforce the principle that forecasting technology should be developed during periods of equilibrium, and that it is a wise administrator who develops this capability internally. This does not mean that one should never seek outside advice, but a strong capability developed internally during periods of equilibrium will certainly pay for itself as the department enters periods of disequilibrium.

#### (H) Consequences of Error

Assume from the beginning that any forecast will be incorrect. The pertinent question concerns the tolerable limits of error. It is possible to develop a forecasting model which produces no more than a  $\pm 5\%$  error. To the uninformed, this may appear to be acceptably accurate, but in a system with 30,000 prisoners, a  $-5\%$  error is 1,500 prisoners, or the equivalent of three 500-man institutions. At \$70,000 a bed in construction costs, the economic if not the administrative consequences of such a small error can prove catastrophic. In a small system with a total of 2,000 inmates, a  $-5\%$  error results in 100 inmates, which is more administratively digestible

than the same degree of error in a large system. The percent error associated with a particular model, therefore, cannot be considered in isolation but must be examined in light of the magnitude of the population involved.

From one perspective, there are only two kinds of errors that can be made about the future population; the forecast can be too high or too low. From a strictly statistical point of view, the consequences of error may appear to be symmetrical. From an operational perspective, however, the consequences of positive and negative error differ in impact and quality. Consider, for example, the decision to build more prisons. The legislature is primarily concerned with the error of overprediction. This results in overconstruction, unused bed space, and wasted money. The administrator is primarily concerned with underprediction. Since appropriations for capital construction are difficult to acquire, the administration fears underprediction and the nightmare of overcrowded conditions.

In reality, the administrator's concern is much more valid than the legislature's since the operational impact of overconstruction is far less than underconstruction. Various surveys conducted by the Bureau of Justice Statistics on the condition of the nation's prisons suggest that many states operate facilities which by reasonable standards should have been abandoned long ago. The net result of overconstruction in many jurisdictions would not be excess capacity, but justification for the demolition of inadequate facilities. Considering the number of antiquated facilities in many states, even massive overconstruction would not be too great an error, since it would provide humane justification for eliminating facilities which are unacceptable by contemporary standards.

The greater catastrophe results from underprediction. In many states, capital improvement is an historically rare event. When construction is based upon underprediction, the system may have to live with the error for a long time to come. Depending upon the extent of the error, overcrowding is the usual consequence, and violence and loss of administrative control of the institution frequently follows. Such a climate increases the likelihood of litigation which has resulted in many states in correctional administration by federal court mandate. The fiscal and administrative consequences of this situation are clearly undesirable, and usually far outweigh the consequences of the same degree of positive error which may lead to overconstruction.

From another perspective, forecasting error may be divided into gross and net error. Gross error refers to the total error in the model, while net error refers to the disparity between the predicted and actual population.

A forecasting model contains multiple sources of error. Information associated with the lead indicator used to predict admissions may be incorrect. The procedure used to calculate time served may be more accurate for certain types of prisoners and less accurate for others.

To some extent, gross error is immaterial since it is really the net error that is of concern. Not uncommonly, there can be sizeable gross errors in the model, but if the errors associated with admissions are positive, and the errors associated with time served negative, they may cancel each other, resulting in a rather small net error; i.e., little disparity between the predicted and actual population. Depending upon how the model is to be used, the forecaster may accept a considerable gross error as long as the net error is small.

An interesting problem occurs, however, when the model is used to predict disaggregated populations. Depending upon the subgroup predicted, the sources of gross errors may no longer cancel each other, resulting in a much higher net error. It is also possible, of course, for the reverse to be true. The net error may be higher in predicting the total population, but lower in predicting some disaggregated portions, depending upon how gross errors cancel each other.

#### (I) Ethical Problems in Forecasting

Before concluding these thoughts on the administrative and policy issues in forecasting, it seems worthwhile to consider the issue of ethics. By and large, people who develop forecasting models are scientists. Administrators usually are not. The scientist's perspective tends to be narrow and technical. The administrator's is broader and more sensitive to human and political considerations.

Forecasting the future population is a guess at best, and the extent of error is never known until the future occurs. Scientific methodology and statistical modeling can only improve the probability of guessing correctly. Estimates of the future population are always probabilistic and never known deterministically.

The probabilistic nature of the future and the differences in mind sets of the forecaster and the administrator sometimes give rise to ethical problems. The administrator may direct the forecaster to suppress most likely and lowest projections and testify before the legislature on

the highest projection. Depending upon the manner in which this is done, it may cause the forecaster a conflict between his administrative duties and his technical knowledge.

Depending upon the nature of previous difficulties the administrator has had with the legislature, he may direct the forecaster to develop a technology which yields a predetermined forecast. The forecast is already fixed, and it is a question of developing a technology to justify it. Depending upon how badly communications are strained, this situation may also precipitate an ethical dilemma.

Fudging figures, or "retrofitting" technology to a predetermined future population, may be expedient in some circumstances, particularly in the short run. In the long run, technical and administrative integrity are the better bet. Ultimately, time proves whether forecasts were correct or incorrect. Forecasting is a technical activity in which few administrators and even fewer legislators are either interested or technically prepared to understand. Much of their willingness to endorse a forecast is a function of the integrity and track record of the analyst. If he or she has been consistent in the use of a model and has been reasonably correct in the past, there is a much greater likelihood to accept future forecasts. On the other hand, if the technical approach has been capricious, previous forecasts grossly incorrect or used merely as arbitrary mechanisms to justify what the administration wants, the likelihood of the legislature's accepting future forecasts is nil.

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