



Keys and Guidelines to a  
**SUCCESSFUL  
TRANSITION  
IN CORRECTIONS**

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**PROUD SILVER LEVEL  
PARTNER OF ASCA**



## FOR THE NEW ADMINISTRATOR

Our considerable experience both as former correctional administrators, who have faced these issues, and as correctional consultants, who have assisted state correctional agencies for the last 44 years, has led us to develop these recommendations. We have found that a new administrator is at risk of failure if these functions are not operating properly or if they are inconsistent with the expectations of appointing authorities and elected officials.

This document is designed to guide you to success. Carefully review the critical areas we have laid out and identify your system's issues and concerns that require immediate action.

Perhaps most importantly, initiate the steps from this document early in your tenure.

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## INTRODUCTION

At CGL, we know how daunting assuming the leadership of a contemporary correctional system can be, especially in this current climate. You will immediately be presented with many complex problems, such as underfunded operations, overcrowded and aging facilities, and poor staff recruitment and retention. In addition, you are challenged with assuming leadership in a time of unprecedented change. As the incoming administration, you will be expected to immediately have solutions and plans of actions to correct each of these complex problems.

CGL is here to help. We have unparalleled experience in every facet of the justice system. For the past 44 years, we have worked with every type of justice system across all 50 states and 22 countries. We have compiled our expertise in the following, easy-to-read document to help you create a plan of action, take control, and make unprecedented strides in your facility and operations. The guidelines and suggestions in this document will provide you with expert advice, actionable insight, and industry best practices on how to run your facility.

In the following pages, our experts will help you navigate a range of common issues, including:

- Underfunding and/or the need to reduce funding
- Overcrowding
- Expanding services and space for special needs populations
- Misclassification of the population due to housing option limitations

- Staff shortages due to inadequate staff recruitment and retention, infection, and/or non-competitive salaries
- Low funding to address deferred maintenance issues

By examining these issues, you will be able to develop long-term solutions for very complex and pressing challenges.

Of course, an essential first step is to understand your agency's current state and the key issues it faces. In all likelihood, based on our experience, you will face more than one of the issues noted above. You're not alone. In reality, many agencies share similar challenges, but in order to develop and implement effective policies and practices, you must take an honest look at your facilities and operations. When you find the challenges, you can find the solutions that truly meet your agency's needs.

Each chapter will review these functional areas and provide an overview of their importance for the agency. As you read, you will also find examples on how CGL reviewed and developed our recommendations and approaches. All of this is carefully gathered and presented to maximize positive outcomes for your corrections system.

Think of this document as your tool to improve overall operations and enhance your ability to affect change in the areas that lead to success.

**Ready? Let's get started.**



## TRANSITION GUIDELINE CHECKLIST

- Y  N Do you have an effective classification system in place that accurately assigns offenders to facilities that match their level of risk and are equipped to manage their needs?
- Y  N Do you perform regular staffing system reviews to determine employee and inmate safety, facility operations, community security, and your yearly operating budget?
- Y  N Does your current organizational structure determine how well the current agency administration and its associated functions support the mission and performance of the department?
- Y  N Have you conducted a thorough evaluation of management and program strategies to determine the best use of existing facilities and/or to determine how they may be modified to adapt to changing missions and security requirements?
- Y  N Have you analyzed the external and internal factors that drive inmate population levels?
- Y  N Do you have a micro-simulation model that both projects inmate population levels and reflects the impact various components of the justice system can have on the state correctional system?
- Y  N Have you analyzed the current conditions of your facility (capacity; conditions; expected life of infrastructure) that determine the levels of operational performance?
- Y  N If you have an expansion plan in place, does it have effective present-term, mid-term, and long-term capital master plans?
- Y  N Do you have a thorough understanding of the key factors driving your operational costs?
- Y  N Have you evaluated the efficiency of the resources being used relative to program and operational objectives achieved?
- Y  N Have you performed a Facility Condition Assessment in the last five years to understand the level of your facility's deferred maintenance?
- Y  N Have you identified your funding requirements for preventive and corrective maintenance and developed a strategy to obtain optimal funding?
- Y  N Are you performing regular statewide needs assessments and master plan updates to ensure they are adhering to your long-term plans?
- Y  N Are you encouraging action from your state to implement an efficient and effective maintenance plan?
- Y  N Do you have in place protocols for control of infection disease outbreaks including prevention methods and response protocols?



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## Chapter One: Key Operational Considerations

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Performance reviews provide an objective assessment that shows how well a jurisdiction manages correctional system operations and programs. These reviews address the system's operational and program effectiveness, as well as its efficiency as a whole. They require a high-level of knowledge about correctional system management and operations as well as extensive technical expertise in how to conduct performance reviews. The following are critical steps to perform a correctional system performance review:

### **STEP 1 | Validate & Assess - *Where are you now?***

Collect and analyze data that documents your current system conditions, which will provide an accurate assessment of system performance. This entails a review of existing reports, data systems, policies, and operational practices as well as any available data on program performance.

### **STEP 2 | Document Management Objectives - *Where do you want to be?***

Once you grasp the current conditions, move into documenting the correctional system performance priorities of anyone who has a stake in the system. This will show you how alternative governance systems may affect your ability to achieve objectives.

### **STEP 3 | Gap Analysis - *What's holding you back?***

The next step is a gap analysis of the disparity between management objectives and current conditions. This analysis focuses on any inconsistencies between current organizational structures and stakeholder objectives. Then, assess the relative impact that the other organizational alternatives under consideration will have on overall system performance.

### **STEP 4 | Best Practice & Benchmark Analysis - *How do you stack up to current industry standards?***

A review of current and emerging best practices in criminal justice operations and management provides context and "benchmarks" for a comparative analysis.

### **STEP 5 | Identify Factors that place the System at Risk - *Are your existing assets in jeopardy?***

The review will identify any factors including policies, practices, conditions, or trends that if left to continue under present circumstances would place the system at risk for failure or breakdown. These potential breakdowns if left unaltered would not only erode the confidence of the public in the system but also risk the safety and security of the system and its staff, inmates and the community as a whole. This issue will be identified and options for corrective action specified.

### **STEP 6 | Provide Informed Solutions - *What are your best options available?***

During this final stage, the extensive data you have collected along with the analysis you performed will combine to produce comprehensive, informed recommendations complete with rationales, cost/benefit analysis, fiscal impact, and implementation plans to improve operational performance. The analysis will answer the following key questions:

- **Accountability:** Does the system of oversight establish clear parameters and direction for management while holding administrators accountable for operations, policies, programs, and spending decisions?
- **Transparency:** Are policy and operational issues clearly communicated to the public?
- **Cost-effectiveness:** What system provides the most effective oversight and control over spending and revenue generating activities?
- **Support:** How can administrative and ancillary functions be provided efficiently and effectively?
- **Performance:** What system provides the most effective support to achieve operational and program objectives?

## CLASSIFICATION

A correctional system relies on the use of objective classification systems to provide critical information that will assign offenders to facilities that are consistent with their security needs. By matching custody levels with an offender's level of risk, classification systems help to minimize the potential for prison violence, escape, and institutional misconduct.

Accurate classification ensures the allocation of valuable high-security beds to the offenders that require that level of oversight. Classification systems also assess offender needs and ensure that inmates are placed in 'appropriate' programs based on their criminogenic risks and needs. A properly functioning classification system, in effect, acts as the "brains" of correctional system management.

Correctional systems typically conduct classification assessments of offenders as they enter the system. This is to ensure they receive a level of security commensurate with the risk they present and to identify their program or treatment needs. Offenders will then receive periodic reclassification reviews during their incarceration that may result in changes in their security classification based on their conduct and behavioral record within the system.

It is essential that an objective offender classification system include the use of accurate, or valid, criteria to assess a prisoner's custody level. This criteria must then produce consistent, or reliable, decisions.

**As a note:**

*When we use the term validity here, we are referring to how accurately the classification system predicts an offender's behavior and assigns him or her to an appropriate risk level.*

The classification system must predict a prisoner's risk to self, other prisoners, and staff; risk of escape and to the public. The system should classify offenders relative to their propensity to comply with institutional rules and regulations, commit violent acts, and/or to attempt escape while incarcerated.

**Another note:**

*Reliability refers to consistency in making classification decisions. A reliable system should consider whether the same decision will be rendered if the classification assessment is repeated by the same or a different staff member. In general, the more complicated the classification process, the less reliable it will be. An unreliable classification instrument will not produce valid results.*

Correctional systems are increasingly using classification or risk assessment instruments for key decisions on offender management. For example, classification instruments may identify offenders that are appropriate for early release and establish the level and form of supervision commensurate with their risk profile.

## STAFFING ROSTER MANAGEMENT

The most expensive part of running a correctional system is the cost of personnel; it is also one of the most critical factors driving operational performance. Appropriate staffing affects employee and inmate safety, facility operations, community security, and your yearly operating budget. Having the right number and type of personnel in your correctional facilities should be one of your top priorities. A thorough review of system staffing requirements provides the following benefits:

### **Improving Management and Control**

Are staff members deployed in the proper locations and at the optimal time? As with many questions concerning correctional staffing requirements, the answer depends on the facility. A staffing study evaluates facility posts and, based on multiple factors specific to your facility and/or program, identifies if they are being prioritized appropriately to ensure safe and efficient operations. Correctional facilities and programs are not one-size-fits-all, and neither are their staffing needs.

### **Documenting and Justifying Resource Needs**

One of the biggest obstacles of budgeting and capital planning is being able to defend and justify resource needs. An independent staffing assessment helps you evaluate those needs and arrive at staffing decisions that are purposeful, informed, and defensible. The research and findings gathered during the assessment arms you with the comprehensive, accurate data you need to support your resource goals and objectives.

### **Assessing System Risks and Identifying Necessary Security Improvements**

Do your institutional rosters and deployment practices enable facilities to operate in a manner that is consistent with their institutional missions, department policy, and accepted principles of correctional management? Are additional posts required to improve security or facility operations? Performing a staffing assessment will provide clarity.

### **Reducing Staff Overtime**

In addition to being costly, excessive overtime can lead to job dissatisfaction among personnel and eventually even resignations. The best way to prevent this is to have a well-thought-out post plan in place. A staffing study lays the framework for intelligent post planning. By analyzing multiple factors – including the current staffing level and normal operating practices, to name only a couple – this helps define acceptable levels of overtime utilization that will help you identify the possible remedies and resources at your disposal.

### **Improving Personnel Effectiveness**

Performing a professional assessment of your correctional staffing may reveal important elements that are missing or in need of modification, some of which can have profound impacts on the effectiveness of personnel. The results of a staffing study may identify an inefficiency or area of weakness that can be remedied through additional staff training or resolved completely through the introduction of new technology, thus freeing up staff for more critical responsibilities or post assignments.

### **Saving Money**

The most expensive part of running a correctional facility over the course of its life is the cost of personnel. Changes in factors that affect staffing requirements, such as classification levels, inmate programs, or institutional missions, may require modifications in staff deployment or policies to ensure the most efficient and effective use of resources.

Over time, distortions in staffing practices may develop. Without regular staffing reviews, these distortions can grow to have profound consequences on the efficiency of your personnel, the safety of operations, and your bottom line. That's why even the most successful staffing policies and plans require ongoing review and analysis.

## **ORGANIZATION STRUCTURE AND FUNCTIONAL RELATIONSHIPS**

How a correctional system is organized will determine the flow of information through the system, establish where decision-making authority resides in the chain of command, and identify the means used for ensuring accountability. Issues such as the amount of autonomy provided to field operations versus maintaining a system of central oversight have a profound impact upon how a correctional system operates. Implementing your objectives requires an organizational structure that is responsive to your direction while still providing the discretion for managers to manage.

Assessing the organizational structure will determine how well the current agency administration and its associated functions support the mission and performance of the department. The assessment should identify organizational changes, policies, resources, or other measures required to attain a high-level of effectiveness and efficiency. The review should ensure that current organizational structures meet the following criteria:

- Related functions grouped within the same organizational entity
- Clear lines of authority and accountability
- Efficient ratios of supervisors to line staff, including supervisory control over three to ten direct reports, and few (if any) one-on-one reporting relationships

- Effective use of outsourcing functions and contracted staff for service delivery, business risk, and cost
- Appropriate use of information technology
- Absence of non-mandated/nonessential services
- Use of sound resource allocation and scheduling techniques
- Appropriate balance between workload and staffing levels
- Use of routine management and operational reports that incorporate appropriate performance measures

In most states, correctional systems are now one of the largest consumers of public resources. Taxpayers demand a high level of efficiency and professionalism in the administration of these systems. Optimizing the organization and management of your department is an essential step toward meeting these expectations.

## **ASSESSMENT OF THE SYSTEM'S FACILITY CAPACITY BY FUNCTION AND SECURITY LEVEL**

The changing dynamics of correctional system populations requires a careful and ongoing assessment of how to best use the system capacity to meet security and program challenges. In the past, diverting low-level offenders out of prison has resulted in many state correctional systems housing a population that is predominantly characterized by serious offenders, which poses significant management issues. In many cases, facility capacity was not designed to manage offenders of this risk level. Such an environment requires a thorough evaluation of management and program strategies to hone in on the best use of existing facilities and/or to determine how they may be modified to adapt to changing missions and security requirements.

Another challenge facing correctional system administrators is the increasing special needs populations, which dictates unique approaches to management and security.

Such populations include female offenders, transgender inmates, the geriatric population, offenders with mental illness or developmental disabilities, inmates with chronic illness or in need of assisted living, youthful offenders, violence-prone inmates with severe behavioral issues, lifers, inmates in need of protective custody, and condemned inmates. These different groups have disparate housing, program, and security needs that must be taken into account when assessing the types of capacity and operations required for effective system-wide management.

A thorough assessment of system resources provides agency administrators with a precise understanding of the tools at their disposal. These tools allow them to address capacity needs, as well as options to modify the system to better address security, program, and operational requirements.



## Chapter Two: Key Facility Considerations

### ANALYSIS OF POPULATION PROJECTIONS

We know you face significant challenges in managing the different components of a correctional system. You need solid research, comprehensive analysis, and reliable forecasting techniques to make educated policy decisions. This is not as simple as asking, "What will the future prison population be?"

You need to know:

- *What are the reasons behind prison population changes?*
- *How will future changes affect the system?*
- *How can different policies influence the forecasted population?*
- *How are external factors impacting the size and composition of the population?*

These are important questions and their answers form useable population projections - a foundation for correctional system policy development.

Start your planning and management strategy with a careful, comprehensive examination of the many factors at work in the justice system. Understand how these factors share a relationship and influence each other. Next, work on modeling. Each state criminal justice system has unique characteristics, all of which need to be modeled to understand the causes behind prison population growth and how to control it. It is essential to have a policy simulation model that both projects inmate population levels and reflects the impact that the various components of the justice system can have on the state correctional system. Traditionally, correctional agencies have used time series or trends analysis, along with basic

demographic analysis, to develop future estimates of prison population levels. This has not always been accurate, though, especially where policy is very dynamic. These models rely heavily on past trends; they cannot estimate future populations based on current or future criminal justice policies and sentencing legislation.

In a world with a complex and dynamic justice system, CGL recommends a new generation of micro-simulation models to develop state criminal justice system projections. These models can help you estimate the effects of current policies and the likely consequences of new policies on correctional system populations.

These micro-simulation models are designed to mimic the flow of 1) the current prisoner population 2) the expected new admissions over the projection horizon (influenced by internal factors). Based on stochastic entity simulation methods, the models mimic the actual flow of the correctional system **based on current and future probabilities** of being:

- admitted to prison under a particular legal status, with a certain sentence for a certain crime
- released at a certain time based on probabilities of receiving good time
- released on parole

Those who are released on probation or parole have a certain probability of being revoked for a new crime or technical violation and returning to prison for a certain period of time before being re-released.

All of these “probabilities” are based on the current behavior of decision makers.

CGL’s preferred micro-simulation models rely on detailed analysis of the **external and internal factors** that drive inmate population levels.

**External factors** include the demographic, socio-economic, and crime trends that produce arrests and influence an offenders’ first entry into the criminal justice process. Criminologists have long noted that certain segments of the population have higher chances of becoming involved in a crime and being arrested or incarcerated. This “at-risk” population generally consists of younger males. When the at-risk population is expected to increase in a jurisdiction, one can also expect some additional pressure on criminal justice resources.

Most recently, we have seen the significant impact that the COVID-19 virus has had on both the size and composition of the incarcerated population. Systems need to understand how this factor is impacting its system, how it is potentially changing the

demographic and risk factors within the population, and how it has and will impact its capacity and security/classification demographics.

**Internal factors** are the various decisions within the criminal justice system that determine prison admissions and length of stay. These decisions begin with police and end with correctional officials who, within court-imposed sentences, have the authority to release, recommit, give and restore a wide array of good time credits, and offer programs that may reduce recidivism.

These models have successfully generated prisoner population forecasts in over 50 state and local jurisdictions across the country. Micro-simulation models have been cited by the Government Accountability Office (GAO) as the most sophisticated and well-established projection methodology available to correctional agencies today. The projections from these models provide correctional system administrators with invaluable information to base planning and policy development.

## UNDERSTANDING THE CAPACITY, CONDITIONS, AND EXPECTED LIFE OF YOUR INFRASTRUCTURE

The condition of your facility’s infrastructure can determine the levels of operational efficiency and effectiveness that your system can reach. The number of beds, the fit between facility population levels and institutional support systems, and the condition of those systems are all key determining factors in operational performance. Likewise, the useful life of the infrastructure will drive decisions on how to invest valuable capital development resources.

### **STEP 1** **Analysis.**

These actions will help you understand current infrastructure conditions and needs. To perform the analysis, involve maintenance and staff personnel as you:

- Review any existing documentation
- Examine the structure
- Identify deficiencies and concerns
- Classify and prioritize deficiencies
- Anticipate future issues
- Recommended future investigations
- Recommended repairs
- Identify opportunities

**STEP 2**

**Documentation**

Document any improvements that are needed to meet contemporary correctional standards and safety codes. Be sure to include updates to accommodate new technology and other necessary changes to make the space suitable for future population and service delivery needs.

**STEP 3**

**Cost/Benefit Analysis**

This can address issues at any physical facility or

system that are deemed deficient. These options may include maintenance programs, renovation, and replacement, with both capital and operating costs taken into account.

**STEP 4**

**Maintenance and Life Cycle Cost Matrix**

Include details for life expectancy, replacement costs, extended facilities maintenance costs, projected staffing costs, and estimated operating expenses.

## DEPARTMENT EXPANSION PLANS

Dynamic conditions and populations drive policymaking, and state correctional systems are also dynamic to accommodate this. Understanding how these changes affect system requirements is essential to articulating your plans for expansion.

Perhaps you're exploring a program-focused expansion, meeting the needs for new health care or mental health treatment facilities. Or maybe your facility is in need of a population-based expansion to accommodate the rising number of inmates in the system. Another option could be a management-oriented expansion to develop specific resources to support the system, such as improved intake facilities. Whatever your needs, an effective expansion plan requires present term, mid-term, and long-term capital master plans to address system needs.

Plans should include operational cost models and an evaluation of, among other important considerations:

- Facility needs
- Staffing
- Operations
- Costs
- Schedules
- Environmental
- Safety
- Security
- Court settlements

This will be a process for you to identify agency goals and establish a roadmap to achieve objectives. The long-term operating costs associated with expansion plans often far outweigh the upfront capital costs, so it is important that your planning clearly identifies both the initial capital costs and the lifetime operational costs associated with the plan.

"Suitability for purpose" is another key factor in master planning. The current pandemic has demonstrated the need for correctional systems to

incorporate adaptable, scalable design techniques to accommodate shifting inmate populations. Changing conditions can have a profound impact on how expansion plans affect your facility. Evaluating the “suitability for purpose” of existing facilities in conjunction with a state’s projections for the long-term population aligns existing facility capacities with the changing inmate population. This offers you the opportunity to develop options to improve facility safety and security. The development process for these initiatives includes the following key phases:

**PHASE 1**

Hold initial meetings with department management to define and clarify the overall scope of the expansion plan, clarify the lines of communication and protocols, and finalize the project schedule.

**PHASE 2**

Gather data on existing facilities, programs, and operations required to support analysis and develop activities.

**PHASE 3**

Analyze and develop facility use plans. The data you gathered in Phase 2 will help develop needs, space projection models, and space requirements for all facility components. It will also help you analyze the systems, operations, activities, and utilization of all existing correctional facilities.

**PHASE 4**

Draft master plan alternatives. This provides options for renovation and relocation of facilities, estimation of the costs of ownership, alternative implementation schedules, and a concepts workshop with key stakeholders.

**PHASE 5**

The final master plan. The master plan represents the culmination of your planning efforts and provides the department with a detailed roadmap to achieve expansion plan objectives.



## Chapter Three: Key Cost Considerations

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### ACHIEVING OPERATIONAL COST EFFICIENCY

Correctional system operations represent one of the largest expenditures in every states budget. As such, agency administrators are under substantial pressure to restrain spending and improve operational efficiency. However, simply reducing the level of resources dedicated to a correctional system or prison does not necessarily result in greater efficiency if the reduction impairs the organization's ability to achieve desired outcomes. An analysis of efficiency looks instead at achieving the optimal allocation of resources across alternative means to achieve organizational objectives.

Effective action to maximize operational efficiency requires a thorough understanding of the key factors driving system costs and the context for managing its budget. The key cost drivers in any correctional system are those resources used to provide basic services in the management of daily operations. This includes staffing, which can represent 65 – 75 percent of total system operating costs. Contracted services for programs such as health care, mental health, education, program services, maintenance, and dietary services are typically the next largest category of prison operational costs. Finally, facility physical plant design and condition have a major impact on system resource requirements.

Correctional systems do not operate in a vacuum, but instead typically operate under significant constraints that can have a major impact upon system efficiency. Factors such as personnel codes, labor contracts, and procurement rules place limits on management ability to achieve efficient operations. A fair assessment of DOC efficiency requires identifying, and if possible, establishing the impact of those factors that limit how the DOC may manage its resources to achieve system objectives. With an understanding of these factors, one can then evaluate the resources used by the system relative to program

and operational objectives achieved. Such a review evaluates the efficiency of the DOC's approach to achieving specific program outcomes and system goals in terms of three criteria:

- ***Are there other available alternative means to achieve the same objectives with the use of fewer resources?***
- ***If not, do current services, programs, and operational systems achieve objectives with the fewest resources possible?***
- ***Is the level or organization of agency resources an issue where DOC operational objectives are only partially met or not met at all?***

A comprehensive analysis of operational efficiency will apply these criteria to each major operational unit or program in a correctional system. Based on knowledge of "best practices" in correctional facility operations, the analysis should assess the impact of potential application of "best practices" in staffing, health care, contract service management, and space utilization; and then determine the conditions required for effective implementation of these types of policy and operational changes.

The result of this review will be development of a comprehensive understanding of the factors underlying correctional system resource needs; identification of potential means to improve operational efficiency by reducing spending while maintaining or improving system performance; a detailed plan with specific actions required for implementation of recommendations for improving operational efficiency.

## CURRENT COSTS OF MAINTAINING INSTITUTIONS

There are many factors to consider for your facility; understanding the resources that maintain your facility's infrastructure will help you will grasp the value of their function. First, obtain a breakdown and cost of the key components. These components should be benchmarked against other correctional

facilities in the system, or from other systems, to provide a better understanding of where your facility stands. To help you get started with this, we have created the following lists of key components and benchmarks:

### 1. Key Components:



**Human Resources**  
*(Maintenance supervision, staff, administrative support, inmate labor, benefits)*



**Materials**  
*(Consumable inventory, critical spare parts, vehicles, equipment)*



**Subcontracted Services**  
*(Certifications, service agreements, corrective work)*



**Capital Improvements and Projects**  
*(System upgrades, renovations, lifecycle replacements)*



**Utilities**  
*(Electricity, gas, water, wastewater, etc.)*

### 2. Benchmarks:

- Cost per square feet or bed
- Preventative Maintenance (PM) Compliance
- Corrective Maintenance (CM) Completion Rate
- Backlog of CM per square feet

### 3. Recommended Staffing and Spend Rate for Preventive Maintenance in Prison Facilities

Facility Size (square feet)	Minimum Recommended Staffing*	Recommended \$/SF**	Age Factor Additional \$/SF		
			<10 yrs	15-20 yrs	>30 yrs
100,000	3-5	3.00	.15	.50	.75
250,000	7-9	2.75	.15	.50	.75
500,000	15-17	2.65	.12	.40	.60
1,000,000	30-35	2.50	.10	.40	.60

\* Includes all necessary trades, management, and administration

\*\* Includes all relevant costs, including labor, materials, subcontractors, etc. but does not include utilities or capital projects

## THE CURRENT COST OF DEFERRED MAINTENANCE

The majority of America's operational prisons were built between 1980 and 1999. Once these prisons were built, the demand for new beds dramatically declined, as did funding for new facilities. Operational funding for state prisons also plummeted, resulting in neglected facilities over a long period. Meanwhile, inmate populations continued to rise in these aging facilities. In fact, the majority of inmates in the U.S. today are housed in facilities that are 25 to 40 years old.

Deferred Maintenance is the total of systems that do not function or have gone without upgrade or replacement beyond their useful life. Some of the most common examples are computer-based electronic security systems (seven-year life cycle), heating and roofs (20-year life cycle), and ventilation and air conditioning systems (eight to 20-year life cycles).

Understanding the level of your facility's deferred maintenance starts with the Facility Condition Assessment. The assessment's outcome develops a

prioritized list of infrastructure issues, which could be due to an ending lifecycle, poor maintenance practices, misuse, or vandalism. Projects are developed from the list of infrastructure issues, including plans to correct the deferred maintenance deficiencies while considering the cost for each system.

If a Facility Condition Assessment has not been performed on your facilities in the last five years, a new one should be performed.

The assessment will also give you a score for each facility called its Facility Condition Index (FCI) and is mathematically represented as:

$$FCI = \frac{DM}{CRV}$$

**DM** = the cost of maintenance deficiencies, or Deferred Maintenance

**CRV** = the total cost of complete facility replacement, or Current Replacement Value

The FCI ratio is utilized as a ratings system to indicate the relative facility condition:

< 0.05 = ..... Good  
 0.05 to 0.10 = .... Fair  
 0.10 = ..... Poor  
 0.5 = ..... Replacement

Proper maintenance costs less than restoring a Poor facility to Fair conditions. Annually, it costs \$3.42 per day, per inmate to fund lifecycle replacement or proactive maintenance and avoid deferred maintenance. However, to bring the system out of Critical Systems Failure and return it to Fair condition costs \$27.57 per inmate, per day in the first year, and then \$3.42 per inmate, per day for the remainder of the facility's life.\*

For existing detention and correctional spaces, those who are responsible for funding facility maintenance must receive a comprehensive education. The goal of this education is to convey an understanding of deferred maintenance's true and accurate cost. Bondholders' investments not protected through proper maintenance performance, taxpayers' infrastructure investments not reaching their anticipated life expectancy, infrastructure failure, escapes, etc; are all food for headlines.

\* These calculations are made in 2011 dollars.

## FUNDING STRUCTURE AND ALTERNATIVES

With the prison infrastructure crisis at an all-time high and states being forced to replace their old prisons, we may be entering our next building boom. For example, SCI Phoenix, Pennsylvania’s newest prison, will replace the aging SCI Graterford, which opened in 1929. The prison’s \$400 million price tag gets a lot of attention. Likewise for the State of Utah, where the new Utah State Prison may cost \$550 million to house 4,000 inmates. Meanwhile, Alabama officials are considering building four new state prisons for about \$200 million each, and the State of Kansas is exploring options to replace its Lansing Correctional Facility, parts of which have been around since 1868.

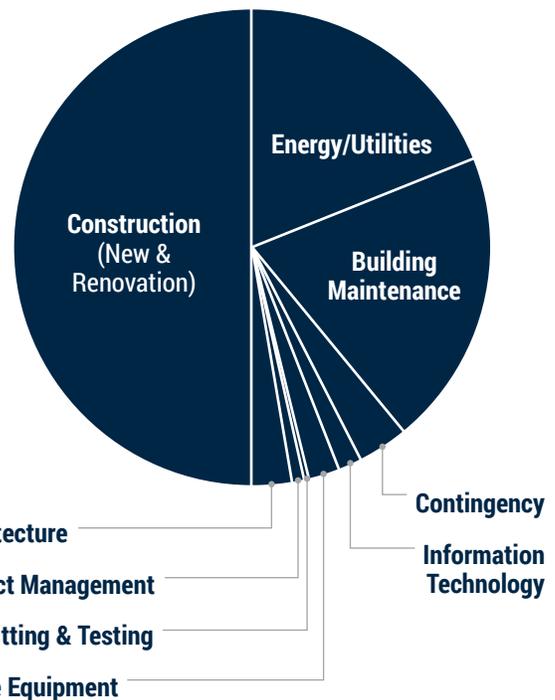
There are almost 500 prisons nationwide that were built between 1980 and 2000 and are in need of major upgrades, repurposing, or replacement. What can a Director learn from these trends?

### LESSON 1

#### Change the Funding Paradigm.

First, we need to change the approach to funding prison operations so that long-term maintenance funding is included as part of the initial capital investment. By planning for proper maintenance, we can even reduce long-term capital investments.

Agencies must convince their legislatures that funding preventive and corrective maintenance is the right thing to do. Agencies are in the best position to educate lawmakers of the risks and consequences that occur when facilities are neglected. Through education, we can help them recognize that the capital funding process for long-term operations and maintenance is even more important than the initial investment in construction. Maintenance and utilities can make up 30 to 50 percent of the long-term spend.



Based on a study commissioned by CGL and performed by Whitestone research in 2013, corrections and detention facilities that don’t have an established and managed preventive maintenance system spend an average of \$4.98 per square foot, per year on facility maintenance. This is 32% higher than facilities with regular preventive maintenance. State prisons that opened between 1980 and 2000 could be spending an additional \$278 million per year on deferred maintenance, equipment failures, and unnecessary equipment replacement.

### LESSON 2

#### Fail to Plan? Then Plan to Fail.

Corrections agencies should perform regular statewide needs assessments and master plan updates to ensure they are adhering to their long-term plans. Regular updates to these guiding

documents can help you quickly find problems and make incremental changes without having to spend \$400 million at a time. Be sure to acknowledge and define capital, regular maintenance, and life cycle maintenance funding requirements in this document. This way, future funding needs recognize that it is cheaper to fund maintenance than to avoid it.

### LESSON 3

#### **Start Immediately. Stop the bleeding.**

Encourage your state to move quickly to implement Prison Maintenance Program Management, which will act as a transition from performing little (if any) preventive maintenance to a full preventive maintenance program. By increasing the amount of performed preventive maintenance, states with extremely high maintenance backlogs will be able to achieve more manageable levels of deferred maintenance, possibly even eliminating it.

#### **Alternatives for Current Facilities**

If operating and capital funding cannot be acquired through typical channels, there are alternative options from the private sector. The Contracted Model, for example, gives Public Private Partnerships the opportunity to engage correctional facility specialists to take responsibility for the lifecycle and maintenance funding and performance with added contractual accountability. Risk shifts to the contractor, for a cost, but the agency reduces overall headcount and management responsibility without giving up any

operational control. The contractor is obligated to provide the right number and type of technical personnel in the facility to ensure continuous operation. The Contracted Model minimizes day-to-day agency involvement.

**Pros:** Low long-term cost, lower overhead, risk shifted away from the agency, contractually-mandated accountability, operational control, predictable facility performance, lower energy costs, consistent budget, managed life cycle, all maintenance performed

**Cons:** Higher short-term costs, contractor management, less direct involvement

Regardless of the methodology, agencies must have functional facilities that serve the community and make good use of public dollars. The recovering economy gives us the opportunity to re-establish maintenance programs and improve upon old means of providing services. To go in this direction, you must be sure to have the necessary ammunition to justify the budget requests and resources to do the job when the money comes through.



**KEYS AND GUIDELINES TO A  
SUCCESSFUL  
TRANSITION**

