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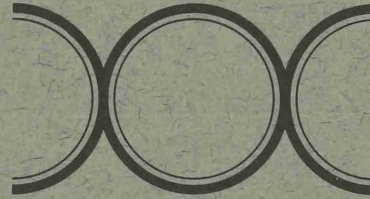
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Correctional Officer Staffing 2000 Report to the Legislature

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Correctional Officer Staffing 2000 Report to the Legislature

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January 2000

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Executive Summary

This report was mandated by the 1999 Minnesota Legislature to address:

- The ratio of supervisory to non-supervisory officers in Minnesota correctional facilities
- The criteria and average length of time for promotion to supervisory positions
- The salaries of supervisory and non-supervisory officers
- The ratio of all officers to inmates
- The ratio of supervisory to non-supervisory officers in comparable states, the United States Bureau of Prisons (BOP), and the private sector
- The salaries of supervisory and non-supervisory officers in comparable states, the BOP, and the private sector
- The ratio of all officers to inmates in comparable states, the BOP, and the private sector

Legislative initiatives, public attitudes, and correctional management philosophy have more to do with the kind of correctional system a state operates than does architecture or facility location. Minnesota and its correctional system are unique.

How Minnesota differs from other systems

- Minnesota is unique in the number of offenders eligible for minimum-custody programming. At 6.1 percent, Minnesota is lowest in the nation in offenders classified as minimum custody.
- Minnesota currently has the lowest incarceration rate in the country according to recently released Department of Justice Statistics.
- Most of Minnesota's medium-security population is housed in converted state hospital buildings. The rooms cannot be locked at night due to lack of in-room toilet facilities and safety regulations.

Selection criteria

Selection criteria were chosen to rank states according to demographics and economic factors as well as system similarities. Here is a listing of the categories:

Per diems	Population
Number of adult facilities	Adult inmate population
Unemployment rate	Incarceration rate per 100,000
Crime rate per 100 people	Classification data (five categories) – select
Per capita income	ten comparable in each category

States selected for the study were Maine, Massachusetts, Nebraska, New Hampshire, and New Mexico. States were selected on the basis of the number of comparable points received in the selection criteria.

Two private correctional systems declined to participate in this survey. The U. S. Bureau of Prisons participated in only portions of the survey.

Salary comparisons

The report shows surveyed systems ranked from highest to lowest mean or midrange salaries and depicts current annual salary ranges for correctional officers, lead workers, and supervisors. Minnesota ranks third for officers, second for lead workers, and highest for supervisors.

Mean salary and per diems

The report shows surveyed states ranked from highest to lowest mean annual salary and contrasts this with their system per diems. This demonstrates a nexus between salaries and per diems but shows that other factors can have impact. Minnesota ranks second in both mean salary (across all ranges) and in per diems in the states that were surveyed.

Officer retention

Pay is a significant factor in the hiring and retention of correctional officers. The value of an experienced work force in a correctional setting cannot be overstated.

Minnesota correctional officer salaries are compared with those of other surveyed states and contrasted with rates of turnover from all causes. The second highest mean salary paid by Minnesota may be partially responsible for the second lowest rate of turnover shown.

Per capita income comparisons

Differences between correctional officer salaries and per capita income are the result of many factors.

Mean salaries for Minnesota correctional officers across all ranges compare more favorably with per capita incomes for Minnesota residents than do similar comparisons involving other surveyed systems.

Unions in surveyed states

Of systems surveyed, only officers from New Mexico are not represented by a union.

Promotional opportunity

The usefulness of information related to the average length of wait before achieving promotion to a specific rank is of dubious value since promotions are not available for everyone and many officers do not desire advancement. Factors that affect the length of time necessary for promotion through the officer ranks are:

- The size of the facility work force and the age of incumbents in top positions
- Facility turnover due to other opportunities within the system
- System turnover due to the economy or to changes in retirement opportunity
- The age and history of an institution
- Changes in laws or policies with respect to hiring and promotional practices
- Labor agreements
- Individual goals and preferences of employees related to position requirements

The current average length of time from date of hire to promotion to sergeant in the adult facilities for those who are promoted is 7.80 years.

The current average length of time from date of hire to promotion to lieutenant in the adult facilities for those who are promoted is 11.77 years.

Criteria for promotion to supervisor

Minnesota seems to hold officers to a relatively high standard of performance relative to eligibility to promote to a supervisory position:

- Two years of experience as a corrections officer (CO) 3, canine officer, or case manager. Two previous annual reviews with no below standard ratings. No substantial discipline within two years. Forty hours of relevant training in each of two previous years is required.

Ratios of inmates to officers

Ratios of inmates to officers vary significantly from one institution to another. Variables affecting these differences relate to physical structure of the facility, programming, and inmate classification.

Surveyed states ranged from a high of 4.6 for Nebraska to a low of 2.4 in Maine. Minnesota's ratio is in the middle with about 3.5 inmates per officer.

Line officer to supervisor ratios

Surveyed systems show that only New Mexico, at 7.8 officers per supervisor, has a lower rate than Minnesota's 12.3.

Structural information

Just as salaries drive costs in a correctional system, architecture and technology are keys to determining the numbers of staff required to safely operate the system. Modern facilities constructed as prisons are more efficient than complexes that have been converted into prisons. In Minnesota, two medium-security facilities occupy former state hospital sites. Another is a

converted juvenile center. These sites present security challenges not found in most other systems.

Shown here are the percentages of system populations that can be securely confined during the midnight shift or in the event of major disturbance. Nebraska and New Mexico data cannot be interpreted.

<u>System</u>	<u>% in securable rooms</u>
Minnesota	46.4
Maine	100
Massachusetts	80
New Hampshire	100

Unit size

The number of living units within a facility, to a large extent, determines the number of staff necessary for operation. The three medium-security institutions in Minnesota have achieved some economies by multiple-cell living arrangements, but there are limitations to the number of additional inmates that a facility's infrastructure can support.

The following chart compares the Stillwater facility with the three Minnesota medium-security institutions showing:

- Total population
- Number of units
- Average unit population
- Correctional officers assigned to the midnight shift
- Inmate to staff ratio during the midnight shift

<u>Facility</u>	<u>Pop</u>	<u>Units</u>	<u>Unit pop</u>	<u>COs</u>	<u>Ratio</u>
Faribault	1,058	11	96.18	29	36.48
Lino Lakes	1,064	16	66.5	32	33.25
Moose Lake	768	8	96	24	32
Stillwater	1,271	8	158.87	17	74.76

Following is a similar chart that compares Minnesota with the other systems surveyed. This information was requested of all systems. Larger systems did not provide useful information on this question and are not represented in the data.

<u>System</u>	<u>Pop</u>	<u>Units</u>	<u>Unit pop</u>	<u>COs</u>	<u>Ratio</u>
Minnesota	5,570	67	83.13	139	40.07
Maine	1,645	10	164.5	150	10.96
Nebraska	3,579	48	74.56	129	27.74
New Hampshire	2,272	22	103.27	50	45.44

The classification factor

The report reviews classification data on inmates confined to state systems surveyed. Minnesota clearly has a population assessed at a higher-security classification than do the other surveyed states. This has an effect on the cost of confinement.

Crime rate compared with rate of incarceration

The report contrasts crime rate with rate of incarceration. This data provides insight about how a state's criminal justice system responds to crime and the resulting cost implications.

Per diems

Trying to match per diems claimed by other correctional systems without an extensive understanding of all aspects of those organizations does not make sense. Raw per diem information from statistical sources is highly subject to interpretation. After compensation rates, the factors that have the most impact on per diems within a correctional system are:

- Structural factors such as size and number of units, adaptability of infrastructure to technology, facility location and similar concerns
- Correctional philosophy and related laws
- Management practices

Private correctional systems

The report discusses the possible negative impact that private correctional systems can have on state systems.

Introduction

This report was mandated by the 1999 Minnesota Legislature to address specific questions related to correctional officer staffing at correctional institutions. Specific language in the bill calls for a review of:

- The ratio of supervisory to non-supervisory officers in Minnesota facilities
- The criteria and average length of time for promotion to supervisory positions
- The salaries of supervisory and non-supervisory officers
- The ratio of all officers to inmates
- The ratio of supervisory to non-supervisory officers in comparable states, the United States Bureau of Prisons (BOP), and the private sector
- The salaries of supervisory and non-supervisory officers in comparable states, the BOP and the private sector
- The ratio of all officers to inmates in comparable states, the BOP, and the private sector

Language in the bill required that Minnesota's correctional system be contrasted with comparable systems. The selection process quickly established the difficulty in identifying similar systems.

Legislative initiatives, public attitudes, and correctional management philosophy have more to do with the kind of correctional system a state operates than does architecture or facility location. Minnesota and its correctional system are unique in a number of ways.

Criteria used to identify similar systems were:

- Per diems
- Number of adult facilities
- Unemployment rate
- Crime rate per 100 people
- Per capita income
- State population
- Adult inmate population
- Incarceration rate per 100,000 state citizens
- Classification data (five categories)

Surveys were prepared to quantify this information, and a manager from each Minnesota correctional facility was assigned to act as a liaison to selected jurisdictions outside of the state to gather comparison information.

While the legislative language requires only the specific information listed above, this report provides interpretation of the data in order to ensure meaningful review.

How Minnesota differs from other systems

The wording of the legislative charge requires a study of states with comparable correctional systems. Upon analysis, it quickly became clear that most correctional systems are very different from one another. This is particularly true when comparing Minnesota with other state systems:

- The number of separate facilities within a system, and the distances between them, significantly affect costs and management objectives. Most states with adult facilities numbering in the single digits are either much smaller geographically or far less populated than Minnesota.
- Minnesota is unique in the number of offenders eligible for minimum-custody programming. At 6.1 percent, Minnesota is lowest in the nation in offenders classified as minimum custody. The result is a system that houses, as a whole, a more dangerous population. More specifically, other states may have more dangerous individual offenders but Minnesota's correctional population, taken as a whole, requires a higher security classification. This factor, when tied to a low rate of incarceration, causes higher per diems but a lower overall system cost.
- Some southern tier states with large minimum-custody populations reduce per diem costs by building lightly constructed fenced compounds for these classifications. This is not an available option for Minnesota due to climate and classification factors.
- Minnesota currently has the lowest incarceration rate in the country according to recently released Department of Justice Statistics. The state selection criteria spreadsheet (see appendix A) lists Minnesota second behind North Dakota in a range that starts at .10 percent and tops out at .74 percent. Again, the degree of criminality of offender groups housed significantly affects the type of system required for managing them.
- Most of Minnesota's medium-security population is housed in converted state hospital buildings. The rooms cannot be locked at night due to lack of in-room toilet facilities and safety regulations. The structural design of a correctional facility greatly influences staffing costs. It is not possible to locate states whose correctional facilities mirror those of Minnesota in a way that can be quantified.

Selection criteria and rationale

Selection criteria were chosen to rank states according to demographics and economic factors as well as system similarities. Here is a listing of the categories and the rationale for their use:

Per diems

This information is relevant because it demonstrates a state's commitment to invest resources in its correctional system. Because salaries influence per diems, it is an acceptable selection criterion only if included with a broad range of factors.

Number of adult facilities

This criterion eliminates very large and small systems that are not comparable.

Unemployment rate

A system's ability to attract qualified workers relates to salaries, benefits, and the job market.

Crime rate per 100 people

Similar crime rates usually mean similar public opinion and often result in similar correctional response. When factored with rate of incarceration, this is a very useful statistic.

Per capita income

Income measures the potential for states to fund correctional systems of similar costs.

Population

Population size compares states with similar potential to staff and populate a system.

Adult inmate population

The size of a correctional population significantly affects how one manages it.

Incarceration rate per 100,000 state citizens

The incarceration rate indicates quality of life, social issues, and the economy, but also is influenced by correctional philosophy.

Classification data (five categories)

This data provides insight into the degree to which a system population is dangerous, and requires staffing and control factors to contain.

The process

Using the spreadsheets to rate comparable states, sorting was done to select:

- Per diems – highest to lowest/select the top ten
- Number of adult facilities – select all from seven to eight facilities
- Unemployment rate – lowest to highest/select top twelve
- Crime rate per 100 people – select within .3 of Minnesota's rate of 4.4
- Per capita income – select five above and five below Minnesota's figure
- Population – select five above and five below Minnesota's figure
- Adult inmate population – select five above and five below Minnesota's figure
- Incarceration rate per 100,000 – lowest to highest/select lowest twelve states
- Classification data (five categories) – select ten comparable in each category

All but two states, Georgia and Idaho, received at least one comparable criteria score. No state received more than five comparable points. Three states received five points and were selected for the study. They are New Hampshire, Maine and Nebraska.

Six states received four points. They are listed here along with rationale for selection or elimination:

Delaware – eliminated

Highest incarceration rate in the nation

Colorado – eliminated

55 percent of the population is minimum custody

Massachusetts – selected

Except for the number of facilities and population level, Massachusetts' system is similar to that of Minnesota

New Mexico – selected
For balance of geographic location and general similarities

Rhode Island – eliminated
Rates of incarceration and unemployment are high/small geographic area

Vermont – eliminated
Data suggests that facility populations are very small and not comparable

States and entities to be surveyed

New Hampshire
Maine
Massachusetts
Nebraska
New Mexico
Bureau of Prisons (BOP)
Corrections Corporation of America
Wackenhut Corrections

Both Corrections Corporation of America and Wackenhut Corrections declined to participate in this survey, notifying Minnesota officials well after the deadline had passed for survey returns. Therefore, no statistical information on private systems is contained in this report. Documentation of departmental efforts to enlist their participation is included in the appendices of this report. The U. S. Bureau of Prisons participated in only portions of the survey.

Surveys-Other Jurisdictions

A reviewer of this report may note that several questions appearing on the survey (see Appendix B) are neither charted nor analyzed as data. Survey questions were constructed to elicit useful and relevant information. Responses to some questions were either suspect or incomplete.

Salary Information

Comparisons

Charts show surveyed systems ranked from highest to lowest mean or midrange salaries and depict current annual salary ranges for correctional officers, lead workers, and supervisors. Note that Minnesota moves up the list as rank is achieved.

Correctional officer

(In dollars)

<u>System</u>	<u>Lowest</u>	<u>Mean</u>	<u>Highest</u>
Massachusetts	33,068	38,717	44,366
BOP	26,880	32,788	38,697
Minnesota	25,140	31,310	37,480
Nebraska	22,825	27,941	33,057
New Hampshire	22,765	25,084	27,404
Maine	21,680	25,047	28,415
New Mexico	16,200	21,050	25,900

Correctional sergeant (lead worker) (In dollars)

<u>System</u>	<u>Lowest</u>	<u>Mean</u>	<u>Highest</u>
Massachusetts	36,648	42,851	49,054
Minnesota	31,571	37,313	43,055
BOP	31,892	36,375	40,858
Nebraska	27,541	31,539	35,538
New Hampshire	28,589	30,367	32,146
Maine	25,475	28,594	31,714
New Mexico	20,000	25,150	30,300

Correctional lieutenant (supervisor) (In dollars)

<u>System</u>	<u>Lowest</u>	<u>Mean</u>	<u>Highest</u>
Minnesota	39,046	47,749	56,543
Massachusetts	40,255	47,232	54,210
Bureau of Prisons	34,127	43,036	51,946
Nebraska	31,547	38,645	45,743
Maine	29,447	34,685	39,923
New Hampshire	32,146	34,236	36,327
New Mexico	24,700	30,850	37,000

Mean salary and per diems

This chart shows surveyed states ranked from highest to lowest mean annual salary and contrasts this with their system's per diem. This demonstrates a nexus between salaries and per diems but shows that other factors can have impact.

<u>System</u>	<u>Mean salary</u>	<u>Per diem</u>
Massachusetts	43,639	97.80
Minnesota	40,841	86.68
Nebraska	34,284	52.61
Maine	30,801	76.46
New Hampshire	29,546	52.81
New Mexico	26,600	76.00

Massachusetts' salary range and high officer-to-inmate ratios both contribute to the per diem shown here. (see Ratios of Inmates to Officers, page 21)

Although New Mexico pays relatively low salaries, their system per diem is rather high. Approximately 25 percent of the correctional population of this state are held in private correctional facilities. This has the effect of raising the security classification profile across the state system.

The only apparent explanation for the high per diems shown for Maine is the high rate of officers to inmates. (see Ratios of Inmates to Officers, page 21)

Officer retention

Correctional systems must allocate significant resources to hire and train competent correctional officers. Pay is a significant factor in hiring and retention. The value of an experienced work force in a correctional setting cannot be overstated.

The following chart shows all Minnesota officers at the facilities shown, including supervisors, in column one. Column two shows the number who left the Department of Corrections from that institution for all causes during the 1999 fiscal year. Column three shows the resulting percentage of turnover. Information on separations is from the central database. This comparison information is included because it is of interest, but should not be construed as having statistical value without long-term trending.

<u>Facility</u>	<u>Officers</u>	<u>Number</u>	<u>Turnover %</u>
Faribault	231	16	6.926
Lino Lakes	270	29	10.740
Moose Lake	193	11	5.699
Oak Park Heights	210	12	5.714
Saint Cloud	239	16	6.694
Shakopee	107	15	14.018
Stillwater	<u>325</u>	<u>27</u>	<u>8.307</u>
System totals:	1,575	126	8.190

The following chart shows salaries from entry level to top lieutenant's rate and ranks systems from the highest to lowest mean salary in the correctional officer groups surveyed. The column on the right shows the percentage of officer turnover for each system surveyed during that system's most recently completed fiscal year.

<u>System</u>	<u>Lowest</u>	<u>Highest</u>	<u>Mean</u>	<u>Turnover %</u>
Massachusetts	33,068	54,210	43,639	4
Minnesota	25,140	56,543	40,841	8.19
Bureau of Prisons	26,880	51,946	39,413	6.39
Nebraska	22,825	45,743	34,284	23.04
Maine	21,680	39,923	30,801	15
New Hampshire	22,765	36,327	29,546	13
New Mexico	16,200	37,000	26,600	18.9

Per capita income comparisons

Differences between correctional officer salaries and per capita income are the result of many factors.

This chart shows an alphabetical listing of states with the mean salaries of correctional officers contrasted with that state's per capita incomes. The differences are all plus values.

<u>System</u>	<u>Mean salary</u>	<u>Per capita</u>	<u>Difference</u>
Maine	30,801	22,078	8,723
Massachusetts	43,639	31,524	12,115
Minnesota	40,841	26,767	14,074
Nebraska	34,284	23,803	10,481
New Hampshire	29,546	28,047	1,499
New Mexico	26,600	19,597	7,003

Unions in Survey States

Following is a brief summary of unions within surveyed states:

Minnesota -- The American Federation of State, County, and Municipal Employees represents officers.

Maine -- The Maine State Employees Association represents officers.

Massachusetts -- The Massachusetts Correctional Officers Federated Union represents officers. The contact person opined that this is a very powerful union. The International Brotherhood of Correctional Officers is seeking recognition in this state as well.

Nebraska -- The Nebraska Association of Public Employees and the American Federation of State, County, and Municipal Employees represents officers.

New Hampshire -- The officers can choose to join the State Employees Association. Less than two-thirds have elected to do so.

New Mexico -- The American Federation of State, County, and Municipal Employees represented officers until July of 1999. The governor and legislature discontinued that representation, and there is currently no union at this time. The reason given was management's desire for more flexibility in officer work schedules. Cost related to salary compensation was not a factor, according to contacts from that state and given the low rates of pay demonstrated in the survey results.

Promotional Opportunity

Data on promotional opportunity cannot be analyzed without a thorough knowledge of the history of the system under review and the unique demographics of the collective staffs from individual facilities. Acquiring accurate information from other correctional systems and the information needed to validate the data has not been possible. For these reasons, a review of the

length of time required for promotion in other systems is not included in this report. Information from Minnesota is available, however.

The usefulness of information related to the average length of wait before achieving promotion to a specific rank is of dubious value since promotions are not available for everyone and many officers do not desire advancement. Some of the factors that affect the length of time necessary for promotion through the officer ranks are:

- The age and history of an institution (1)
- The size of the facility work force and the age of incumbents in top positions (2)
- Facility turnover due to other opportunities within the system (3)
- System turnover due to the economy or to changes in retirement opportunity (4)
- Changes in laws or policies with respect to hiring and promotional practices (5)
- Labor agreements (6)
- Individual goals and preferences of employees related to position requirements (7)

Notes:

1. When the Oak Park Heights facility opened its doors in 1982, many young staff were hired for the work force. Most were quickly promoted. However, retirements were infrequent and the opportunity to promote slowed to a crawl within a few years.
2. A small institution will provide less apparent opportunity due to the existence of fewer top spots. A youthful work force will vacate desired positions infrequently.
3. With some facility functions being centralized, people are often promoted from the correctional officer ranks to non-uniformed positions. These promotions will not appear in the data presented here.
4. The age 55 retirement authorized in the 1970s and the more recent age 50 eligibility have been significant factors in turnover.
5. Efforts to promote protected classes create anomalies in statistical data.
6. Seniority is a significant factor in promotion-related data. Systems that promote based on merit rather than seniority are likely to show faster tracks for those who are promoted.
7. Correctional officer promotions nearly always result in assignment to less desirable shifts and days off. Many employees refuse promotions for quality of life reasons. Others deem the added responsibilities to be greater than the additional compensation.

On the following charts, the three most recent promotions from each Minnesota adult facility are listed in each classification under review. This data gives the best information about current length of wait for promotion.

Promotion to Correctional Officer 3 (sergeant)

<u>Facility</u>	<u>Employee</u>	<u>Year hired</u>	<u>Year promoted</u>	<u>Years</u>
Faribault	Male	1995	1999	4
	Male	1994	1999	5
	Male	1994	1999	5
Lino Lakes	Female	1994	1999	5
	Male	1994	1999	5
	Male	1994	1999	5
Moose Lake	Male	1991	1999	8
	Male	1994	1999	5
	Female	1994	1999	5
Oak Park Heights	Female	1982	1999	17
	Female	1989	1999	10
	Male	1987	1999	12
Saint Cloud	Male	1989	1999	10
	Male	1987	1998	11
	Male	1988	1998	10
Shakopee	Male	1994	1999	5
	Male	1994	1999	5
	Female	1990	1998	8
Stillwater	Male	1989	1999	10
	Male	1989	1999	10
	Male	1989	1998	9

The current average length of time from date of hire to promotion to sergeant in the adult facilities for those who are promoted is 7.80 years.

Promotion to Correctional Officer 4 (lieutenant)

<u>Facility</u>	<u>Employee</u>	<u>Year hired</u>	<u>Year promoted</u>	<u>Years</u>
Faribault	Female	1989	1997	8
	Male	1990	1996	6
	Male	1989	1996	7

Promotion to Correctional Officer 4 (lieutenant) – continued:

<u>Facility</u>	<u>Employee</u>	<u>Year hired</u>	<u>Year promoted</u>	<u>Years</u>
Lino Lakes	Male	1981	1998	17
	Female	1990	1997	7
	Male	1986	1996	10 *
	Male	1982	1996	14 *
Moose Lake	Male	1989	1999	10
	Male	1983	1999	16
	Male	1984	1999	15
Oak Park Heights	Female	1984	1998	14
	Male	1983	1997	14
	Male	1981	1996	15
Saint Cloud	Male	1981	1998	17
	Female	1987	1996	9
	Male	1976	1995	19
Shakopee	Female	1989	1997	8
	Female	1985	1996	11
	Male	1990	1996	6
Stillwater	Female	1990	1997	7
	Male	1981	1996	15
	Male	1982	1996	14

* Two staff promoted on the same day

The current average length of time from date of hire to promotion to lieutenant in the adult facilities for those who are promoted is 11.77 years. A review of the data suggests that some facilities provide a faster promotional track than others, but this is a transient factor with little statistical value.

Criteria for Promotion to Supervisor

Minnesota -- Two years experience as a CO3, canine officer, or case manager. Two previous annual reviews list no below standard ratings. No substantial discipline within two years. Forty hours of relevant training in each of two previous years is required.

Maine -- Two years as a correctional officer is required.

Massachusetts -- Information requested was not provided.

Nebraska -- High school degree or GED certificate, three years of correctional experience and a valid driver's license.

New Hampshire -- Associate degree majoring in approved related field. Three years experience as a correctional officer or two years as a supervisor is needed.

New Mexico -- Two years experience in any previous correctional officer role is sufficient.

BOP -- One year of experience as a senior officer specialist is required for promotion.

Ratios of Inmates to Officers

Ratios of inmates to officers vary significantly from one institution to another. Variables affecting these differences relate to physical structure of the facility, programming, and inmate classification.

Minnesota adult facilities comparisons

<u>Facility</u>	<u>Inmates</u> (1)	<u>Officers</u> (2)	<u>Ratios</u> (3)
Faribault	1,058	231	4.580
Lino Lakes	1,064	270	3.940
Moose Lake	768	193	3.979
Oak Park Heights	343	210	1.633
Saint Cloud	772	239	3.230
Shakopee	294	107	2.747
Stillwater	<u>1,271</u>	<u>325</u>	<u>3.910</u>
System totals:	5,570	1,575	3.536

1) Population on September 1, 1999

2) Includes all uniformed correctional officers including first line supervisors

3) Figure shows number of inmates per budgeted officer

Survey state comparisons

<u>System</u>	<u>Inmates</u>	<u>Officers</u>	<u>Ratios</u>
Minnesota	5,570	1,575	3.536
Maine	1,645	681	2.415
Massachusetts	10,099	3,893	2.594
Nebraska	3,579	773	4.630
New Hampshire	2,272	596	3.812
New Mexico	5,202	1,179	4.412

Line Officer to Supervisor Ratios

Minnesota facilities

<u>Facility</u>	<u>Officers</u>	<u>Supervisors</u>	<u>Ratio</u>
Faribault	213	18	11.833
Lino Lakes	251	19	13.210
Moose Lake	175	18	9.722 *
Oak Park Heights	193	17	11.352
Saint Cloud	222	17	13.058
Shakopee	97	10	9.700
Stillwater	<u>306</u>	<u>19</u>	<u>16.105</u>
System totals:	1,457	118	12.347

* A lieutenant supervises the inmate discipline unit at Moose Lake.
If that position is removed from the data calculation, the ratio is 10.294.

Surveyed systems

<u>System</u>	<u>Officers</u>	<u>Supervisors</u>	<u>Ratios</u>
Minnesota	1,457	118	12.34
Maine	648	33	19.63
Massachusetts	3,663	230	15.92
Nebraska	725	48	15.10
New Hampshire	580	16	36.25
New Mexico	1,046	133	7.86

The ratios for New Hampshire seemed unreasonably high. A confirmation call verified that the number is accurate. Facilities in that state frequently operate without a supervisor on premises.

Structural Information

Just as salaries drive costs in a correctional system, architecture and technology are keys to determining the number of staff required to safely operate the system. It is generally true that, all other factors being equal, modern facilities constructed as prisons are more efficient than complexes that have been converted into prisons.

In Minnesota, two medium-security facilities occupy former state hospital sites. The other medium-security facility was converted from a juvenile center. All three of these institutions require significantly more staff to cover the midnight shift than does the Stillwater site. Midnight shift complement data is useful because it filters out program staffing and provides information about facility structure.

There are a number of reasons for this, but the primary weakness with these converted campuses is the inability to secure inmates in individual cells with toilet facilities. Operational impracticality and fire codes preclude locking inmates into their sleeping quarters. The result is that while the inmates can be contained within individual buildings and certainly within the facility's perimeter, the midnight shift is always vulnerable to a spontaneous or organized disturbance.

Capacity for secure confinement

Shown here are the percentages of system populations that can be securely confined during the midnight shift or in the event of major disturbance. Nebraska and New Mexico data cannot be interpreted. The Bureau of Prisons simply does not know, due to the size of its system.

<u>System</u>	<u>% in securable rooms</u>
Minnesota	46.4
Maine	100
Massachusetts	80
New Hampshire	100

Unit size

Another staffing factor is related to the size and number of living units located within a facility. Officers, for reasons of security, cannot vacate an occupied living unit. Therefore the number of living units within a facility, to a large extent, determines the number of staff necessary for operation. The three medium-security institutions in Minnesota have achieved some economies by multiple-cell living arrangements, but there are limitations to the number of additional inmates that a facility's infrastructure can support.

The following chart compares the Stillwater facility with the three Minnesota medium-security institutions showing:

- Total population
- Number of units
- Average unit population
- Correctional officers assigned to the midnight shift
- Inmate to staff ratio during the midnight shift

<u>Facility</u>	<u>Pop</u>	<u>Units</u>	<u>Unit pop</u>	<u>COs</u>	<u>Ratio</u>
Faribault	1,058	11	96.18	29	36.48
Lino Lakes	1,064	16	66.5	32	33.25
Moose Lake	768	8	96	24	32
Stillwater	1,271	8	158.87	17	74.76

Following is a similar chart that compares Minnesota with the other systems surveyed. This information was requested of all systems. Larger systems did not provide useful information on this question and are not represented in the data.

<u>System</u>	<u>Pop</u>	<u>Units</u>	<u>Unit pop</u>	<u>COs</u>	<u>Ratio</u>
Minnesota	5,570	67	83.13	139	40.07
Maine	1,645	10	164.5	150	10.96
Nebraska	3,579	48	74.56	129	27.74
New Hampshire	2,272	22	103.27	50	45.44

The Classification Factor

Here is a review of classification data on inmates confined to state systems surveyed. Information for Massachusetts, Minnesota and New Mexico is from the state selection spreadsheet. Data from the other jurisdictions is taken from the surveys.

Minnesota clearly has a population assessed at a higher security classification than do the others shown:

<u>System</u>	<u>Max/Close</u>	<u>Medium</u>	<u>Minimum</u>	<u>Other/ Community</u>
Minnesota	41.1	52.8	6.1	0
Maine	25	25	37	13
Massachusetts	13.9	70.6	13.7	1.8
Nebraska	23.37	36.51	28.25	11.87
New Hampshire	10	85	5	0
New Mexico	4.2	70.6	25.2	0

The Arizona profile

A state worthy of review in evaluating differences in systems is that of Arizona. With a state population of 100,000 fewer people than Minnesota, the Arizona incarceration rate is nearly five times as great. More than 23,000 offenders are housed in 49 different institutions. The per diem cost is under \$50, but the total budget for corrections is more than double that of Minnesota.

Crime rate compared with rate of incarceration

This data provides insight about how a state's criminal justice system responds to crime. Arizona is included to provide sharp contrast. Arizona's crime rate is approximately twice that of Minnesota's, while they incarcerate at nearly five times Minnesota's rate.

<u>System</u>	<u>Crime rate per 100</u>	<u>Incarceration % per 100,000</u>
Minnesota	4.4	.11
Maine	3.1	.12
Massachusetts	3.7	.16
Nebraska	4.2	.20
New Hampshire	2.6	.18
New Mexico	6.9	.19
Arizona	7.2	.52

Conclusions

It is impossible to study other correctional systems, even superficially, without arriving at some basic conclusions:

Comparability

It is useful to review salary and ratio information from other correctional systems, not for the answers provided, but because that information leads a person to begin asking the right questions.

It is difficult to find a system comparable to Minnesota. In fact, no two systems are similar in enough variables to provide broad and meaningful information without in-depth research into the operational core of the organization.

It is relatively easy to find systems that are comparable in certain variables. However, further review will disclose key systemic differences that will show that the organizations are very different after all.

Per diems

Trying to match per diems claimed by other correctional systems without an extensive understanding of all aspects of those organizations does not make sense.

Arizona is an example of a state that achieves low per diems, in part, by confining people that would not be imprisoned in Minnesota. Those people require less structural and staff control than do more dangerous offenders.

Many states have significant percentages of populations in halfway houses and other community control settings.

While it is clear that compensation rates are the most reliable predictor of per diems, they are driven by the economy of a given state or area and cannot be effectively managed to reduce system costs. Although Minnesota pays its public employees well, it remains very difficult to recruit correctional officers, given today's economy.

After compensation rates, the factors that have the most impact on per diems within a correctional system are:

- Structural factors such as size and number of units, adaptability of infrastructure to technology, facility location and similar concerns
- Correctional philosophy and related laws
- Management practices

Within an existing system, continuing emphasis on per diem reduction can have diminishing returns in the form of reduced public safety.

Private correctional systems

The dynamics which present themselves when housing portions of a correctional population in privately-run entities are worth noting and not intended as a criticism of the corporations themselves:

Contracts with private facilities frequently contain clauses that ensure that they can operate profitably, despite low per diems. Generally this involves reduced programming. The arrangement that New Mexico has with its vendor requires that inmates have no serious medical or mental health issues and that the inmate has a good disciplinary record. This affects the state-run system which is responsible for managing those disruptive or ill offenders who require more staff, technology, program and structural tools – all impacting per diems.

Appendix A: State Section Criteria Spreadsheet

		Number of	Unemployment	Crime Rate	Per Capita		Adult Inmate	Incarceration	Percent	Percent	Percent	Percent	Percent
	Per Diem	Adult Facilities	Rate	(per 100 people)	Income	Population	Population	Rate per 100,000	Maximum	Close/High Sec.	Medium	Minimum	Community
Alabama	24.37	32	3.9	4.9	20,842	4,319,000	19,541	0.45%	0.9	0.9	58.0	24.2	16.0
Alaska	100.07	16	5.6	5.2	25,305	609,000	3,204	0.53%	1.4	22.7	31.9	39.3	4.7
Arizona	46.81	49	4.1	7.2	22,364	4,555,000	23,484	0.52%	13.3	15.7	35.5	29.9	5.6
Arkansas	37.61	19	5.1	4.7	19,585	2,523,000	9,940	0.39%	19.7	0.0	46.2	34.1	0.0
California	57.80	35	5.6	4.9	26,570	32,268,000	155,276	0.48%	17.9	31.4	34.7	12.0	4.1
Colorado	62.28	19	4.0	4.7	27,051	3,893,000	9,281	0.24%	5.2	13.9	25.4	55.4	0.0
Connecticut	70.49	20	3.2	4.0	36,263	3,270,000	15,558	0.48%	1.5	31.6	34.6	26.5	5.8
Delaware	54.45	6	3.5	5.1	29,022	732,000	5,433	0.74%	6.2	0.0	57.3	25.8	10.7
Florida	47.88	85	4.1	7.3	25,255	14,654,000	61,270	0.42%	0.6	42.4	32.1	24.9	0.0
Georgia	47.48	47	4.0	5.8	24,061	7,486,000	35,677	0.48%	3.2	19.1	41.3	32.8	3.7
Hawaii	75.00	8	6.4	6.0	26,034	1,187,000	4,078	0.34%	0.9	6.0	42.5	32.1	18.4
Idaho	47.67	12	4.7	3.9	20,478	1,210,000	3,085	0.25%	0.0	13.0	26.2	44.3	16.5
Illinois	47.32	35	4.0	5.1	28,202	11,896,000	40,787	0.34%	10.6	0.0	36.8	52.6	0.0
Indiana	46.76	24	2.8	4.5	23,604	5,864,000	16,511	0.28%	21.0	0.1	68.1	10.8	0.0
Iowa	50.34	13	2.3	3.8	23,102	2,852,000	6,938	0.24%	14.8	0.0	47.9	37.3	0.0
Kansas	50.02	8	3.7	4.6	24,379	2,595,000	7,839	0.30%	23.0	0.0	42.1	35.0	0.0
Kentucky	39.43	15	4.6	3.1	20,657	3,908,000	9,450	0.24%	1.6	9.5	51.7	16.4	20.8
Louisiana	32.30	9	5.3	6.4	20,680	4,352,000	14,889	0.34%	18.4	0.0	60.9	17.4	3.4
Maine	76.46	8	4.1	3.1	22,078	1,242,000	1,541	0.12%	4.1	23.4	26.7	38.8	7.1
Maryland	57.17	24	4.6	5.7	28,969	5,094,000	21,095	0.41%	14.4	1.2	67.8	10.9	5.8
Massachusetts	97.80	25	3.2	3.7	31,524	6,118,000	10,918	0.18%	7.5	6.4	70.6	13.7	1.9
Michigan	69.81	58	3.4	4.9	25,560	9,774,000	42,388	0.43%	8.8	14.7	34.7	36.4	5.3
Minnesota	86.68	8	2.0	4.4	26,797	4,686,000	5,263	0.11%	5.5	35.6	52.8	6.1	0.0
Mississippi	38.20	21	5.5	4.6	18,272	2,731,000	10,347	0.38%	10.1	0.4	61.5	13.5	14.5
Missouri	30.37	21	4.2	4.8	24,001	5,402,000	23,645	0.44%	15.3	23.3	14.1	37.2	10.1
Montana	42.81	13	5.2	4.4	20,046	879,000	1,432	0.16%	3.6	16.1	20.0	31.5	28.8
Nebraska	52.61	9	2.6	4.2	23,803	1,657,000	3,312	0.20%	29.3	0.0	31.2	26.7	12.7
Nevada	40.97	20	4.4	6.1	26,791	1,677,000	8,299	0.49%	3.7	19.3	54.2	20.3	2.4
New Hampshire	52.21	6	2.8	2.6	28,047	1,173,000	2,104	0.18%	4.0	4.1	69.6	12.4	9.8
New Jersey	66.19	14	4.5	4.1	32,654	8,053,000	22,252	0.28%	27.4	6.3	30.8	27.2	8.3
New Mexico	76.00	13	6.0	6.9	19,587	1,730,000	3,366	0.19%	4.2	0.0	70.6	25.2	0.0
New York	62.39	69	5.4	3.9	30,752	18,137,000	69,384	0.38%	30.8	0.0	57.6	11.6	0.0
North Carolina	63.27	88	3.3	5.5	23,345	7,425,000	31,270	0.42%	0.0	12.1	39.8	48.1	0.0
North Dakota	50.60	2	3.0	2.7	20,271	641,000	655	0.10%	10.2	31.3	20.0	38.5	0.0
Ohio	47.11	29	3.9	4.5	24,661	11,186,000	47,808	0.43%	3.8	21.7	36.0	38.0	0.4
Oklahoma	37.62	40	4.6	5.5	20,556	3,317,000	14,893	0.45%	11.5	0.0	31.1	44.7	12.7
Oregon	61.30	12	5.2	6.3	24,393	3,243,000	7,705	0.24%	2.2	19.1	51.5	27.2	0.0
Pennsylvania	61.40	39	4.7	3.4	26,058	12,020,000	34,197	0.28%	2.3	19.6	37.7	37.6	2.8
Rhode Island	86.68	8	4.6	3.7	25,760	987,000	3,310	0.34%	20.6	4.0	48.1	22.0	5.3
South Carolina	37.96	32	3.4	6.1	20,755	3,760,000	20,642	0.55%	45.9	5.7	31.3	8.1	9.0
South Dakota	31.51	7	2.5	3.2	21,447	738,000	2,067	0.28%	12.4	0.0	61.6	25.9	0.0
Tennessee	50.35	14	3.7	5.5	23,018	5,368,000	12,153	0.23%	5.6	3.7	67.2	23.5	0.0
Texas	39.51	107	4.4	5.5	23,656	19,439,000	129,278	0.67%	5.9	5.5	6.7	81.9	0.0
Utah	63.96	5	3.7	6.0	20,432	2,059,000	4,024	0.20%	12.0	0.0	72.0	15.7	0.3
Vermont	71.62	8	3.2	2.8	23,401	589,000	1,262	0.21%	0.0	1.9	23.6	21.3	53.2
Virginia	44.70	47	2.8	3.9	26,438	6,734,000	24,644	0.37%	39.1	0.0	42.9	18.0	0.0
Washington	64.20	31	4.4	5.9	26,718	5,610,000	13,226	0.24%	1.6	13.0	24.0	39.5	22.0
West Virginia	49.26	9	6.5	2.5	18,957	1,816,000	2,380	0.13%	13.6	14.2	38.9	27.2	6.1
Wisconsin	54.61	29	2.9	3.7	24,475	5,170,000	12,754	0.25%	26.6	0.3	51.4	17.1	4.5
Wyoming	52.88	4	4.5	4.2	18,527	480,000	1,255	0.26%	3.5	36.6	31.4	21.2	7.4

Appendix B:

STAFFING SURVEY-OTHER JURISDICTIONS

System identification

Jurisdiction _____

Total number of separate adult facilities in this system _____

System population (in your system's facilities only) on September 1, 1999 _____

Number of jurisdiction inmates housed in *private correctional systems* on September 1, 1999
(private systems enter N/A) _____

Job title comparison information

Minnesota's correctional officers are classified as follows:

- a) Correctional Officer 1 - Entry level position
- b) Correctional Officer 2 - Journey level officer
- c) Correctional Officer 3 - Lead-worker/sergeant
- d) Correctional Officer 4 - First line supervisor/lieutenant

Please list the equivalent titles in your system and the salary ranges for each:

<u>Title</u>	<u>Low range</u>	<u>Top range</u>
a)		per year
b)		per year
c)		per year
d)		per year

What was the percentage of turnover *from all causes* for non-supervisory correctional officers (categories a, b, and c), system-wide, in your last complete fiscal year? _____

What are the minimum requirements for promotion to a uniformed supervisor's position in your system (category d)?

Ratio-relevant information

With respect to September 1, 1999, please provide the following information about your correctional system:

System population (confined to your system's facilities only) was _____

The number of correctional officer positions authorized was (categories a and b in above chart) _____

The number of lead worker (sergeant) positions authorized was (category c) _____

The number of uniformed supervisor positions authorized was (category d) _____

Structural information

Please provide information about your system's facility structure:

The total number of separate housing units, including segregation and special programming in all of your facilities is _____

The minimum number of employees required to cover the *midnight* shift in all facilities, system-wide is _____

Percentage of inmate beds in single occupancy rooms _____

Percentage of inmate beds in double occupancy rooms _____

Percentage of inmate beds in multiple occupancy (three or more people) rooms _____

Percentage of inmate population that can be locked into sleeping quarters during the night _____

Percentage of inmate population housed in cells, rooms or dorms equipped with a toilet _____

Percentage of inmate beds that permit secure structural confinement of a single inmate to a space intended for one inmate _____

The average daily population of inmates confined to *segregation units* for reasons of misconduct in August 1999 was _____

Average *percentage* of system inmates on *administrative segregation status* in the system during August 1999 _____

Classification information

Please provide the following classification percentages on all incarcerated inmates in your system (use closest equivalent, total must equal 100%):

Percentage of inmates in your system classified as *maximum* custody (level 6) _____

Percentage of inmates classified as *close* custody (levels 4 or 5) _____

Percentage of inmates classified as *medium* custody (level 3) _____

Percentage of inmates classified as *minimum* custody (levels 1 or 2) _____

The average daily population of inmates confined to segregation in your system for reasons of misconduct in August 1999 was _____

Authentication

Data compiled by (Minnesota contact):

Name: _____ Initials _____

Title: _____

Date complete: _____

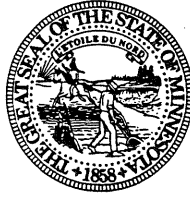
Information provided by:

Name: _____ Phone # () _____

Title: _____

Appendix C:

Documentation on Systems Declining to Participate



State of Minnesota
Minnesota Department of Corrections
Minnesota Correctional Facility - St. Cloud

November 1, 1999

Mike Hermerding
Minnesota Department of Corrections
1450 Energy Park Drive
St. Paul, MN 55108-5219

Dear Mr. Hermerding:

As I informed you last week, I have been unable to submit the staffing survey, which had been requested from Wackenhut Corrections. Despite numerous contacts with representatives of that agency, they have not returned the information. My first contact with Wackenhut was during the week of September 20, and my final attempt to speak to my contact was on 10/25/99. The following is a chronology of my contacts:

9/20/99: I spoke to Ron Maddux at 561-622-5656 in the Wackenhut corporate offices and was advised to send the survey to him.

9/27/99: The survey was sent with an introductory letter from me and also the cover letter you had included.

Week of 10/04/99: I received a call from a Mr. Les Gay (561-622-5656 ext.1508), advising me he had been assigned the task of completing the survey. We discussed several questions he had.

10/04 - 10/15/99: There were at least two more calls from Mr. Gay regarding questions he needed answered in order to complete the survey. I was clear indicating when I needed the completed document, and he assured me he would meet the deadline.

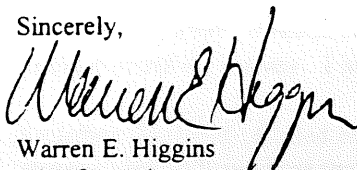
10/21/99: My secretary called Mr. Gay reminding him the survey was due, and was assured it was forthcoming.

10/22/99: We received a letter from Mr. Gay dated 10/18/99 indicating he had become involved in "other critical business proposals." He has not returned the voice mail message I left him.

I am mystified about the sudden change of position that appears to have taken place, and have no explanation.

Please contact me if you have questions or wish me to pursue this matter further.

Sincerely,



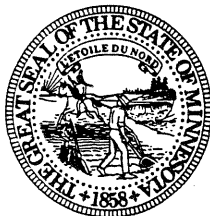
Warren E. Higgins
A/W Operations

Enclosures

Box B • 2305 Minnesota Blvd. S.E. • St. Cloud, Minnesota 56302-1000
320-240-3000 • Fax: 320-240-3054 • Finance: 320-240-3082 • (TDD) 1-800-627-3529

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State of Minnesota

November 1, 1999

Department of Corrections

Minnesota Correctional Facility - Faribault

Mike Hermerding
Minnesota Department of Corrections
1450 Energy Park Drive, Suite 200
St. Paul, MN 55108-5219

Dear Mike:

This is in response to your request for information regarding my inquiries to Corrections Corporation of America (CCA).

On September 16, 1999, I contacted Jill Nugent, Assistant to James Ball, CCA's Vice President of Business Development. I explained to Ms. Nugent that the Minnesota Department of Corrections was legislatively mandated to conduct a staffing study that included New Hampshire, Maine, Massachusetts, Nebraska, New Mexico, Wackenhut and CCA. Ms. Nugent stated that they would review the request and asked that I fax a cover letter and the survey to Mr. Ball. On September 16, I faxed a cover letter from you as well as the survey. During our conversation, I informed Ms. Nugent that I was acting as liaison for the survey and to contact me with any questions.

The following is a summary of contacts made with CCA:

September 27, 1999: I left a voice mail message with Ms. Nugent to call me if she had any questions about the staffing study.

October 6, 1999: Called Ms. Nugent. I left a voice mail requesting that she call me to discuss the staffing survey.

October 11, 1999: Contacted Ms. Nugent. She informed me that Business Development was not involved with this type of survey. She had forwarded the survey to another department and would check on it and get back to me.

October 21, 1999: I made two calls to Ms. Nugent. I left voice mails for Ms. Nugent to contact me so we could discuss the survey. I indicated in my message that it was important for her to return my call.

October 26, 1999: Called Ms. Nugent and spoke with her directly. I asked for an update on the staffing survey. She informed me that the survey was sent to another department and she didn't know the status. She stated that if I hadn't yet received it, it would not be sent. I asked Ms. Nugent if this meant CCA had chosen not to participate in the staffing study. She replied "yes".

Mike Hermerding
November 1, 1999
Page 2

In summary, I contacted CA on six separate occasions. I left several voice messages for Ms. Nugent to contact me which she failed to respond to. During our conversation on October 26, 1999, it was evident that CCA was not interested in responding to the staffing study.

If you have any questions or concerns, please contact me.

Sincerely,

A handwritten signature in cursive script that reads "Bruce Reiser". The signature is written in dark ink and is positioned above the printed name and title.

Bruce Reiser
Security Director/
Acting Associate Warden of Operations
MCF-Faribault

/ln